



**POLYTECHNIC OF NAMIBIA**

**(Namibia's University of Science and Technology)**

**Evaluation of External Expert Knowledge Acquisition and Retention  
Processes at the Directorate of Development Cooperation of the National  
Planning Commission – Namibia**

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of Master of International Business at the Polytechnic of Namibia**

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## Declaration

I Anna Tusiloshenda Kangombe hereby declare that the work contained in the thesis entitled, Evaluation of External Expert Knowledge Acquisition and Retention Processes at the Directorate of Development Cooperation of the National Planning Commission – Namibia is my own original work and that I have not previously in its entirety or in part submitted it to any university or other higher education institution for the award of a degree.

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## Abstract

The Directorate of Development Cooperation in the National Planning Commission uses technical assistance to mobilise, coordinate and manage Official Development Aid (ODA) through the use of external experts in areas where such knowledge is not locally available.

While there are no indications of a decrease in the need for external expert knowledge to the Directorate of Development Cooperation, donors are increasingly phasing out traditional grants which support technical assistance that funds external expert knowledge and replacing it with new forms of broader cooperation. Given the high costs of external expert knowledge, the Directorate of Development Cooperation will not be able to access it in the long run and this will have negative implications on the implementation of National Development Plans which amongst others, largely dependent on Official Development Aid. This research therefore obtained a blend of primary and secondary data to evaluate the effectiveness of the process currently used to acquire external expert knowledge at the Directorate of Development Cooperation to determine its ability to sustainably deal with the new status. The research adapted the business process improvement solution through the lean approach to define, analyse and improve the process.

Amongst the major findings of the study is that, not only does the Directorate of Development Cooperation not have a consistent and documented process for acquiring external expert knowledge, they also do not have a knowledge transfer strategy in place to ensure that the expert knowledge is transferred to local staff. The study also found that the directorate lacks a systematic capacity needs assessment strategy to enable them to plan and prepare their involvement in the sourcing and retention of external expert knowledge

considering the prevailing donor conditions. The study defined and proposed an improved process aimed at enabling the Directorate of Development Cooperation getting more involved with external expert knowledge acquisition to ensure that they receive high quality expert knowledge. The process will also ensure that the expert knowledge is received on time and there are mechanisms to retain that knowledge locally. The study also made specific recommendations for the Directorate of Development Cooperation to consider, for example: increased ownership and understanding of the process by the Directorate of Development Cooperation; improvements in the process measurements; change the current perception of external expert knowledge; establish and adopt a best practice approach; use alternative acquisition methods for expert knowledge; and communicate and adopt the proposed improved process

The organisation of the study is divided in seven Chapters. Chapter 1 gives the introduction, statement of the problem, significance of the study, research objectives, and research questions. The literature review and the methodology are discussed in Chapters 2 and 3 respectively. Chapter 4 contains the discussion of the process of acquiring external expert knowledge at the Directorate of Development Cooperation while Chapter 5 is the analysis of the findings and results. Summary and recommendations are contained in Chapter 6, followed by the conclusion in Chapter 7.

## Dedication

This research study is dedicated to my mother, Nuugwaanga Abraham Ndumbu and to my late father, Joachim Kangombe.

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# **Chapter 1**

## **1 Introduction and Background**

### **1.0 Introduction to the Chapter**

This chapter gives the historical background of knowledge, capacity and skills development in Namibia, at the National Planning Commission Secretariat (NPCS) and at the Directorate of Development Cooperation (DDC) in particular. The chapter further discusses the statement of the problem, definition of the main concepts, central questions, research objectives, significance of the study followed by the definitions of key terms and the outline of the study.

### **1.1 Background**

Knowledge is one of the most valuable assets a nation can have. A country may have a wealth of precious resources but if it does not have the 'know how', i.e. if the knowledge to exploit these resources does not exist, then it is as good as not having those resources at all.

In the case of Namibia, the colonial education system limited formal knowledge acquisition which created a capacity gap in terms of the general level of education and experience and most importantly, a shortage of technical personnel. The situation was critical at independence that the United Nations was requested to provide immediate assistance to Namibia in the form of personnel to ensure uninterrupted supply of essential public and social services after the withdrawal of the apartheid South Africa administration from Namibia

(UNV Programme Document, 2003, p.3). This support was necessary to maintain the country at the time as human resources were not available because of the unbalanced education system which denied previously disadvantaged Namibians<sup>1</sup> the opportunity to develop their own capacity.

In addition to the immediate assistance from the United Nations at Independence, the Government of the Republic of Namibia also took a policy decision to redress the capacity gap by making use of foreign expertise sourced through the National Planning Commission (NPC) to enable the country to acquire critical skills that were not locally available. However, despite all efforts made in terms of human resources development across all sectors of the economy since independence, the country still has a human resource development problem. Both the First National Development Plan (NDP 1) 1995 – 2000 and the Second National Development Plan (NDP2) 2001-2006 under the coordination of the National Planning Commission (NPC) identified human resources development as a constraint towards economic growth (NDP 3 Guidelines, 2007). Recommendations by the Namibia State of the Economy Report (2004) also indicated that human resources development should continue to be given priority in order to optimise the utilisation of available skills.

Articles 129, of the Constitution of the Republic of Namibia states that, “there shall be established in the office of the President a National Planning Commission, whose task shall be to plan the priorities and direction of national development (The Constitution of the Republic of Namibia). The article further continues to indicate that, there shall be a Director-General of Planning appointed by the President in terms of Article 32 (3)(i)(dd) hereof, who shall be the

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<sup>1</sup> Previously disadvantaged Namibians also known as designated groups in Namibia refers to those groups that were racially discriminated against during the apartheid era, women and persons living with disabilities (Affirmative Action Act; 1998)

head of the National Planning Commission and the principal advisor to the President in regard to economic planning and who shall attend Cabinet meetings at the request of the President. It is from this Article from which the National Planning Commission Act of 1994 (Act 15 of 1994) was promulgated and from which NPC derives its mandate (National Planning Commission Act, 1994).

In order to fulfill its mandate, the NPC Act of 1994 (Act 15 of 1994) has enacted the establishment of a National Planning Commission Secretariat (NPCS) to provide professional and technical services to the National Planning Commission in formulating policies, plans, programmes and monitoring their execution so as to bring about a prosperous and better Namibia for all its inhabitants.

While National Planning Commission (NPC) is charged with the responsibility of planning national priorities and directing the course of national development, the Directorate of Development Cooperation (DDC) within the National Planning Commission Secretariat (NPCS) is charged with the responsibilities of providing technical advice on external funding agencies, policies, areas of interests, requirements and procedures of securing resources to the Government, private sector and Non Governmental Organisations (NGOs) aimed at supplementing national resources for Public Sector Investment Programme (PSIP) implementation (Medium Term Expenditure Framework, 2006/7 - 2008/9). The directorate does this through six result areas:

- i) Co-ordinating and directing national efforts on external resources mobilisation in order to supplement available national resources and promote sustainable socio-economic development.

- ii) Providing guidance to external funding agencies on Government development objectives concerning the utilisation and sustainability of external resources.
- iii) Liaising with government offices, line ministries, parastatals, NGOs and private sectors in order to identify priority sectors and development programmes and projects requiring external assistance.
- iv) Serving as a focal point and facilitator between external funding agencies and Government and maintain a data bank on aid flow and utilisation
- v) Managing and monitoring project development aid and advising the Government on aid flows and trends as well as donor policies in this regard.
- vi) Striving for the building up and enhancing of a stronger donor confidence in the country by recommending and encouraging sound management policies to Government ministries, departments, Non Governmental Organisations and parastatals utilising external resources.

As part of the global trend to create national ownership of development cooperation in the new millennium, most donors have started de-concentrating functions which in the case of Namibia are part of the DDC's functions to national Governments. In most cases, these functions are donor specific as a result DDC started experiencing further capacity shortfalls in terms of relevant knowledge to deal with the new status quo (Development Cooperation Annual Report, 2002/2003). While DDC has been using technical assistance in the past, the need to source expert knowledge has recently become even more critical since the required expert knowledge at the DDC is often not locally available, they continued focusing on

sourcing it from outside the country (Medium Term Expenditure Framework, 2006/7 - 2008/9). This study is therefore going to evaluate and analyse the process that is being used to acquire and retain this knowledge.

## **1.2 Statement of the problem**

A paper by Seneviratne (2008), on the Framework of the Effective and Efficient Utilisation of Technical Assistance at the National Planning Commission has identified two main functions of technical assistance in an economy. The first role is to fill the immediate skills gap in the short run. The second which is a long term requirement is to transfer skills, knowledge, experience and expertise to local staff. Namibia has done relatively well with the first aspect of technical assistance since independence, initially assisted by the United Nations during the transition period and by many other development partners both bilateral and multilateral (UNV Programme Document, 2003). However, in terms of knowledge transfer to local staffs, the results have been unsatisfactory; hence the need to investigate and understand the causes of the failure for the country to sustainably benefit from technical assistance (Human Resources Report, 2000-2006).

In a presentation paper on Promoting National Economic Development through the Introduction of Foreign Experts (2007), the National Planning Commission identified the high cost of acquiring foreign expertise as one of the main reasons for the general failure to achieve the necessary sustainable capacity for effective service delivery in areas where such expertise is not locally available. This has compelled the DDC to seek an alternative approach by mobilising resources from Development Partner agencies that require the use of their procedures and guidelines to provide technical assistance for funding expert knowledge. The

use of donor procedures and guidelines by implications mean that Government has little control over the expert knowledge and since the experts are not contracted by Government, they largely operate outside the government system. Firstly, this situation does not enable the government to get the right knowledge they need and secondly, it does not oblige experts to transfer skills to local staffs in order to retain skills in the country (Promoting National Economic Development through the Introduction of Foreign Experts, 2007).

The NPCCS has spent immense amount of effort and resources for capacity building through the acquisition of external expert knowledge. Over 50 percent of total Official Development Assistance mobilised by the NPC is in the form of technical assistance and over 90 percent of technical assistance has been through the use of foreign technical expertise (Development Cooperation Report for Namibia, 2003/2004, p.27).

Whilst beneficial in some respects, reliance on donors for acquiring expert knowledge can cause many problems in the long run. If donors remove or reduce their technical assistance, organisations such as NPCCS will not be able to afford the same expert knowledge through other means. It is therefore important to ensure that local professionals gain this prestigious knowledge from their foreign counterparts to ensure sustainability.

Already, donors have started phasing out traditional grant assistance to Namibia which includes technical assistance because of Namibia's classification as a middle income country (Development Cooperation Report for Namibia 2003/2004, p. 39). In addition, climate change and the recent financial crisis have also been receiving considerable attention of topical development forums and there is a possibility that there will be a shift of official development assistance to these challenges at the expense of other developmental challenges. According to the United Nations Economic and Social Council Report and Economic Commission for

Africa on the global financial Crisis (2009), there is expectation that donors will reduce Official Development Aid flows to Africa in response to the financial crisis, and while there is no evidence yet that donors plan to reduce flows, history and econometric evidence suggest that ODA flows tend to be pro-cyclical and so it is reasonable to expect a decline. Therefore, should the decline of technical assistance continue, the DDC will not be able to perform their functions as they will lack the necessary expert capacity. This will further have negative impact on the implementation of the National Development Programmes which are amongst others, largely dependent on resources mobilised through DDC (Third National Development Plan of Namibia, 2008).

Opinions at the NPCCS show that there is little to show in terms of skills that the local professionals have gained through technical assistance over the years. For example, preliminary internal discussions<sup>2</sup> have revealed that the NPCCS has not effectively benefited from foreign expertise, particularly in terms of skills transfer to local staffs. This opinion is further supported by the fact that, there has never been a time where DDC has been without foreign expert assistance throughout the past 10 years and yet the directorate shows no signs of reducing the reliance on foreign expertise in certain areas (African Capacity Building Foundation Submission, 2008)

It is therefore important that organisations such as NPCCS remove their long term reliance on foreign expert aid by improving ways in which knowledge is acquired from foreign experts and by speeding up the process of transferring the knowledge thus building capacity of local professionals in the country to which the support is intended. This study will seek to define and understand the process how external expert knowledge is acquired and

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<sup>2</sup> Preliminary discussions with staff members in the Directorate of Development Cooperation held in June 2008

retained at the DDC and evaluate the process effectiveness through a wide use of business process analysis and improvement tools and techniques.

### **1.3 Significance of the Study**

In order to fulfil its objectives, the DDC needs to address its own knowledge shortfalls. Since some of the knowledge the directorate needs is not locally available, naturally, they source it from outside the country. The way they have been acquiring external knowledge expertise is however undefined, inconsistent and many a times, the process has been donor driven.

This process has not guaranteed sustainable expert knowledge retention and as a result, the DDC has developed a habitual reliance on external experts. With declining levels of international technical assistance to fund external expert knowledge, retention of this knowledge in the DDC is almost indispensable.

One ways of ensuring that the right knowledge is sourced and retained at the directorate is to look at how effective the current process is and exploring the possibility of putting in place a formal external expert knowledge acquisition process. Besides ensuring consistency in the acquisition of external expert knowledge, having a formal process in place will also enable the directorate to measure and evaluate the extent to which this expert knowledge has been transferred to the local staff so that corrective measures can be taken where and when necessary. Besides, a formal process will further allow the DDC to receive top quality expert knowledge and provide external experts with a framework that will compel them to transfer knowledge to local staffs.

As indicated by the presentation on Promoting National Economic Development through the Introduction of Foreign Experts (2007), the National Planning Commission is aware of the fact that, they are not benefiting from the external experts' knowledge optimally, however, besides discussing it in various meetings, there has never been a study to identify where the problem is and how it can be addressed.

This study will therefore assist DDC in evaluating their way of acquiring external expert knowledge and see if it needs to be improved and suggest possible ways to improve it.

## **1.4 Research objectives**

The objective of this study is to evaluate the external expert knowledge acquisition process and its impact on the retention of such knowledge at the Directorate of Development Cooperation. Using documented best practices, the current processes will be defined and mapped to determine where the problems are and identify the root causes before proposing an improved process.

### **1.4.1 Specific objectives**

- The main objective of this study is to understand and define the current process for acquiring external expert knowledge at the Directorate of Development Cooperation through extensive consultations with key identified stakeholders in the process at the DDC.
- The study will also determine whether the current process allows the effective transfer of expert knowledge to take place from external experts to local professionals and its impact on the retention of that knowledge

- Through process analysis, the research will further identify areas in the process where improvement is needed.
- Finally, the study will propose an improved process for acquiring and retaining external expert knowledge at the DDC.

## **1.5 Research question**

How effective is the current process for acquiring and retaining external expert knowledge at the Directorate of Development Cooperation?

### **1.5.1 Sub - research questions**

- How is the current process for acquiring and retaining external expert knowledge at the DDC?
- Does the current process of acquiring external expert knowledge allow DDC to retain that knowledge effectively? How is this measured?
- What and where are the major problems in the current process at DDC?
- How can the process of acquiring and retaining external expert knowledge be made more effective to respond to the needs of DDC?

## **1.6 Definitions of the concepts**

**Technical Assistance:** This study will adopt the definition of technical assistance by the Organisation for Economic Cooperation and Development (OECD) used in the Development Cooperation Guidelines for Namibia (2008, p.53) as follows; technical assistance (TA)

encompasses the whole range of assistance activities, designed to develop the recipients' human resources through improvement in the level of skills, knowledge, technical know-how and productive aptitudes of the population in a developing country. Technical assistance is also referred to as technical cooperation and it includes both free standing technical cooperation as well as technical cooperation that is embedded in investment programmes or included in programme based approaches.

**External Knowledge:** In this study, external knowledge refers to knowledge that comes from outside Namibia.

**Donor:** the OECD has defined the word donor as an official agency – including state and local Governments that provide official development assistance. For this study, the term donor will also refer to international Non Governmental Organisations that provide ODA to Namibia through the Government system.

**Development Partner:** The term Development Partner in this study is used interchangeably with the word donor and carries the same meaning as donor.

**Lean:** lean is a business philosophy which was originally developed by the Toyota Motor Company used to remove waste in the processes with the aim to improve the processes (Ehrlich, 2002).

**Government:** in this study, unless specified, the term “Government” refers to the Government of the Republic of Namibia

## **1.7. Organisation of the thesis**

This thesis consists of seven chapters.

**Chapter One** introduces and gives the historical background information on external expert knowledge in Namibia.

**Chapter Two** gives the theoretical framework on process improvement and on knowledge management.

**Chapter Three** discusses the research methodology which was used to carry out the study.

**Chapter Four** discusses external expert knowledge at the Directorate of Development Cooperation.

**Chapter Five** gives critical analysis of the process of acquiring expert knowledge at the Directorate of Development Cooperation based on the findings. It will also define the process as it is currently and propose improvements that will ensure that the directorate is benefiting optimally.

**Chapter Six** discusses the results of the study and will present the ‘to be’ process.

**Chapter Seven** provides the conclusion and recommendation of the study.

## **Chapter 2**

### **2. Literature Review and Theoretical Framework**

#### **2.0 Introduction to the Chapter**

In order for organisations to be competitive both in the private and public sector, they must seek to continually improve. There are many ways for organisations to improve the way they do business and one that has received most attention in recent years is through business process improvement or process change.

This chapter will discuss the conceptual framework of business processes and how improvement is gained by firstly understanding how processes operate, identifying where they are not adding value (evaluating the processes) and making changes to the processes in order to eliminate non value adding activities (improving the processes). The chapter will also discuss best business practice benchmarking approaches through which organisations make significant improvements by learning from others' processes and looking at 'what is possible' and emulating that.

#### **2.1 Process innovation and process change**

We have gradually created myths through our everyday use of the word innovation and have come to equate it to words like cutting edge technology and new products. Drucker (2007, p.27) has defined innovation as "the act that endows resources with a new capacity to create wealth". Giving your resources an increased capacity to create wealth effectively implies long term survival. In business terms, this would mean creating shareholders wealth or

profitability. Process innovation on the other hand deals with innovative methods of producing goods and services (Rwigema & Venter, 2006). These two definitions are critical for this study because it is also dealing with innovating a process. As it will become clear later on, the aim of this study is not to bring about technological breakthroughs or new products, rather, it is about looking at a process and analysing it to give it a new capacity to produce its intended results.

Traditionally, when people talk about innovation, the public sector has never really been thought of as an institution that can innovate but in recent years, a lot of innovation discussions have put equal emphasis on the need for innovation in the public sector with emphasis on public service reforms.

While profitability is the *sine qua non* in business, in Government, the *sine qua non* which is vested in a Minister through civil servants is power (Malhotra, 2001). It is true that, Government departments' performances are evaluated on their capacity to spend money. Notwithstanding the political rhetoric, if a Government department does not innovate, it will not have the capacity to spend its allocated budget which can result in the loss of power. In some instances, the Ministerial loss of power can result in ministers losing their jobs. The reason for innovation in the public sector is therefore to render effective service delivery to the public.

This study has explored this unorthodox way of innovating in the public sector, through making improvements to the process of acquiring external expert knowledge and retention at the DDC by creating good networks.

## **2.2 Business process improvements**

A business process is a “collection of activities that take one or more kind of inputs and creates an output that is of value to a customer” (Hammer & Champy 1993). A business processes can be simple and straight forward, for example processing a payment after you have received an invoice or it can be long and complicated, like business registration processes in some countries. Like everything else, processes need to change in order to remain relevant and every process manager who does not strive to continuously improve their process will fail in the changing world.

In order to undertake a business process change, there are different types of business process solutions which have been discussed by both Davenport and Short (1990) and by Hammer and Champy (2001) as follows:

- Process improvement, minor specific changes that one can make in an existing process
- Process design or redesign, a major effort that is undertaken to significantly improve an existing or to create a new business process.
- Process automation, the use of computers and software applications to assist employees or to replace employees in the performance of a business process.

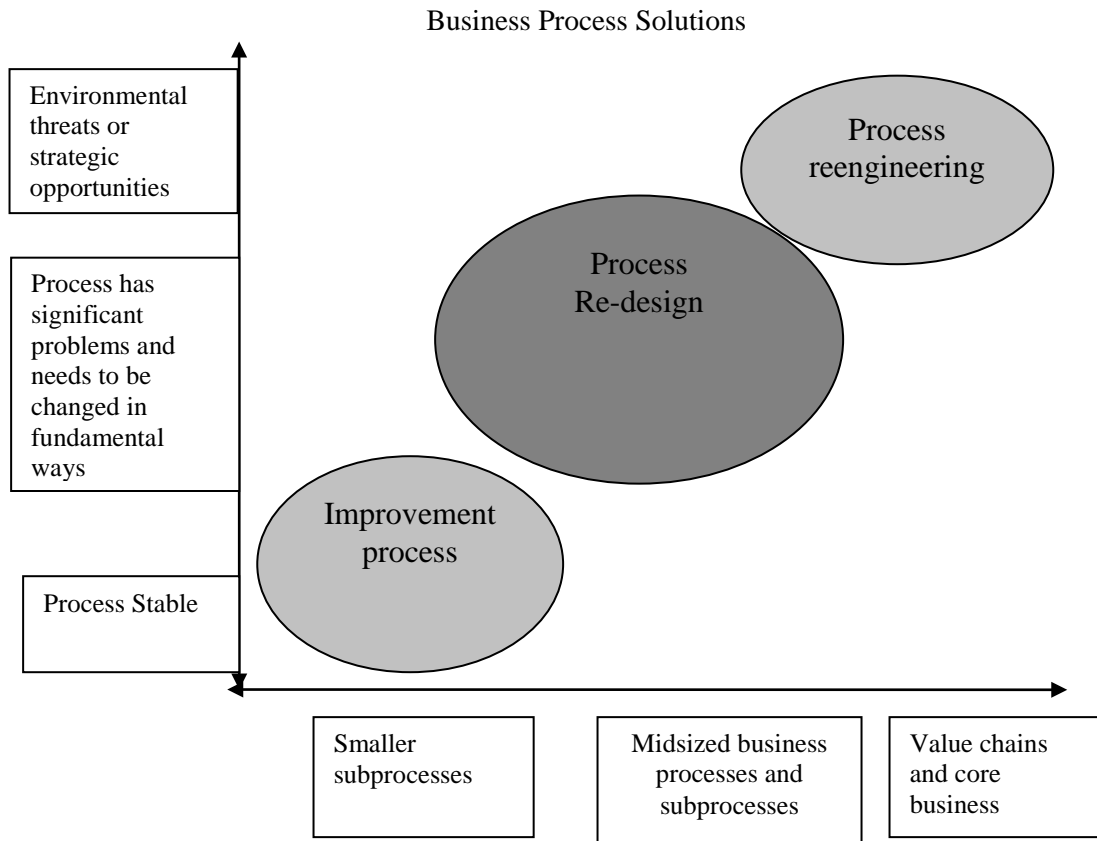


Figure 1: Source: Harman, 2003: 39

Notwithstanding the importance of the last two solutions, the focus of this study will be on process improvement which is also known as incremental innovation. Process improvement is usually preferred in situations where it is better to introduce incremental processes. It ensures evolution in processes by continuously striving to get better in delivering the ultimate goal and avoiding being complacent or what is referred to in business as the boiled frog syndrome (Senge, 1992).

Process improvement has come a long way, particularly in the manufacturing field. The movement has been driven by the quest to improve quality both in public and private sectors with pioneers such as W. Edward Deming and Joseph M. Juran contributing to the body of quality management from as early as the 1940s (Chandrupatla, 2009). Process

improvement has since extended to non manufacturing sectors and has yielded remarkable results in the last decade through operational and process functions (Mills, 2009).

This study also prefers the use and adoption of process improvement because, as discussed earlier, the public sector has not been keen on taking on major innovations and introducing drastic changes may be met with a lot of resistance. Secondly, most of the aspects in the process at DDC are anchored in legal agreements between the Government of the Republic of Namibia and its respective donors which could be difficult to change in the short run. Process improvement is gradual, taking on smaller and more subtle improvements which are nonetheless essential. As Rwigema & Venter, (2006) have concluded, [incremental] innovation more often rests on an accumulation of small changes than on major technological breakthroughs. The reflection of this study is to infuse small changes in the acquisition process of external expert knowledge and retention in the Directorate of Development Cooperation.

Perhaps one of the most revolutionary process improvements example of our time is Henry Ford's classic assembly line for car manufacturing in which he introduced minor but essential changes that brought about major results in the industry.

## **2.3 Framework for improving business processes - an approach for understanding business processes**

Although there are many approaches/methods, tools and techniques available for process improvements, this study has focused more on the use of one of the approaches that have received considerable attention in the past 10 years, i.e. Lean principles.

Largely originating from the motor manufacturing industry in the 1950s, Lean principles/technique is a systematic business approach which focuses on the reduction and removal of waste in processes through value analysis (Pzydek, 2000). Lean is based on the pull system whereby products and or services are only made available when customers demand it, therefore using less of each resource – people, space, stock, equipment, time and so on, by organising the efficient flow of materials to eliminate waste, thereby giving the shortest lead time, minimum stocks and minimum cost (Waters, 2003, p. 66).

While the lean technique has extensively borrowed from other quality management movements i.e. Total Quality Management, ISO 9000, Continuous Quality Improvement, Six Sigma etc, this study will benefit from Lean's highly disciplined approach coupled with modern tools and tactics (Barlow, 2008). The lean approach has been summarised by Pzydek (2000) as follows:

- Establish a methodology for improvement
- Focus on customer value stream
- Use a project based implementation
- Understand current conditions
- Collect product and production data

- Document current layout and flow
- Time the process
- Calculate process capacity and talk time
- Create standard work combination sheets
- Evaluate the options
- Plan new layouts
- Test to confirm improvement
- Reduce cycle times, product defects, changeover time, equipment failures etc

Although this study will limit itself to the lean approach, it will also borrow principles from other contemporary business process improvement philosophies that have been receiving equal attention in recent years; i.e. Six Sigma and Lean Six Sigma which are all aimed at improving competitiveness for organisations through improved quality (Kovach.et.al. 2005).

## **2.4 Harmon Model**

### **2.4.1 Current approaches for understanding business processes**

It is essential to continuously improve business processes in order to remain competitive in the industry. Harmon has categorised business process approaches in three levels of concern as follows; enterprise/ strategic level which is dealing with process architecture, performance measurements, process management alignment, business management priorities and planning; business process level which deals with process redesign and improvement projects which includes lean projects; and implementation level which deals with projects undertaken to develop resources for new processes (Harmon, 2007, p. 60)

Notwithstanding the other approaches, the Harmon Model borrows the focus of business process improvement at the enterprise level instead of just focusing on individual process levels from Dr. Joseph M. Juran's Unified Quality Management Framework, also known as the 'Juran Trilogy' in which he advocates for the breaking down of institutional barriers that prevent quality improvement initiatives as there are often no 'process improvement units' in organisations which are solely responsible for that function (Juran, 1989; Bisgard, 2008). The removal of such barriers then shifts the focus from trying to improve individual processes, to conceptualising the entire organisation as a system of interacting processes and working to maximise the effectiveness of the whole system (Harmon, 2007, p. 27). The model is also based on W. Edwards Deming's philosophy of quality as summarised in 14 points from his Out of the Crisis work, particularly point 9 which say that;

“Break down barriers between departments. People in research, design, material procurement, sales, and production must work as a team. They must understand the requirements and specifications. Teamwork leads to improvements in quality and productivity” (Deming, 1989; Chandrupatla, 2009)

This particularly requires managers to work together on a comprehensive model that shows how all the processes and sub processes in the organisation support the enterprise strategies and objectives by aligning them to best achieve the goals of the organisation. This also comes with defining and assigning responsibilities for managers so that they are eventually accountable towards the entire organisational goal.

The model is based on the theory that, for an organisation to portray its maturity, it needs to concentrate on an enterprise level when managing their business processes. Some

organisations have groups charged with the responsibility of working on the enterprise strategy; others have executive committees that define enterprise strategy, while others treat it as a special project headed by a CEO (Harmon, 2007, p. 163). Either way, what is important is that, it is handled at an enterprise level and not at individual process level. The resulting outcome which is developed in stages over a period of time is referred to as business process architecture (Harmon, 2003).

As indicated above, the ultimate purpose of the Harmon Model is to ensure that processes and sub-processes in the organisation are aligned in such a way that they are supporting the enterprise's strategies and goals.

Since the model works on supporting the enterprise strategies and goals, it also looks at these noble high value statements which are guiding the operations of the company to ensure that, the enterprise remains relevant in the industry. This does not mean that, organisations should change their strategies every time there is a new competitor in the industry, but rather for companies to have focused long term strategies that are able to carry on effectively. Beside the use of the strength, weaknesses, opportunities and threats (SWOT) analysis; the model extensively uses Michael Porter's competitive strategy. It complements Porters theory of the value chain which emphasise that "companies ought to think of processes as complete entities that begin with new product development and customer orders and end with satisfied customer" (Harmon, 2007, p.41). Viewing processes as departmental things can take away the organisations' ability of seeing the major interrelationships underlying a problem in the process which could lead to new insight into what might be done at different levels of the entire system (Senge, 1992).

Also building on Porter's strategies for competing which include Cost Leadership, differentiation and niche specialisation, the model further encompasses Michael Tracey and Fred Wiersema's theory which states that, no company can succeed today by trying to be all things to all people, it must instead find the unique value that it alone can deliver to a chosen market (Kraemer et al, 1996). This theory is achieved by strategically positioning ones organisation to be primarily focused on customer intimacy, operational excellence or product leadership. Having a strategic focus will provide the organisation with a unique advantage in the market.

The other important approach considered in elaborating on an enterprise level strategy is the Balance Score Card which is used to align a balanced set of measures to an organisation's strategy. In this case, the balance score card introduced something called strategy maps which arrange the four sets of measures in a hierarchical manner. The financial measures are on top, driven by customer measures which are the results of internal process (measures) which are in turn supported by innovation and learning measures (Kaplan & Norton, 2000). These are the basic four Balance Score Card measures, but in addition, the model draws attention to what Kaplan & Norton (2000) called the value creating processes as opposed to support processes like IT and Human resources.

#### **2.4.2 Types of processes**

The Harmon Model has adopted the general division of business processes into three components: Core, Management and Support processes. Core processes are those processes that add value to the product or services and that are consumed by customers while support services assures the continuous functioning of core processes (Harmon, 2007, p.86). The

Harmon Model is however not clear on how distinct management processes is from the other two. In practice, management processes are intertwined with core and support processes.

Regardless of the type of process under review, once the strategy and the focus of the value chains are clear, the process architecture team needs to look at the current process to see if it is delivering the desired results. If not, then the team has to assess the current process, also known as the ‘as is’ process, and see what the problems are, the causes, and how they can be addressed so that the process can produce the desired results. The envisaged process which will produce the desired results is known as the ‘to be’ process. This approach is done using what Harmon (2007) refers to as the GAP Model.

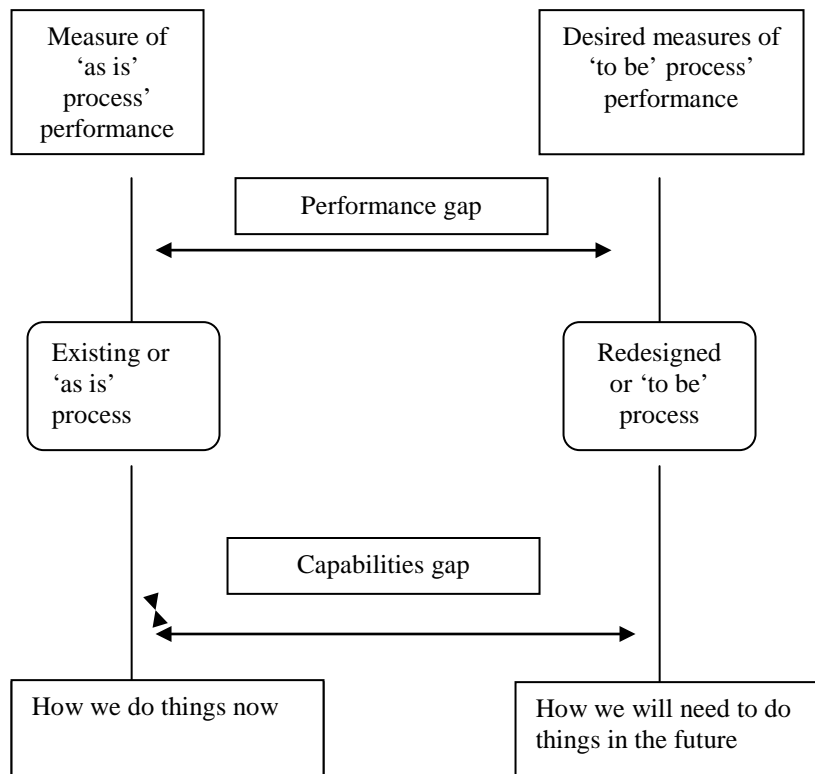


Fig 2 Gap Model: Source: Harmon, 2007, p. 205

In addition, the Harmon model also uses tools and techniques which will be discussed in the next section to identify the problems, analyse their causes and generate solutions to address them in order to improve the process.

## **2.5 Turner Model**

The Turner model is a consolidation of various business management tools from the industry and academics which are used in Lean Techniques and other Quality Management practices. The model has categorised various business tools to ease their use.

Although the Turner model has different categories for consolidated tools in various aspects of business management, this study will focus on the categorisation of business process improvement. Turner (2002) has categorised the business process improvement tools in; tools for understanding the process and scoping the problem, tools for problem analysis, tools for problem solving and prioritising tools. Within these broad categories, there are a lot of tools and techniques but emphasis will be drawn to those that have received most attention in recent years and those that are relevant to the study.

### **2.5.1 Tools for understanding and scoping problems in the process**

#### Process mapping

Unlike in manufacturing settings where one can see a physical process in action, identifying processes performed in an office environment is a difficult task because they are not readily visible (Paradiso & Cruickhank, 2007). In order to identify and document a process, a tool called process mapping is used. While some authors refer to process maps as process diagrams or flow charts, process maps are versatile visual demonstrations used to understand how different activities in a process are interconnected (Rawland & Michael, 2005).

The process map makes it easy to see the different steps in the process and how they are interconnected to illustrate the work flows.

Many organisations still believe that process maps are not worth the effort to prepare but once they have them, they often report that they cannot think of a better way to understand their processes (Pojasek, 2006). Process maps are therefore easy to understand graphical representations of an organisation's work and functions. The effectiveness of process mapping rests in the ability to pictorially portray how seemingly disparate processes are connected; to illustrate the essential information needed to drive the work; and to ultimately illustrate how process flow relates to organisational roles and responsibilities (Fawlers Supply Chain Excellence, 2007). This allows you to define as to who does what and when. Some of the benefits that accrue from process mapping to a company are summarised by Pojasek (2006) below.

#### **Benefits of Process Mapping**

- provides visualisation of the process functionality
- is less complicated in format, and easier to read, than other commonly used tools, such as value stream maps
- encourages participants to ask questions about the process
- involves employees in looking for process improvements
- creates a sense of “system exploration” by showing how every aspect of the process is linked to everything else
- provides a common platform for communication
- creates a template for storing and sorting all process information by work step
- focuses all process improvement efforts on actually changing the process, not just controlling
- allows suppliers to be considered as supporting processes
- enables the “voice of the customer” to be considered

Figure 3: Source: Pojasek, 2006

There are different process mapping techniques, i.e. value stream maps, transportation and spaghetti diagrams, time value map, and swim lane process mapping (George et. al., 2005). All these types of process maps results in what Turner (2002) describe as a consistent graphical representation of how a system or process works. Notwithstanding the other techniques, this study will adapt the swim lane process mapping technique because it emphasises the ‘who’ in who does what in the process, it makes it easy to study handoffs between people and or work groups in the process and it is especially useful with administrative (service) processes (George et. al., 2005).

According to George et. al. (2005), there are three main elements of process mapping, particularly for process improvement exercises:

- Capture the process as it is currently working
- Create the ideal or should be process by using imaginations of how you would like the process to be like, should the current constraints be removed; in this instance, by using the lean principle
- Create the new to be process after the changes have been effected

Documenting the ‘as is’ process can be tricky, especially in non-manufacturing processes where there are no physical processes in action because at times, different people do the same thing differently and since it is not documented or standardised, there is a need to intensively involve those involved in the process. This can also serve as a way to guard against the risk of mapping the “should be” or “perceived” process while documenting the “as is” process (Paradiso & Cruickhank, 2007).

A good process map does not only provide an understanding of what is happening in the organisation, it also presents an opportunity to analyse the process to whatever depth possible by using other tools to identify where the bottlenecks are.

## 2.5.2 Problem analysis tools

There are a number of tools used in problem analysis but this study will focus on three commonly used tools and techniques in process improvement, namely, Cause and Effect, 5 Whys and the Pareto Analysis. The objective of using these problem analysis tools was to be able to gather and analyse information from different sources and from various people from different disciplines, taking into consideration the embedded subjectivity.

### i) Cause and Effect

The cause and effect diagram is a tool used to identify root causes of a problem as opposed to the symptoms (Turner, 2002). The cause and effect diagrams are also known as “fishbone” or “ishikawa” because of their graphical representation. The tool encourages broader thinking because of its format which helps to arrange and organise many potential causes (George et. al., 2005).

#### Cause and Effect diagram

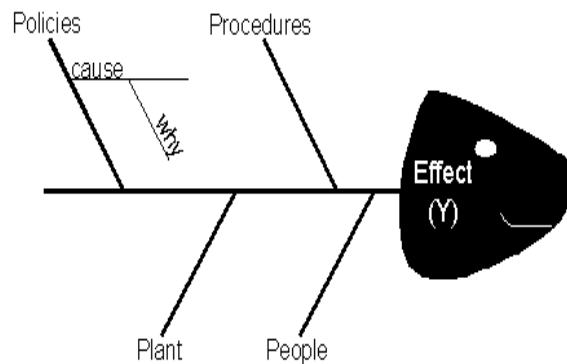


Fig 4: Source: Innovation and Process Management 2008

ii) 5 Whys

The 5 whys is a technique which is used to push your thinking about a potential cause by asking why at least 5 times (George et. al., 2005). The technique is effective because it is simple and focused on deeply examining one particular problem at a time. This allows it to go beyond symptomatic factors and drills down to the real cause of the problem.

iii) Pareto Charts

Based on the Pareto principle, Pareto charts use the 80/20 rule to focus on the “vital few sources of problems” (George et. al., 2005, p142). It helps to identify the 20% of the sources that cause 80% of the problems in a situation. The focus will therefore be to address the identified 20% which is causing 80% of the problems. The tool is used to prioritize critical identified problems to determine the ones that are worth spending a lot of effort on.

### **2.5.3 Tools for problem solving**

#### Brain Storming

Problem solving tools are used to generate solutions to problems that have been identified in the process. While there are other problem solving tools, i.e. mind mapping and six thinking hats, this study used the brainstorming technique because it was the most preferred and most understood one by the employees at the DDC. “Brainstorming is a technique for finding solutions, creating plans and discovering new ideas (Ellis, 1994, p. 190). The technique works well when there is a team of more than two people because it allows you to collect a lot of possible solutions from more minds (Turner, 2002). According to George et. al., (2005, p.28), brainstorming should be used to make sure that a range of ideas are considered before decisions are made.

### **2.5.4 Tools for prioritising**

#### Effort impact

The effort impact tool works like a cost benefit analysis. The tool is used to select the best solutions from a number of options (Turner, 2002). This is achieved by ranking the solutions on a graph and determining the effort that is needed to implement a certain solution and the impact that it will yield. As a rule, one should start with those solutions that will require less effort to implement while yielding high results (Turner, 2002).

### **2.6. Measurement of business process improvement**

In order to improve internal and external customer satisfaction in recent years, companies have focused on performance measures to acquire knowledge of their processes (Wilkund & Wilkund, 2002). To know whether a process is working well or not, measures have to be taken on a regular basis to keep track of its performance. This will allow the organisation to know the performance of the process before and after the improvements are implemented. The Health Information System Report (2006) has echoed this sentiment by emphasising that, measuring is a way of determining if a process is achieving its purpose and that measurement is important in both the 'as is' and the 'should be' processes. Effectiveness in this study will therefore be measured on the basis of the process' ability to achieve its purpose. This will be determined by developing clear targets and indicators of the objective of the process of acquiring and retaining external expert knowledge at the DDC and periodically assessing the progress towards achieving them. As Lord Kelvin (1883), once said, you cannot improve what you cannot measure.

Although financial measures have been viewed traditionally as a means to assess organisational performance, the use of non financial measures has also been receiving considerable attention both in the industry and in academic circles. As summarised by Keung (2000), a number of different measurement approaches and techniques have been introduced in recent years to address the shortcomings of traditional performance measurement systems i.e. the failure to relate performance to the process, failure to distinguish between controls versus improvements etc. These approaches are illustrated in the diagram below.

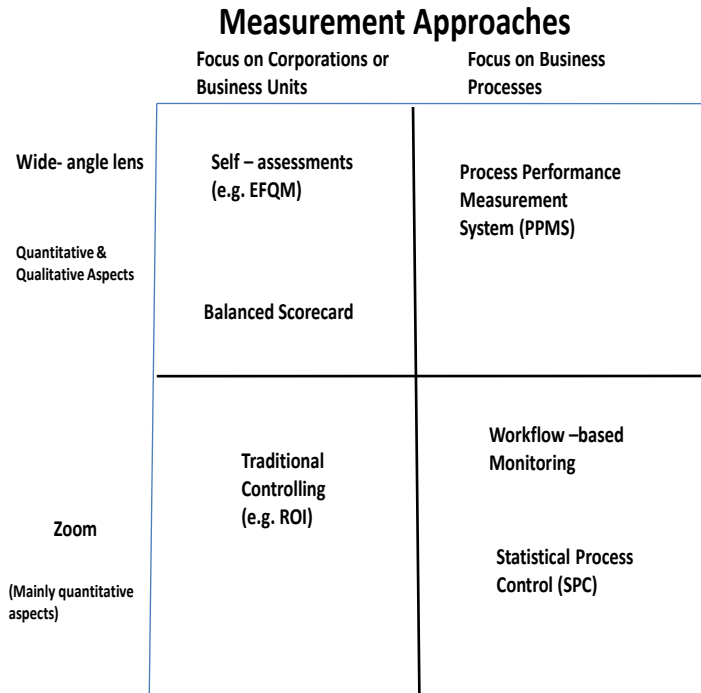


Figure 5: Source Keung (2000)

The different approaches serve different purposes but for the purpose of this study, focus will be placed on the process performance measurement system because, as Keung (2000) has

indicated, it is focused on processes and it is able to evaluate performance holistically by measuring both quantitative and qualitative aspects. Although workflow – based monitoring is restricted to qualitative performance data, it provides in-depth quantitative measurement data recorded at each step (Argent, 2007). While the use of quantitative data is not comprehensive and not ideal, process owners can extrapolate them to make assumptions on non qualitative aspects as presented by Grand & Wilcox (2008) in the case study of the Moses Cane Health System in North Carolina and was able to report on both quantifiable and non-quantifiable improvements through the workflow management exercise.

Just as there are internal and external customers, there are also internal and external measures. There is a need for organisations to decide what they want to measure and how they want to measure it. For this, they need to make sure that they clearly know where the measure begins and where it ends (Hayler & Nichols, 2005). Once they know what they want to measure, they can then set Key Performance Indicators for the measures. The key indicators for external measures focus at results which are at a process or value chain level while internal measures focus on results achieved by sub processes (Harmon, 2007).

Examples of external and internal measures

<b>External Measures</b>	<b>Internal Measures</b>
Income measures	Efficiency and effective of specific functions
Customer satisfaction measure	Costs of producing the product or service
Market growth measures	Quality of internal inputs

Figure 6: Source Harmon 2007

The bottom line regarding measurement of a business process is the collection of accurate, consistent and reliable data which is analysed in order to determine its performance before and after the improvement. The data can make or break the improvement process as it could lead to wrong interpretation and wrong interventions. It is therefore important to validate data (measurements) before changing the process, i.e. “measure twice, and cut once” (Hayler & Nichols, 2005).

## **2.7. Best practice benchmarking in process improvement**

Benchmarking is increasingly becoming an important business activity as most organisations strive to improve their operations by measuring them against best practices while avoiding re-inventing the wheel. Best practices refer to the practices and strategies used by top ranked companies in the particular area of interest while benchmarking refers to the process of gathering metrics for a particular area of interest in order to understand how your company measures up against others (Hayler & Nichols, 2005). An organisation can benchmark in different areas of business such as their innovation, customer satisfaction, partnerships, processes etc.

Benchmarking is not the same as stealing other organisations’ practices and authors such as Zairi (1996, p.34) have argued that what differentiates it from copying and industrial espionage is that the latter is illegal. Benchmarking does not cause harm to other businesses, it enables companies to set realistic and achievable targets by fostering a learning environment through improvement. The diagram below shows how Hayler & Nichols (2005) have described the benchmarking process.

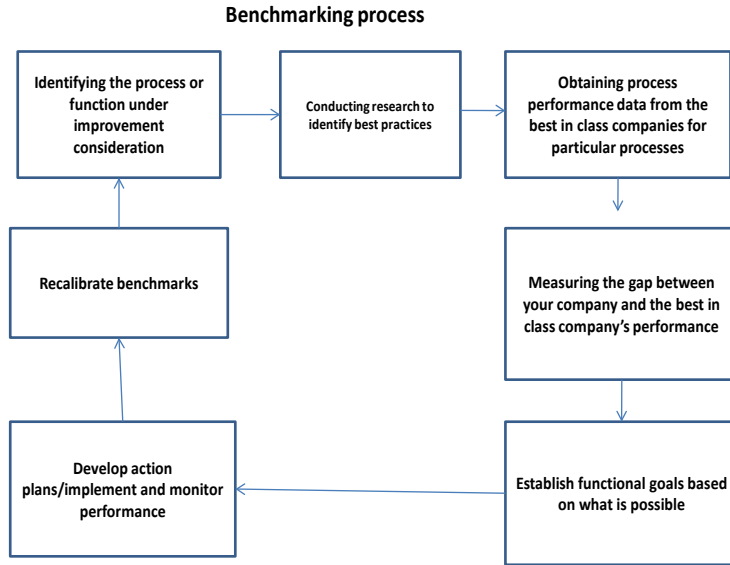


Figure 7: Source Hayler & Nichols (2005)

Benchmarking sets standards and encourages companies to be efficient and effective by producing top quality products and services. For this, a number of frameworks of assessing quality applications such as the Malcolm Baldrige National Quality Award, the European Quality Award and ISO 9000 are applied by companies that want to excel (Zairi, 1996, p50). These quality standards serve as a motivator for companies that want to be recognised as customer orientated.

In recent years, a lot of organisations have recognized and embraced the value of applying best practice benchmarking and have yielded significant benefits because it cuts across sectors, organisation types and looks for best in class (Hayler & Nichols, 2005).

Since there is no literature on best practices specific to external expert knowledge acquisition processes for development cooperation, the study has looked at the general principles of processes and used that as a backdrop against which the process is benchmarked.

In addition, the study looked at how the Floyd Medical Centre Community Hospital which is also a service providing organisation by Staunkel & Faulkner (2009) went about implementing Lean six sigma and what the DDC can learn from it.

## **2.8 Process improvement in knowledge acquisition, transfer and retention**

Having looked at business processes and the potential value to be gained by understanding, evaluating and improving business processes, it is now important to look at how this might apply to the acquisition and retention of external expert knowledge at the DDC.

### **2.8.1 Definition of knowledge**

Although there are many definitions of knowledge, many contemporary authors have borrowed the now classic definition from Nonaka & Takeuchi (1995, p 58) who have defined knowledge as:

“First, knowledge unlike information is about beliefs and commitment. Knowledge is a function of a particular stance, perspective or intention. Second, knowledge, unlike information, is about action. It is always knowledge to some end. And third, knowledge like information is about meaning. It is context - specific and relational. In our theory of organisational knowledge creation, we adopt the traditional definition of knowledge as ‘justified true belief’...while traditional epistemology emphasises the absolute, static, and non human nature of knowledge, typically expressed in

propositions and formal logic, we consider knowledge as a dynamic human process of justifying personal belief toward the truth. ...This understanding emphasizes that knowledge is essentially related to human action”.

This definition is also echoed by Stacey (2001) who has defined knowledge as a framework for evaluating and incorporating new experiences and information which originates in the mind of the knower and it is formed by past experiences as well as by current values and beliefs.

### **2.8.2 Forms of knowledge**

There are two forms of knowledge, i.e., implicit knowledge which is also known as tacit knowledge and explicit knowledge. It is important to understand the distinction between the two forms of knowledge because they have implications on our study, particularly in the way expert knowledge is transferred. Explicit knowledge is knowledge that is expressed and communicated in language or text while tacit knowledge is knowledge that is not expressed in language or in text (Liebowitz, 2001). Tacit knowledge includes things that we know but they are not expressed anywhere, they are in our heads. Authors such as Newel, et. al. (2002) believe that the two forms are not easily differentiated because in order for someone to understand explicit knowledge, they need to possess a certain degree of tacit knowledge. They further argued that, because tacit knowledge resides in our heads, there is a need for interaction between individuals to allow the transfer of knowledge from the expert to the non expert.

Explicit knowledge can be communicated easily through language and or text, hence it is easier to learn and internalise. In disciplines such as development cooperation, there are a lot

of things written down, however, diplomacy and the art of negotiations in different settings are better learned through interaction and practice than from books or a classroom. In such cases, the expert who acts as a mentor and a coach also need to guide the non-expert to facilitate transfer of implicit knowledge.

According to Campton & Jansen (1989) the expert's knowledge is not so much recalled, but to a greater or lesser degree made up by the expert as the occasion demands. They further concluded that the knowledge that the expert provides varies with the context and gets its validity from its ability to explain data and justify the expert's judgment in the context. This makes the process of understanding, acquiring and utilising expert knowledge more complex because expert knowledge is implied and not necessarily consistent. In this study, expert knowledge will refer to the superior knowledge which is not available locally and is sourced outside of the country for DDC. Because of the complexity surrounding knowledge, a new management paradigm i.e. knowledge management has emerged to allow organisations to better understand and benefit from it.

### **2.8.3 Knowledge Management**

While knowledge management is a fairly new concept in literature, the practice of managing knowledge in organizations is not so new. Organizations have long learned that knowledge is power and they have resorted to managing it as an asset that offers them a competitive advantage. As an evolving practice, a lot of attention has been turned to how knowledge management practitioners can operationalise the growing body of theory (Davenport et.al., 1997).

There are two approaches towards knowledge management, namely, the cognitive and the community models. The cognitive model advocates for the codification of knowledge and it is primarily concerned with the application of information and communication technologies to the retention and circulation of knowledge (Love et. al., 2005, p. 84). In his ‘Users loathe to share their know - how’ article, Gomolski (1997, p. 6) has reduced knowledge management to information communication technology approach which he says is important in stockpiling workers knowledge making it accessible to others via searchable database applications. This approach assumes that all knowledge is explicit and does not take into consideration the issue of tacit knowledge.

On the other hand, authors such as Nonaka & Takeuchi (1995) believe in the community model where they recognise the importance of social relationships through which knowledge is created, shared and managed. This group of theorists believes that, “it is likely to be fairly easy to share knowledge between individuals who are relatively homogeneous, because they share a common understanding and belief system” (Newell, et. al., 2002, p. 108). In particular, they believe that it is difficult to exploit tacit knowledge organisationally because its sharing requires a shared model that enables individuals and groups to learn from one another (Love et. al., 2005. p.84).

#### **2.8.4 Knowledge acquisition**

An important aspect of knowledge management is first of all, getting it into the organisation. Knowledge acquisition refers to the sourcing of knowledge that is needed to perform a certain function which is not available (Love et. al., 2005). The function of knowledge acquisition is therefore “to manipulate the knowledge itself by obtaining

information that describes the actual knowledge in sufficient detail for communication to other people or other repositories” (Liebowitz, 1999, p.3-27). This process is very important because it defines the type of knowledge that is needed, the areas in which this knowledge is needed and how it can be sourced. The process for acquiring both tacit and explicit knowledge involves a knowledge source – an expert, database, outside agency or information provider which is queried to elicit detailed information that describes the knowledge of interest (Liebowitz, 1999, p.3-27). This ensures that the knowledge that is being sourced is the right one to perform the task at hand. There are different methods through which knowledge can be acquired and Liebowitz (1999, p.3-27, 29) has discussed four methods in detail

- Comprehensive knowledge engineering
- Eliciting advanced concepts and metaknowledge
- Lessons learned programs
- Importing external knowledge

With the comprehensive knowledge engineering approach, expert knowledge is acquired in details and it is usually audiotaped and or videotaped to make it easy for encoding. This method requires certain set conditions/situations to enable the expert to explicitly explain the actions. With the ever changing conditions of technical assistance, this method would have to be repeated constantly with conditions for each donor in order for the DDC to benefit from it.

The second approach which is eliciting advanced concepts and metaknowledge is achieved through obtaining thinking strategies, hierarchies, and associations from the expert. It allows practitioners to generate reasoning behind routine work to make it more effective by developing sound approaches and frameworks. Similarly to the first approach, this will not be optimal with development cooperation due to its ever changing dimension.

The lessons learned program approach on the other hand is based on learning from unique past situations and it is largely dependent on motivated individuals. This approach however is case based and it needs broader cooperation and well established effective networks to be able to learn from others. In this case, the DDC would have to identify other middle income countries and learn from them but only if they have well documented cases to learn from.

The DDC has largely adopted the last approach whereby they import expert knowledge from outside the country through environmental scanning or other methods to identify external knowledge sources through collaboration with suppliers and customers. This approach is said to be achieved through ‘Gate keepers’ also known as middle managers, project leaders, team leaders whose function includes among other things finding the needed knowledge, interpreting its meaning to the group in the short and long run and facilitating the transfer thereof within group”, (Desouza & Awazu, 2005, p. 44).

External knowledge acquisition requires regular reviews and therefore the selection of its sources is not only about cost, but about quality, reliability, relevance and usability in order to determine its value to ones’ organisation by concentrating on information which Liebowitz (1999, p.4-15, 29) has identified as follows

- Knowledge and a continual evaluation of external sources and services
- Supply management, including the negotiation of corporate contracts, delivery formats and copyright, plus the monitoring of performance, costs and use
- The tracking of new suppliers and services

Information on the above elements is critical to an organisation because of global rapid change, the need to be competitive, emergence of new service providers and new services which can ensure that the organisational goals are met.

### **2.8.5 Knowledge transfer and retention**

It is one thing to acquire knowledge, but in order to utilise the sourced knowledge, there is a need to transfer this knowledge from the expert to the non expert. As described above, both explicit and tacit knowledge are very important and while explicit knowledge may not be a problem to transfer, tacit knowledge does not always share the same coat. “Tacit knowledge develops and is created through direct physical experiences with the structures, dynamics and constraints of the environment. No language or explicit reflective procedure is necessary for these processes” (Gadner et. al., 2004). This point is important to note because the way in which knowledge is transferred will depend on its form and not all experts have it in them to do this.

This sentiment is also echoed by Desouza & Awazu (2005) who said that, “many experts experience their knowledge tacitly and articulating it is not easy”. They continued by saying that “most experts are excellent knowledge managers, they simply lack the skills to impart knowledge to non – experts”. It is therefore important to create an environment for the transfer of knowledge to take place. If this is not done, the experts may not necessarily be in a position to transfer their knowledge to the non experts. In order to ensure that experts are imparting knowledge to their counter parts, measures can be put in place to evaluate their efforts. This will ensure the organisation’s ability to benefit effectively from the expert knowledge both in the short and in the long run.

The literature surveyed has provided insight on available business process approaches to help evaluate processes and offered suggestions for improving them. We should therefore be able to draw from these approaches and use tools and techniques to understand the process at DDC and how to improve it.

## **Chapter 3**

### **3. Research Methodology**

#### **3.1 Research design**

Since this study aimed to closely analyse a particular process in a particular institution, it adopted a descriptive case study analysis approach to obtain detailed information. This approach was selected because “it enables the researcher to carefully study the order of events as they occur or to concentrate on identifying the relationships among functions, individuals or entities” (Zikmund, 2000, p.107). This approach is also said to be of significance if a researcher “wishes to gain a rich understanding of the context of the research and the processes being enacted” (Saunders et. al., 2003, p.93).

A case study approach is defined as “a family of research methods having in common the decision to focus on an enquiry around a specific instance or event”. The definition by Remenyi et. al., (1998, p. 165) goes further to describe a case study as an “empirical enquiry that investigates a contemporary phenomenon within its real life context”. The study will be conducted in its real life context (in the institution) and it will include people who are involved in the process of acquiring and utilising external expert knowledge. It has also been proved that, a case study approach is good at answering the “Who why and how questions in management research” (Remenyi et. al., 1998, p.50).

Regarding this research, there is already an existing theory in the NPCCS that; external expert knowledge is not benefiting the institution as it was intended and part of the problem

could be in the way external expert knowledge is acquired. This issue has been discussed in a number of meetings in the institution and discussions are under way to develop a policy to this effect. These statements were explored further in the study and since there is already this general theory, using a case study approach was considered appropriate because as Sanders et. al., (2003) have noted, a “case study would be a very worthwhile way of exploring existing theory”.

This design enriched the study because it has the ability to utilise a wide variety of sources of evidence i.e. documents, interviews, direct observations, participant – observation of situation, physical artifacts and archival records (Remenyi et. al., 1998, p. 175).

As it is customary in a case study research, the researcher remained alert, flexible, creative, intelligent and motivated because anything could happen during a case study research i.e. finding a different situation from what was anticipated.

### **3.2 Sampling and data collection**

This study made use of both primary and secondary qualitative and quantitative data collected through specific methods which are described below covering the period 2003/04 – 2007/08. The information was collected from all the DDC officials because they are all involved in the process in one way or another, and also from the experts that were at the DDC at the time of the study.

1. **Documentation:** Documentation is a secondary source and included the review of agreement frameworks between the Government of the Republic of Namibia and the respective donors who have provided technical assistance to NPCCS through external expertise in the past 5 years. The documentation further included the review of contracts

between external experts and their contracting parties, which is usually the donor. It also looked at the documented work i.e. reports that they produced throughout their contracting period against their Terms of Reference and work plans. This enabled the researcher to determine the extent to which NPCCS has been involved in the process of acquiring expert knowledge and also the extent to which the external experts interacted and imparted their knowledge to the local professionals.

2. **In depth interviews:** As a primary source, there were various interview sessions with identified key stakeholders to allow the interviewee to gain and synthesise information which these key informants provided; drawing from their experiences in terms of opinions and knowledge. The information obtained was about the effectiveness and efficiency of the current process because this is the group that is involved in the acquisition process.

Guiding questions are appended in Annexes 2 - 4. The group included:

- The Director of Development Cooperation in Namibia.
  - The Deputy Director of Multilateral Programmes in the DDC
  - The Deputy Director of Bilateral Programmes in DDC
  - The Deputy Director of Development Cooperation Resource Management
  - Programme Administrators of donor funded technical assistance programmes
  - External experts working at DDC at the time of the study.
3. **Focus group:** In order to collect information on external expert knowledge that the DDC has received in the last 5 years, a group of staff members who have at least been with the directorate for 5 years and more was assembled and interviewed together. The reason for assembling the staff members was to ensure enough institutional memory because there are very few records on external expert knowledge at the directorate. See Annex 1.

4. **Brain storming session:** The entire Directorate of Development Cooperation was engaged in a brain storming session to get their opinion on the current process, what they thought are the problems in the process, what their ideal process could be; and how they thought the current process can be best improved. This group was also used to comment and endorse the 'to be' or improved process. Discussion questions are appended in Annex 5.
5. **Literature review:** A number of publications and reports on knowledge management were reviewed extensively and theory based best practices were presented and compared to the situation at the DDC. A detailed literature review was also carried out on business process improvement to determine the best practices for defining and improving a business process. Since the researcher is a member of the social group whose process was being studied, the researcher provided a write up of the outcome of the interviews to the interviewees to verify the information to ensure that the researcher did not use personal interpretation.

### **3.3. Data analysis**

Because the study collected both qualitative and quantitative information, a descriptive analysis and a statistical analysis were carried out to interpret data. Statistical analysis was largely by Microsoft Excel to generate charts and graphs for ease of reference.

Using the theory based best practices of process improvement discussed in Chapter 2 and the Lean principle approach, the research adapted the Turner model as a basis for data analysis because it provided a wide range of categorised business tools for process improvement.

Once the information was collected, the researcher used the process mapping tool to define and analyse the current process at DDC as described in the literature review. The researcher identified problems in the existing process and understood their causes by using a combination of the cause and effect, the 5Whys and the Pareto analysis. The researcher then engaged in a brain storming exercise to generate possible solutions for the process. Taking economic realities of scarce resources into consideration, the research prioritised the brain stormed solutions using the wheel of solutions and the effort impact tools so that the solutions requiring less effort while delivering the greatest impact were implemented first.

The research then used the process mapping tool again to propose a “to be” process after which recommendations were provided.

### **3.4 Scope and delimitations**

Whereas technical assistance according to the Organisation for Economic Cooperation and Development OECD (Action aid International, 2005, p. 28 ) has three main elements: study assistance through scholarships and traineeships, including training of developing country nationals in donor countries; personnel development, including long term and short term experts (both expatriate and national); and research into the problems of developing countries, including diseases, this study largely focused on the second category and was limited to the evaluation and analysis of the process at DDC.

Because of time constraints, this study did not evaluate the effectiveness of the proposed improved knowledge acquisition process for DDC. Another study will have to be carried out to measure the effectiveness of the proposed process after the implementation, should the directorate decide to adapt the process.

There is very limited disaggregated information (literature) regarding the effective use of technical assistance, particularly on the effectiveness of long term and short term experts that donors fund to support recipient countries. The available literature has largely quantified technical assistance under overall Official Development Aid and thus, the effectiveness of technical assistance was also discussed within that framework.

The subjectivity surrounding the effectiveness of technical assistance and the absence of a system to measure the effectiveness of technical assistance at DDC made it difficult to comprehensively evaluate the process being studied.

## **Chapter 4**

### **4. The Acquisition of External Knowledge Expert at the Directorate of Development Cooperation**

#### **4.0 Introduction to the Chapter**

This chapter will discuss the need for external expert knowledge at DDC, overview and the need for a defined process for acquiring donor funded external expert knowledge.

#### **4.1 The need for external expert knowledge at the DDC**

The need for external expert knowledge acquisition at DDC and in the entire public service of Namibia stems from many factors. The United Nations Development Programme has identified three major factors through its United Nations Volunteer Support to Capacity Building Project Document (2003, p. 1), namely:

- severe shortages of adequately skilled human resources in Namibia which can be corrected only in the medium long term,
- the implementation of a self – correcting process by the Government involving a general freeze on employment due to over bloated size of civil service, and
- the difficulties the Government is facing in attracting and retaining qualified staffs because the private sector, drawing from the same pool of qualified individuals, can offer higher salaries and better conditions of service.

This situation has led the Government of the Republic of Namibia and in particular the DDC to choose the option of using external expert knowledge. Some national documents such as the NDP 2 and the National Capacity Building Strategy have suggested recruitment of appropriate persons from foreign sources” (Kazapua et. al., 2001).

Of course using external expert knowledge is very expensive, but when this is funded through donor funds (technical assistance), it does not have financial implications to the Government. This practice is not unique to Namibia; Botswana embarked on this scheme as far back as 1960s “to achieve development in a way which did not significantly boost the Government’s budget deficit in the short term, but which, in the long term secured growing domestic revenue” (Richards & Amjod, 1994).

The objective of using external expert knowledge in most developing countries is clear, it is to build the capacity of the local professionals; but experience shows that this seldom happens (DAC Reference Document, 2003).

In the past 10 years, a number of external experts have been contracted to build capacity of local professionals at the DDC and despite all these efforts, the Directorate of Development Cooperation is still in need of external expert knowledge. The current common practice of obtaining external expert knowledge is that, the directorate requests the donor for technical assistance, which the donor provides with the passive involvement of the directorate in jointly determining the suitability of the technical assistant for the assignment (Dev Cooperation Guidelines and Procedures for Namibia, 2008). The directorate has also not been actively involved in the contracting phase where conditions of service are specified. External experts then come in; do their work as per the contract, write reports, and leave. This method does not foster the principles of adequate knowledge and skills transfer to local staffs as stipulated by Desouza & Awazu (2005).

There may be many other factors contributing to this situation, including the fact that, the directorate has not given attention to its external expert knowledge acquisition process because it has been business as usual since independence.

## **4.2 Overview of external expert knowledge at the Directorate of Development Cooperation**

Charged with a national responsibility of mobilising, co-coordinating and managing external resources and monitoring their utilisation, the DDC realised that it is not getting the desired results out of technical assistance in terms of human resource development and in 2002; it developed instructions on guidelines and procedures for development cooperation in Namibia to make technical assistance more effective (Dev Cooperation Guidelines and Procedures for Namibia, 2008). The directorate is relatively small and it works with over 22 bilateral and 11 multilateral donors, each with its own dynamic procedures and requirements for accessing official development assistance, (Development Cooperation Report, 2004). This dynamism often requires specialised expertise which is not always locally available. It is because of the unavailability of that expertise that the directorate often requests assistance from respective donors in the form of external expert knowledge, to set up systems and to assist with meeting specific requirements. This situation has led to the influx of donor funded external experts to DDC in the past 5 years as indicated in the NPC Accountability Report (2007).

Conceived as a means of furnishing expert advice to United Nations member states that require assistance; the technical assistance programme for international development has received sustained criticism as it often failed to deliver on its promises (Wilson, 2007; Low

et.al, 2001; Berg, 1993; Harmonising Donor Practices for Effective Aid Delivery, 2003). Some of this criticism is that, besides being very expensive, technical assistants view the local professionals as support to their operations and not for capacity building which results in poor skills transfer (Low et.al, 2001). The low skills transfer then means that, there will always be a need for technical assistance. A study by the IBRD (1994) on Human Resource Development in Sub- Saharan Africa has recommended that changes be made in the process and procedures by which technical assistance is delivered and managed. There is little evidence at DDC that this recommendation has been acted on in Namibia.

The DDC has had 13 external experts (Technical Assistants) over the past 5 years but there is seldom information on the work carried out by these external experts, particularly in terms of capacity building of the local staffs (African Capacity Building Foundation Submission, 2008). The directorate and NPCCS as a whole do not keep official records of what these experts have done and as a result, it is difficult to assess whether or not the directorate is optimally benefiting from its acquired external expert knowledge. In addition, the directorate does not have a systematic knowledge transfer strategy which also makes it difficult to quantify specialised knowledge/ skills that the local staffs have learnt from the external experts.

According to the African Capacity Building Foundation submission (2008), the main underlying reasons for the trend in the flow of external experts to the directorate include: the intention to acquire knowledge that is not available in the country and transfer it to local staffs, the strategic nature of development cooperation in relation to the institutional mandate and the strict requirements for donor assistance to be tied to technical assistance (external experts).

The Development Cooperation Guidelines for Namibia (2008) have recognised the fact that, the success of technical assistance depends on the competence of the selected expert and that Namibians need to take responsibility in ensuring that the skills and capacity gaps of the local professionals are addressed.

The guidelines further emphasised that the use of external expert knowledge should only take place on exceptional cases and for a short period so that the locals can take over, given the fact that the ultimate aim is to build capacity of the locals, unless it can be justified beyond reasonable doubt. However, what is lacking from the guidelines is how that will be achieved.

Seneviratne (2008) has recommended that, in order for DDC to sustainably facilitate the transfer of external skills, knowledge, experience, and expertise of consultants in a systematic and constructive manner, they need to be actively involved in the formulation of Terms of Reference for the external experts and also develop separate Terms of Reference for the local counterpart [understudy]. This will ensure that there is a basis on which both the experts and the local staffs would be evaluated.

#### **4.3 The need for a defined process for acquiring and transferring donor funded external expert knowledge at DDC**

When donors provide external experts, the support is expressed in monetary terms which are recorded under Official Development Assistance to Namibia. In some cases, 95 percent of the project budget from the donor is allocated to the technical expert and only 5 percent goes to the actual project and because of the enormous amounts that goes into these experts, National Planning Commission Secretariat in general and DDC in particular has to

account for these funds, at least in terms of skills acquired (Promoting National Economic Development Through the Introduction of Foreign Experts, 2007).

The inability to account for this technical assistance has caused uneasiness among the NPC Commissioners and this is reflected in the meeting minutes of extensive discussions on the effectiveness of technical assistance (Seneviratne, 2008). One way of achieving this accountability would be for the directorate to start owning up to the process so that they are able to prove how they are benefiting from the assistance.

While there is no defined process for acquiring donor funded external expert knowledge; the Government of the Republic of Namibia has a defined process for acquiring Government funded external expert knowledge which is described in the Public Service Staff Rules as revised through the Public Service Management Circular No 16 of 1998. According to the revised Public Service Staff Rules (1998, p.1), the appointment of external expertise is subject to “proof that the Namibian job market has been tested and Namibian citizens with the required knowledge/skills are not available”. Unlike with donor funded external expertise, Government through the Public Service Commission is fully involved in the process of acquiring Government funded external expertise. It is involved from the need identification stage all the way to the contracting of technical assistants. Government also sets the conditions of service for the external expert in terms of the Public Service Staff Rule. These conditions include issues of duties, performance assessment, termination of agreement, transfer of expertise, extension of contract, discipline, Government debt etc.

In terms of the performance assessment, the Public Service Staff Rules (1998) requires that the external expert is assessed at 6 months interval and should the performance not be satisfactory, such service can be terminated in terms of the Labour Act, 1992 (Act 6 of 1992).

This measure can be explored for donor funded external expert knowledge to monitor the progress with regard to imparting skills to local staffs.

Of particular importance to this study is also the issue of transfer of expertise. Annex B of the staff Rule has a standard clause for inclusion in the contract of the external experts which reads:

The public service, as employer requires that the staff member [external expert] transfer his/her expertise to his/her Namibian counterpart/subordinates/understudies. It is thus incumbent on the manager(s) supervising such a staff member [external expert] to see to the transfer of expertise. This transfer of expertise shall form part of the performance assessment of the staff member.

This clause is very important because it makes the transfer of expertise to local staffs mandatory.

These are the terms for acquiring external experts with Government funds but since external expert knowledge is very costly, using Government funds to acquire it is seldom done and this is evident in the fact that there is no record at DDC of external expertise that was funded with Government resources in the past 5 years under review.

## **Chapter 5**

### **5. Research Findings and Analysis of the Results**

#### **5.0 Introduction to the Chapter**

This chapter provides findings and analysis of the evaluation of the process for acquiring and retaining external expert knowledge at the Directorate of Development Cooperation. The data was gathered from a number of in depth interviews with individuals, a group of long serving employees and brainstorming sessions held with the employees at the directorate and with the two external experts, as described in the methodology section. The analysis focuses on understanding the process that is currently being used at the DDC for acquiring external expert knowledge and identifying areas of weaknesses and deficiencies in the current process for improvement.

#### **5.1 Findings and analysis of the current external expert knowledge at DDC**

##### **5.1.1 The current process for acquiring and retaining external expert knowledge at the DDC**

The study found that there is no one consistent and documented process being followed at DDC for acquiring external expert knowledge. Numerous processes are followed, depending on the funding donor's rules and procedures. For example, some donors such as the European Commission have processes for acquiring different types of external expert knowledge using different funding facilities, whereas others have only one process. DDC itself has no documented process. When the need arise, they haphazardly embark on an

undefined process while adhering to the rules and procedures presented to them by the funding donors. What is however common is that, the issue of technical assistance is often reflected in the cooperation agreements with the donors but it does not say exactly how it will be provided. Based on these agreements, DDC normally start by requesting for external expert knowledge to be funded under the respective agreements as the need arises. That request will then trigger a series of events in the process which are similar but at times with distinct requirements of how they have to be reflected and by whom.

Some of these donor rules, procedures and processes are inconsistently understood within the DDC because very often, the donor office in the country does not have the processes documented and they are not sure about the processes themselves. As a result, they always have to refer back to their headquarters where these processes are also often changing based on either irregularities that may have been discovered in a different country, change in personnel at their headquarters or change in the source of funds which will be used to finance the external expert knowledge. For example, it is not clear if the acquisition of external expert knowledge funded through the United Nations system in Namibia is done by the country, by their respective headquarters or jointly. These inconsistencies make it difficult for DDC to work with a standardised process which they can understand and improve so that it produces quality knowledge which they can also retain.

### **5.1.2 The ‘de facto’ process**

Although there is no documented process for acquiring external expert knowledge at the directorate, the DDC management were able to describe a ‘de facto process’ that most

people in the organisation are operating with, taking into account variations from programme to programme because of different donors' rules and procedures.

As indicated earlier in the methodology section, the swim lane process map was used in this study to illustrate the de facto process at the DDC. The reason for using this tool is twofold. First, the tool allows for the identification of the tasks in the process and secondly, it looks at who does what in the process. The description and the map of the de facto process is as follows;

**The DDC's de facto process map**

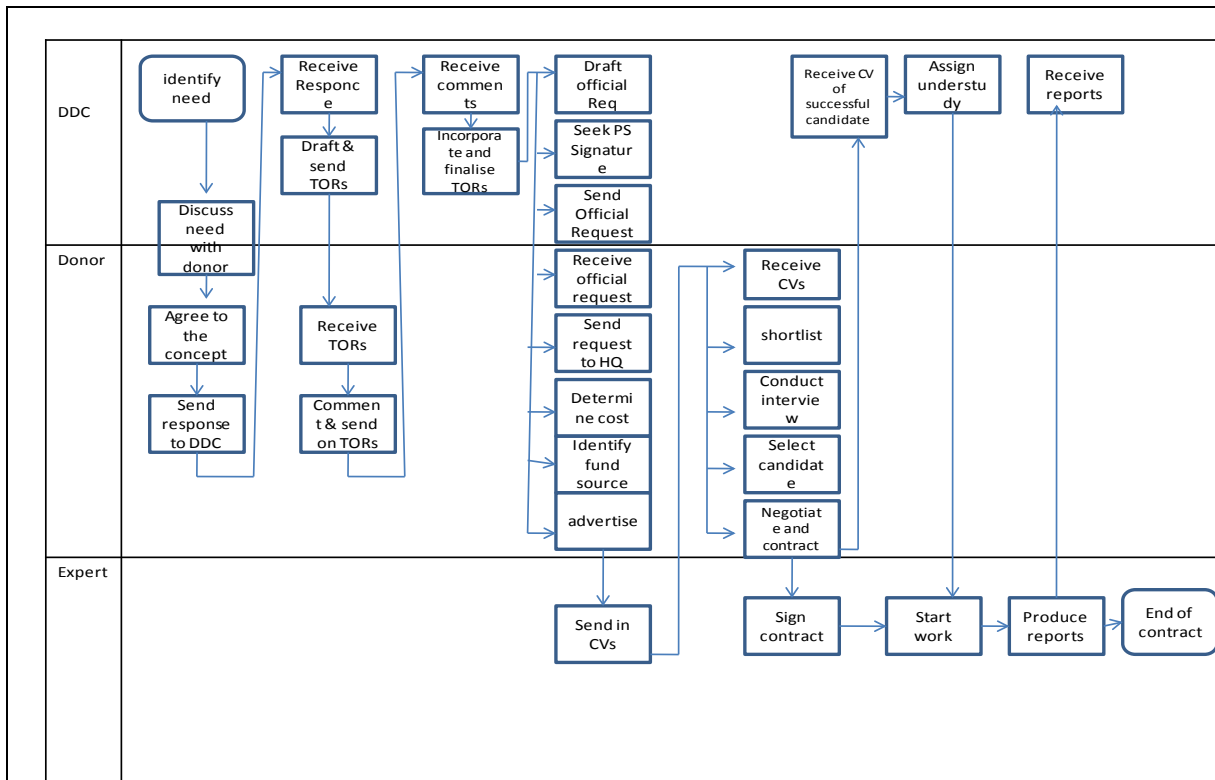


Figure 8

**Description of the de facto Process of acquiring external expert knowledge at the DDC**

- The process normally starts with the identification of a need of expert knowledge by the directorate. When the identification is done, the DDC has to set up a meeting to

preliminary present and discuss the need with the potential funding donor to establish a tentative agreement on the concept.

- When the donor agrees in principle, they send a response to DDC. DDC receives the response and start drafting the Terms of Reference (TORs) for the type of expert knowledge they need, including the period.
- The draft Terms of Reference are then shared with the donor for their comments and inputs. The donor receives the draft TORs, make their inputs if there is any and send them to the directorate for incorporation. This step goes back and forth until both sides are satisfied with the TORs. When both sides are satisfied, the DDC then transmits the final Terms of Reference to the donor with an official request in writing under the Permanent Secretary's signature.
- The donor receives the official request for external expert knowledge with the final Terms of Reference and sends it to their Headquarters. Based on the need expressed in the Terms of Reference, the donor then determines the cost of that specific knowledge and identifies the source and availability of funds. Normally, donors use their set rates which are calculated per day based on qualifications and experience of the expert; often referred to as consultancy rates.
- The donor then uses the funding facility's rules and procedures to advertise through certain pre - selected media for a specified period, receive expression of interest from eligible applicants, short list, interview, select candidate and negotiate the terms of the contract.

- Concurrent to the negotiation of the contract, the donor also shares the CV of the selected candidate with the DDC for their information.
- The expert then signs the contract with the donor and comes to DDC to start work.
- Sometimes, there is an understudy attached to the foreign expert immediately, other times, an understudy is attached later on during the assignment period or never.
- The expert is required to report regularly on their progress through the Director of Development Cooperation.
- At the end of the assignment, a final report is produced.

The other process which the Multilateral Programmes Division alluded to was the one where the whole process from the identification up to the contracting is done by the donor, in which case the DDC only receives the external expert knowledge worker. The only involvement of the DDC in this process is to assign an understudy to the expert if they are able to. In all cases, it was not clear who the experts report to. These experts were based at the donor's offices and were supervised by the donor.

The directorate has indicated that, although three experts were acquired under this modality, it is not common and it only happened in one programme and they want to prevent it in future.

## **5.2 Analysis of the process**

An analysis of the process at the DDC was conducted in two parts as indicated in the methodology section. The first analysis was a series of assimilated interviews, presented in charts and graphs for easy reading and analysis. The second analysis was conducted in a group session with all DDC staff members. The group analysis session used brainstorming, cause

and effect coupled with the 5 whys, wheel of solutions and the effort impact tools to identify problems, generate solutions, categorise and prioritise solutions respectively.

### **5.2.1 Analysis from interviews and assimilation of reports to establish the effectiveness of the process**

#### **(i) Sourcing of external expert knowledge**

The study found that, from April 2003 – March 2008 fiscal years, the directorate had 13 external experts who were all funded by the United Nations and the European Commission. The sourcing of all 13 external experts was done by the funding donors through their pre-defined sources which is either their own countries or their database systems. For example, all external experts who have worked under the Capacity Building for Development Planning Programme at the DDC in the past 5 years were from European Union member states because the European Commission (EC) funds them. Equally, the UN funded experts who have been to the DDC during the same period have also been sourced by the UN through their own database system. Figure 2 shows the relationship between the source of funding and the origin of the expert.

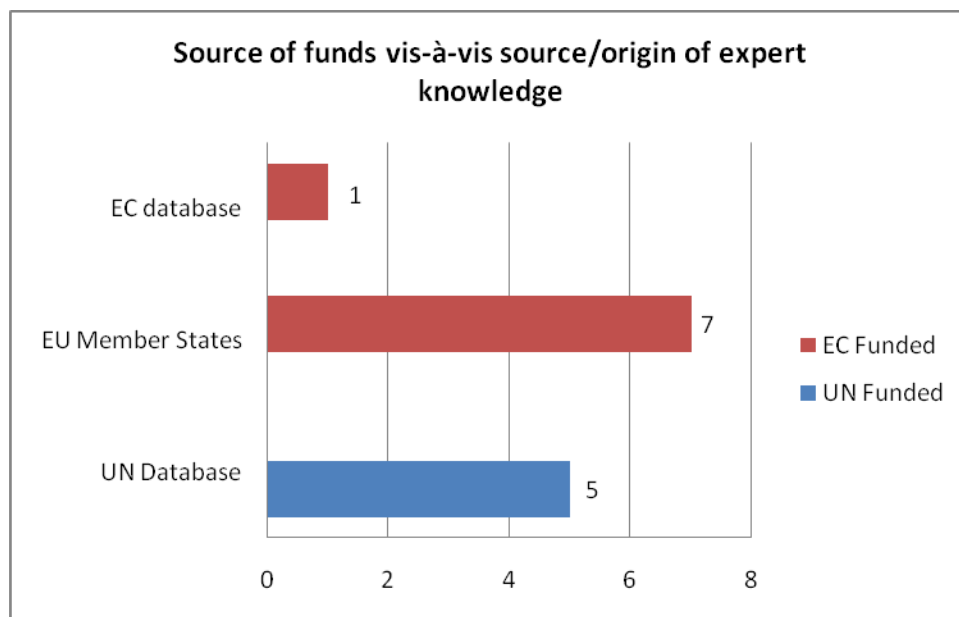


Figure 9: Source of funds and origin of expert knowledge

The study further found that, the practice by donors to source experts from their own countries/ database systems is not exclusive to the DDC. There are a lot of external experts from China who are working on Chinese funded programmes, German experts on German funded programmes etc. The issue of external expert knowledge being tied to Official Development Assistance is therefore explicitly evident both at the DDC and at the national level.

**(ii) Appointment of understudies**

Even though there is no formalised strategy at the DDC for retaining external expert knowledge, the directorate has been assigning understudies to some external experts as a means to retain that knowledge. The graph below shows the percentage of experts that were understudied in the past 5 years at the DDC.

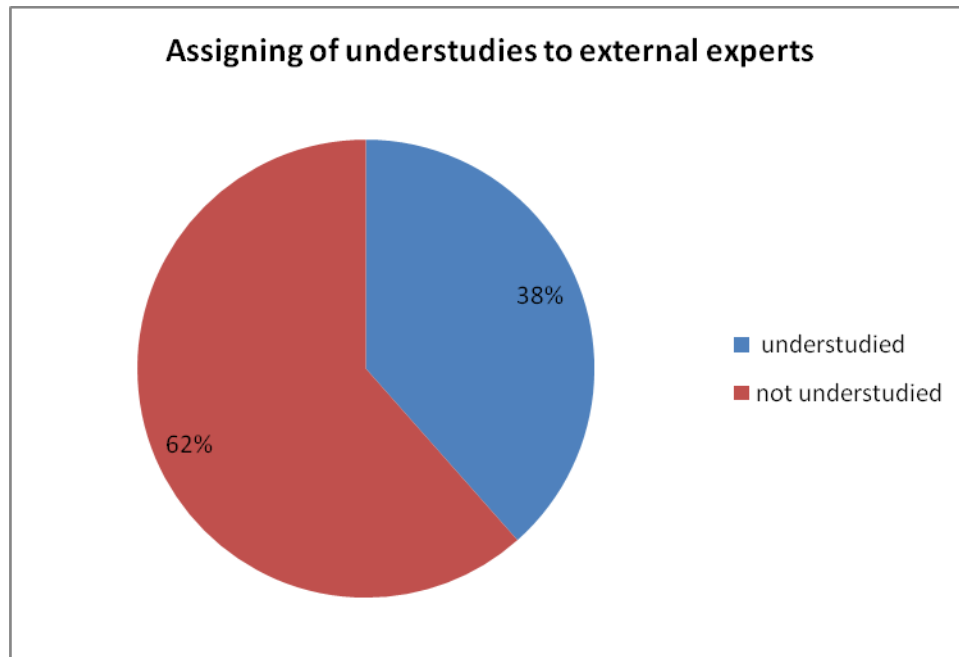


Figure 10: Assignment of understudies to external experts

From the 13 external experts that came to the directorate in the past 5 years, only 38 percent were understudied while 62 percent were not understudied. This does not necessarily mean that 62 percent of the external expert knowledge that came to the directorate was wasted because, with the exception of two who did not complete their assignments, the external experts carried out the directorate's work as defined in their terms of reference. In addition, some of their explicit knowledge was also retained in the form of progress reports, although it became evident during the study that, while a few reports were available, they were not always easy for the directorate to interpret and as a result, they could not implement some recommendations from these reports. This is because retained explicit knowledge sometimes lacks underlying meanings and logic. This was said to have led to the directorate being left with systems which they cannot sustain; such as the now abandoned civic organisation database system and the prototype database on development cooperation.

If the DDC commits to assign understudies to external experts, it will give them an opportunity to retain tacit knowledge which requires real life personal interactions to give meaning and logic in addition to the reports. External experts also prefer to have understudies during their assignment to ensure that their contribution is well understood. If their contribution is misinterpreted or misunderstood, it reflects failure and has negative repercussions in their future work. Their future work depends largely on the success of their previous work and to them, it is important that the systems and frameworks that they create perform well.

All external experts who were at the DDC at the time of the study did not have understudies assigned to them and as a result, they tried to involve some local professionals who were working closely with the subjects of their assignment. This was however not easy as local professionals were often too busy or out in the field.

The phenomenon of high un – understudied external expert knowledge at the directorate is attributed to the fact that, the directorate is relatively small and it is not possible to assign an understudy to every external expert. In addition, the whole process is said to be ambiguous to the directorate, making it difficult to plan for understudies as they cannot have people on standby for an undefined period of time.

### **(iii) Measuring the quality of outputs/deliverables of the process**

The study found that the DDC does not have a performance measurement system in place for the process. While the directorate alluded to high quality external expert knowledge as the output of the process, they did not have a way of proving whether the experts

knowledge that they have received were of high quality or not and this made it relatively difficult to establish whether the de facto process is effective or not.

In the absence of a measurement system in place, the study reviewed the few available reports produced by external experts coupled with an opinion based evaluation with a group of DDC staff members that have been at the directorate for at least 5 years. The outcome of the expert's assignments was then compared to the deliverables as described in their respective Terms of Reference to see if they achieved their tasks and the extent to which they achieved them. The measure was then translated in the quality of the output of the process, i.e. the quality of external expert knowledge. It should be noted that, in this study the attribute of quality of external expert knowledge is to a certain extent subjective because it is qualitative and opinion based.

Figure 11 below which shows the outcome of the evaluation of the process on the quality of external expert knowledge indicates that the process has produced mixed results in the past 5 years. In contrast to the intended output of the process, 31 percent of all the external expert knowledge that came to the directorate is average while 15 percent is below average.

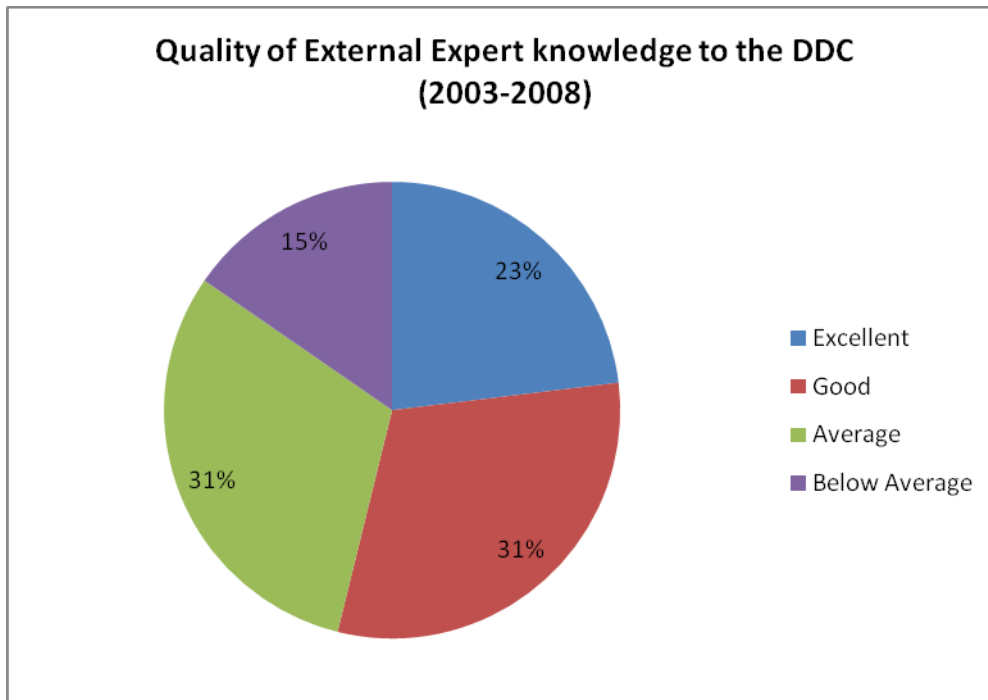


Figure 11: Quality of External Expert Knowledge to the DDC

The evaluation further revealed that the 31 percent of the good and 23 percent of excellent expert knowledge have created systems and frameworks which have allowed the directorate to execute its functions effectively. For example, the directorate attributed its successful development and finalisation of the N\$ 112 million Millennium Development Goals Fund Joint Programme, the Development Cooperation Guidelines and Procedures for Namibia, and the implementation framework for the Government of the Republic of Namibia Civic Organisation Partnership Policy as some of the major achievements accomplished with the support of external expert knowledge.

On the contrary, the directorate had to let go some external expert knowledge unceremoniously because they were not delivering as per their Terms of Reference. This has led to some programmes such as the Capacity Building Initiative for Namibia being abandoned. Despite these experts' inability to perform successfully, the DDC had to report on

the resources that have been utilised as support from donors while there were no results to account for it.

The study also discovered that, the current practice of presenting Terms of Reference to the experts by the Donor and the DDC without a proper meeting of mind can have a negative effect on the assignment. Experts are often left to interpret and translate the TORs into action when they arrive at the directorate by themselves. This makes the whole assignment to be subjected to the assumptions made by the expert which can be a misinterpretation. If such assumptions are not discovered early enough, it can lead to undesirable situations where experts are not producing intended results.

This situation can be avoided if the DDC starts to revise and approve the experts' action plans which they derive from their Terms of Reference before they start implementing them. These action plans can be turned into performance agreements between the directorate and the external expert and can also serve as a monitoring tool for both the experts and the understudies' performance.

If the directorate refrained from taking measures of the process, they will never really know if they are benefiting from the external expert knowledge or not and they will not be able to improve it. In addition, not being able to account for technical assistance from donors to the directorate which is often reflected in monetary terms will keep reflecting bad on the DDC's annual reports, especially when they have to present it to the commissioners and when they have to motivate for their new budget. Given the high cost of external expert knowledge, it is important that the directorate ensures that they receive the best available quality external expert knowledge.

The main reasons for the status quo of the quality of expert knowledge are discussed under 5.3.

**(iv) Timing of the process**

The timing of the process of getting the knowledge in the directorate is phased out in three stages. Stage one starts with the identification of the need of external expert knowledge by the directorate to the time where the Terms of Reference are finalised. During this stage, the directorate synthesises their need by realistically describing the attributes of the needed knowledge and communicating it to the donor in the form of Terms of Reference. The drafting of TORs requires the use of formats that are often complicated and it can take between 2 – 4 weeks because, besides ensuring compliance with the rules and procedures, the DDC also has to ensure that they do not compromise on the most important attributes of the required knowledge. Plus, donors also need to share the final TORs with their headquarters' offices for approval.

The second stage starts from the receipt of the official request by the donor to the time they select a suitable candidate. This period can range from 3-4 weeks because the donor has to run the advertisement through defined media for a defined period of time which is sometimes done through their headquarters offices.

The last stage then starts from the contracting phase to the time when the expert actually arrives at the DDC to resume duty. This period also takes about 1 month because in addition to negotiating the contract, the expert also has to relocate to Namibia.

In total, the process at the DDC to acquire expert knowledge takes about 3 months. The time it takes to get an expert is of concern to the directorate because they are expected to deliver development cooperation instruments to Cabinet on short notice and they cannot

always deliver them, particularly in areas where the expertise to design such instruments are not available in the country.

The 'up to three months' period is viewed as too long because at times, the knowledge arrives when the priorities of the directorate have either changed or the need has been overtaken by other events.

**(v) Effects of the involvement by donors**

The involvement of the donor in the process is necessary to ensure that resources are correctly accounted for. Currently, the donors are more involved in the process than the DDC. The reason for their involvement is largely necessitated by the fact that, their rules and procedures are complicated and often keep changing. On the other hand, the DDC does not have a standard defined process which donors can adapt as an alternative. With the exception of the identification of the needs, donors are largely involved in the whole process. Donors are particularly heavily involved in the sourcing of the expert phase, i.e., the advertising, short listing, interviewing etc.

The involvement of the donor in the process is not a bad thing, but excluding the directorate in some critical stages, especially during the sourcing of the expert reduces the credibility of the expert knowledge on the part of the DDC because they do not always know how it was acquired.

Donors can carry out administrative duties to ensure compliance with the necessary requirements, but they should consider including the DDC in the short listing of potential candidates, interviewing and in the selection of the suitable candidates. An observation has also been made that, in some rare cases, donors do insist on involving the DDC in sourcing

experts while others go up to the contracting of the experts without the active involvement of the DDC.

The bilateral contract which donors sign with the external experts was also found to be a concern because it often leaves the expert more engaged with adhering to administrative requirements of the donor than with the achievement of the DDC's objectives. The study also found that the absence of any legal obligation between the DDC and the external expert leaves their *modus operandi* to interpretation.

The conditions placed on accessing technical assistance by donors were also found to hamper flexibility in the process because assistance is presented as tied aid and the DDC has to access it as if they were accessing a 'trust fund' which is part of the reason why the process is donor driven.

**(vi) Effects of the involvement by the directorate**

The DDC's involvement in the de facto process is especially high during the drafting of the Terms of Reference and from there; they mainly wait until they receive the experts. The directorate is not actively involved in the critical stage of sourcing the knowledge which could ensure that they get the right knowledge to assist them in achieving their objectives. The directorate however feels comfortable leaving the process to the donor because they find it complicated, it takes long and requires a lot of effort in terms of preparations. The DDC also fears that, if it takes over the process, failure to comply with the ever changing rules and procedures may result in legal implications which they are not willing to deal with.

The evaluation further found that, the DDC's involvement in the actual sourcing of the external expert has an impact on the quality of that knowledge. For example, the directorate was relatively more involved in the sourcing of the excellent knowledge and in the good

knowledge received by taking part in short listing and interviewing of potential candidates. There was partial involvement in the sourcing of the average knowledge which only included the drafting Terms of Reference and absolutely no involvement in the sourcing of all the below average knowledge received.

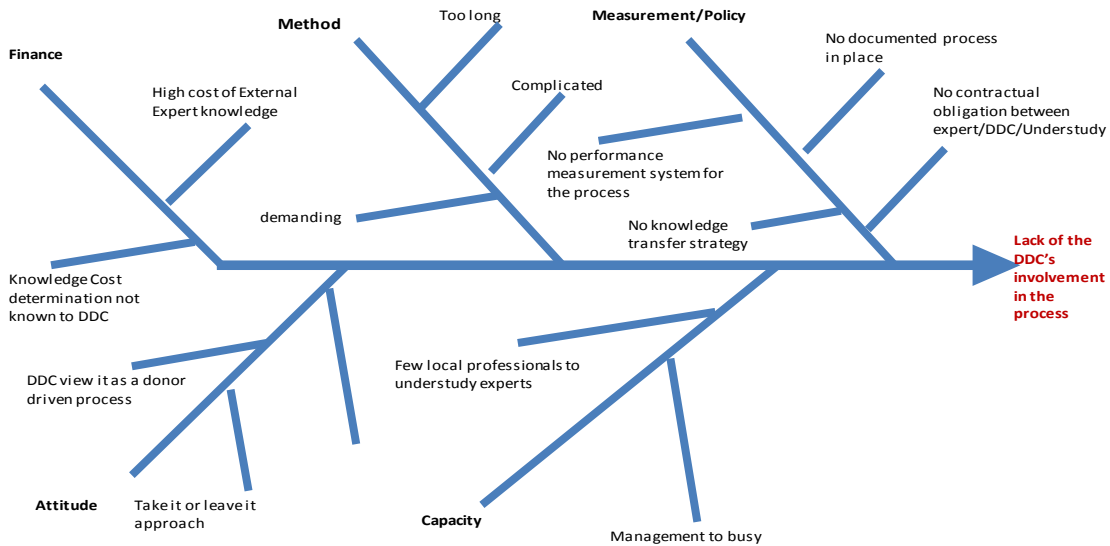
This means that if the directorate wants to improve the quality of knowledge it receives, it does not have to take over the process, it just needs to get more actively involved during the sourcing stage. This will ensure that the right external expert knowledge for national programmes is acquired at the right time and that this task is not entirely left to the donors. As figure 11 above shows, leaving the whole process to the donors, especially the sourcing of the expert does not always guarantee the best results for the directorate.

In addition, the DDC can enhance the impact of its involvement in the process by exploring various knowledge retention options for adoption. This will allow them to have a standard procedure in place to ensure that they gain maximum knowledge from the experts.

### **5.3 Analysis of major problems in the current process**

After describing and mapping the process, the entire DDC team through a brainstorming session identified several factors that are hampering the effective functioning of the current process. The factors were further analysed using the 80/20 rule and two main problems were identified i.e. lack of the DDC's involvement in the process and the presentation of external expert knowledge as tied aid with non favourable conditions. Coupled with the 5 whys technique, the study used the cause and effect diagram to establish what the group considered as the causes of these problems.

a) Lack of involvement by the directorate



**CAUSE & EFFECT**

Figure 12: Cause and Effect Diagram showing lack of DDC's involvement in the process

In addition to the causes identified above, discussions surrounding this problem were also summarised as follows:

- i) The directorate is seldom involved in the sourcing of external expert knowledge acquisition process because they believe that it is long, inconsistent complicated and demanding. They therefore believe that, by leaving the acquisition process to the donor, it saves them time and the resources that they would otherwise use to advertise both locally and internationally. It also saves them the complexity of complying with all donor procedures for recruiting external experts, allowing them to focus on other urgent activities.

To illustrate the complexity of donor procedures, the DDC used an example in which they are currently expected to pay back close to N\$ 2,000,000 to the donor for the National Agricultural Service Support Programme (NASSP) for not complying with the set donor procedures. It is such instances that make the directorate comfortable leaving administrative processes such as the acquisition of external expert knowledge to the donors. This way, they never have to take responsibility for anything that may go wrong.

- ii) The process is long, taking close to three months which does not allow the directorate to receive the necessary external expert knowledge at the time when they most need it. At times, the knowledge even arrives when the need has already been overtaken by other events or when the intended understudies are no longer available due to other assignments.
- iii) The directorate is relatively small with few local professionals, making it difficult to exclusively assign an understudy to each external expert. See annex 7 for the DDC organogram.
- iv) It was further discovered that the directorate does not have a skills transfer strategy in place, making it difficult to evaluate and qualify the extent to which skills have been transferred from the experts to the local staffs.
- v) DDC does not always analyse its capacity needs critically, to establish its capability gap and at times, it just accepts expert knowledge from donors to fill capacity gap instead of transferring skills; something that is contrary to its capacity building objectives. This point is further discussed in details in Chapter 6.

**b) Presentation of External Expert Knowledge as tied Aid**

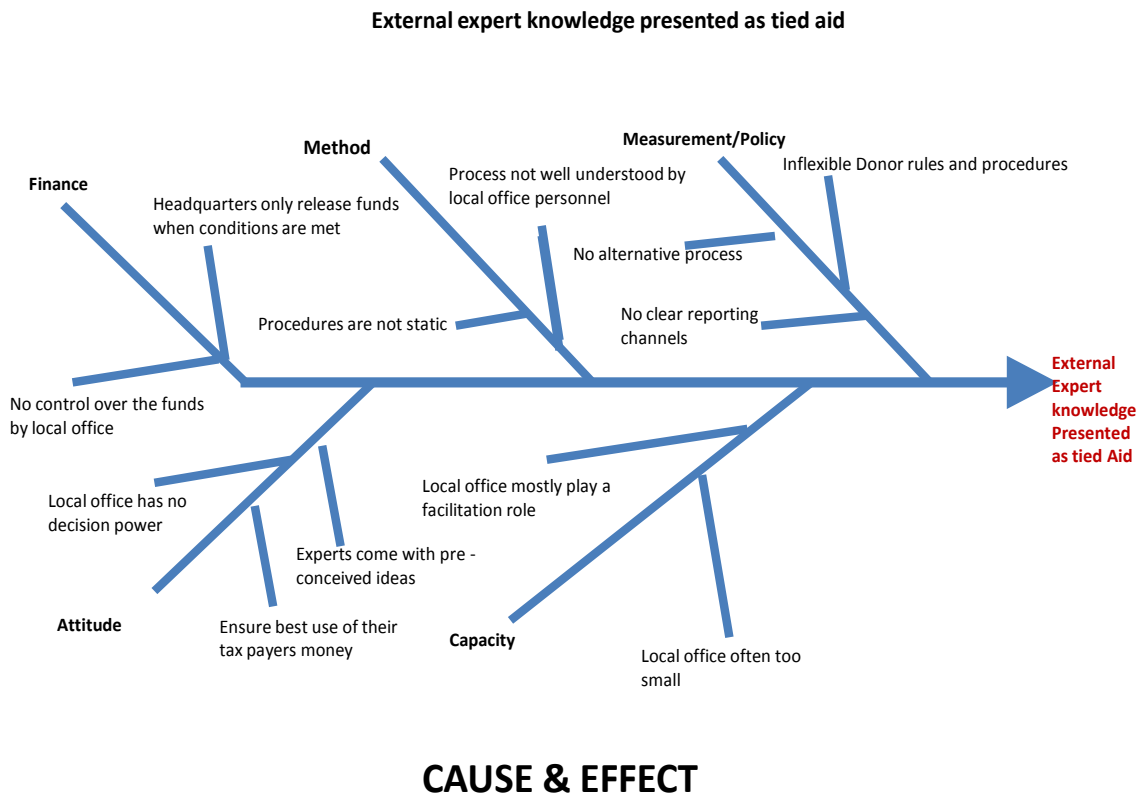


Figure 13: Cause and Effect diagram of external expert knowledge presented as tied aid

Additional discussions also revealed that:

- i) External expert knowledge is often presented to the directorate as tied aid where by the rules and procedures to access funding for it are pre set and the directorate has resorted to “treating it as a trust fund”. As a result, the directorate sometimes receives expert knowledge which they are not satisfied with.

ii) Some experts come with pre conceived ideas of the situation at the directorate and try to apply the one size fits all approach with their previous assignments from elsewhere. This often causes discomfort between experts and local staffs.

iii) Since the experts' contract is with the funding donor, they get what the Director of development cooperation referred to as "a life of their own" in the directorate because they do not fall under public service rules. In the absence of alternative guidelines by which they can be supervised, the Director finds it difficult to sufficiently hold them accountable like other staff members are and this makes the supervision difficult.

iv) The directorate (and the Government as a whole) does not have a defined process to acquire donor funded external expert knowledge which donors could use as an alternative.

c) Other problems

It was discovered that although this is not a DDC specific problem, there is a high turnover rate and a considerable number of local professionals in Government in general and at DDC in particular who have left to other institutions for greener pastures in the past 5 years. There is no policy in Government to bond trained personnel to an institution, unless when they have received a qualifying training and obtained a qualifying diploma/degree. And even with qualifying training, they are bonded to the entire Government system and not to a particular institution; which means that, they can go to another Government Office/Ministry/ Agency (O/M/A). To this end, the directorate has experienced difficulties in keeping and retaining external expert knowledge.

## **5.4 Possible solutions to make the current process of acquiring external expert knowledge at DDC more effective**

Using another brainstorming session, the study engaged the entire directorate in a solution generating exercise. Before using the effort impact tool to enable the group to prioritise the implementation of the solutions, the study designed a time based Wheel of Solutions tool which was used as a pre-effort impact tool to identify and visualise different aspects that will go into implementing each solution. The group looked at all the solutions one by one and identified all the aspects that will need to be in place in order to implement it. The cumulative time that it will take to have all the different aspects in place became the determinant of whether the solution is short term, medium term or long term. The categorisation of short term solutions were considered those that would take up to 6 months with medium term solutions being those that take between 6 and 18 months while everything beyond that is long term. The tool was used to avoid arbitrary plotting of solutions on the effort impact prioritisation tool. Below is the time based wheel of solutions for the process of acquiring and retaining external expert knowledge followed by the description and discussion of its keys.

Time -Based Wheel of Solutions For the DDC Process of Acquiring and Retaining External Expert Knowledge

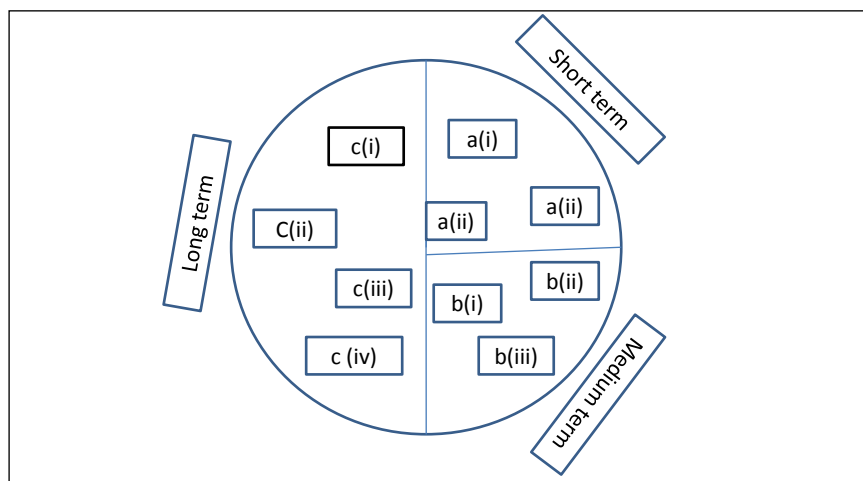


Figure 14: Time-Based Wheel of Solutions for DDC process

**a) Short term solutions**

- i) Although donors have procedures for acquiring external expert knowledge, they do not prohibit recipients of the expert knowledge from being part of the actual acquisition process. The directorate can therefore ensure that they get the right external expert knowledge by getting involved in critically revising the sourced curriculum vitae of the prospective candidates against the Terms of Reference and also by being part of the short listing, interviewing and selection panels.
- ii) When the experts come to the directorate, they should be orientated and receive mandatory induction in order to introduce them to the people and the structures that they will be working with. This will also give them background information on Government procedures and information on Namibia.

- iii) The experts should sign performance agreements with the Director who normally supervise them and also with the understudy to ensure that there is commitment by all parties. Such an agreement should act as an interim knowledge transfer strategy which will constitute a framework against which their performance will be evaluated.
- iv) Separate Terms of Reference should also be drafted for the understudy to ensure that a capable local professional with the right requirements is attached to the external expert.

**b) Medium term solutions**

- i) While acknowledging the absence of the acquisition process of donor funded external expert knowledge, the directorate is optimistic that in the medium term, the Government need to officially extend the process currently used to acquire Government funded external experts to donors and initiate a national dialogue on the possibility of adopting that process.
- ii) Donors need to explore the possibility of broadening the scope of sourcing external expert knowledge. A classic example used was the one of the European Commission Technical Cooperation Facility (EC TCF). If an expert is to be funded through the TCF, the process takes a little over a month, which is much shorter than all other processes, however, the only experts funded by the TCF are those in the EC TCF database and no other. This often means that, there is a circulation of the same external expert knowledge which may not necessarily be what the recipient needs.

The directorate believes that this was the case when they were looking for external expert knowledge to assist them with the development of the Rural Development Policy for Namibia in 2008/2009. The expert knowledge which was available from the

TCF database was the same one which developed the Rural Development Programme for the then Ministry of Agriculture, Water, Forestry and Rural Development in 1999. The Ministry never implemented the programme because they found it unimplementable. If donors broaden their scope of sourcing external expert knowledge beyond their current sources, it will allow the directorate to have access to a greater pool and perhaps much better knowledge.

iii) The directorate need to develop a generic external expert knowledge transfer strategy which will serve as a guide and the basis for tailor made strategies between the expert and the understudy.

**c) Long term solutions**

(i) DDC needs to carry out internal skills audit on a regular basis to determine its capacity gap and to ensure that, the understudies that are assigned to the experts are trainable.

(ii) There is a need for a change in mindset for both donors and the DDC so that they can change the way they have always been doing business for both parties to achieve an amicable long term solution.

(iii) After engaging in dialogue with donors, the directorate needs to adopt a well defined process that is simple and understood by both parties.

(iv) After adopting such a process, both donors and the directorate can turn to the implementation of the Paris Declaration (2005) which calls for donors to harmonise their procedures and align them to Government systems. This will further foster ownership by the recipients and mutual accountability which are all principles of the Paris declaration. The directorate particularly believes that, in terms of external expert knowledge, new initiatives such as ownership of the process by the DDC, harmonisation and alignment of

donor rules and procedures with those of the Government of the Republic of Namibia would greatly benefit both parties.

After lengthy brainstorming sessions and placing of the identified solutions on the wheel of solutions, the effort impact tool was then used to prioritise them by looking at the solutions which can be implemented with less effort in the short run but will yield greater results and those that will need to be done in the long run. The low hanging fruits in the upper left quadrant are the ones that the DDC needs to concentrate on most because they require less effort while delivering high value. The upper left hand quadrant consists of long term investment activities, they also need to be done but they need a lot of effort.

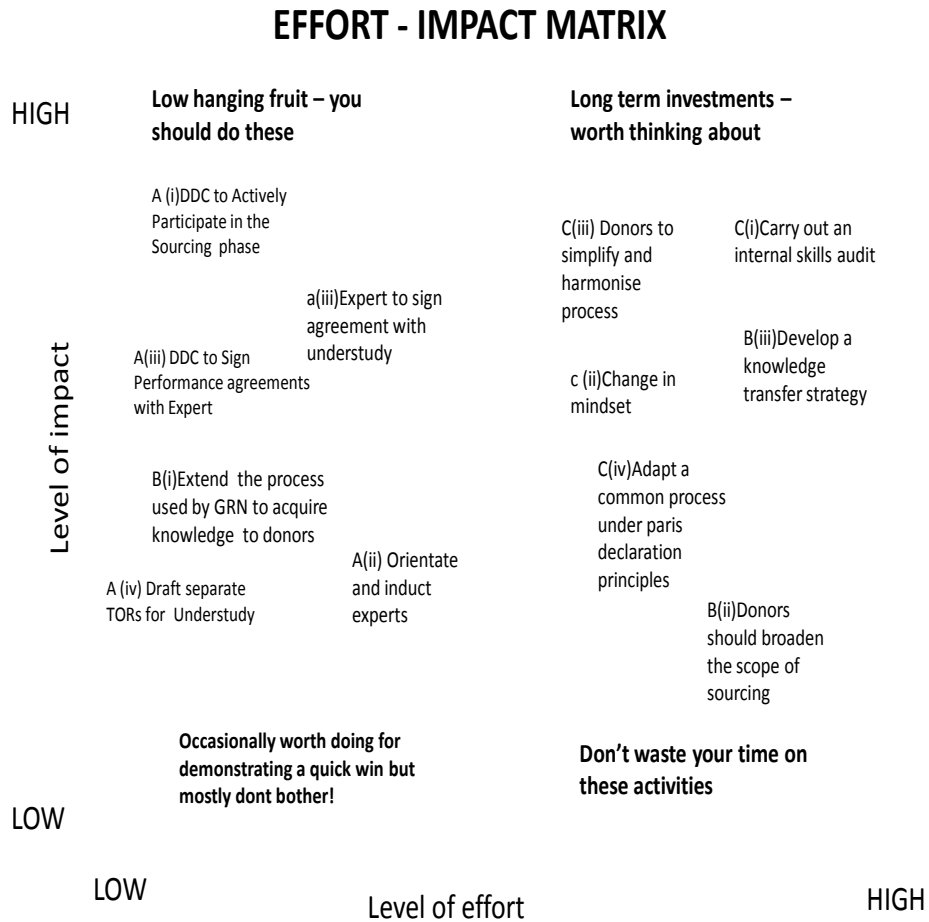


Figure 15: Effort – Impact Matrix

The two identified problems in the current process are critical in the sense that, some of their causes are beyond the DDC and the respective individual donors. Some of the causes are structural and are entrenched in the architecture of Official Development Aid and in the nature of how technical assistance is offered. The solutions above are therefore proposed on the basis of the ongoing global discussions such as the implementation of the Paris Declaration with the aim of making aid more effective. Considering more radical solutions would require a process re-engineering exercise which is beyond the scope of this study.

## **Chapter 6**

### **6. Summary and Recommendations**

#### **6.0 Introduction**

This chapter looks at the main themes that emerged from the study and discusses the results around these themes and making recommendations on the issues.

#### **6.1 Recommendations**

##### **6.1.1 Increased ownership and understanding of the process**

The DDC is the National Coordinator of all donor support to Namibia, which is made up of considerable amount of technical assistance. This translates into the DDC's mandate of mobilising, coordinating and monitoring utilisation of international resources. This further means that, the DDC ought to develop strategies to mobilise, coordinate and to monitor the utilisation of donor support to the country. The strategies define different processes which should serve as the framework for their operations. The 2008 Development Cooperation Guidelines for Namibia have failed to define processes which are integral to the DDC, i.e., the process of acquiring and retaining external expert knowledge. The directorate should therefore consider developing a strategic framework to define its own work which can form a basis for donors.

Increased active involvement in the process will require that the DDC also conducts a comprehensive needs assessment so that it is clear from the beginning of their 5 year strategic plan what type of support they will need and how they are going to source it instead of always

reacting to immediate needs. This is partly the reason why the DDC believes that 3 months to get external expert knowledge is a long time.

The directorate's intention to get good quality experts in less than 3 months is a valid but not a realistic expectation because adverts have to be run and assessments of the candidates have to be done to ensure that the best candidates are selected for the job. In addition, contracts have to be negotiated and signed, plus experts have to relocate to Namibia. All this needs time.

Putting donor under pressure to make the expert knowledge available in a short period of time can lead to a compromise in the quality of the knowledge because they might have to settle for what is available at that moment, even if it is not the best. But if preparatory work is done in advance, there will be sufficient time to source high quality knowledge.

Increased involvement by the directorate will facilitate better understanding for developing well defined and documented processes.

### **6.1.2 Improvements in process measurement**

Currently, it is difficult to evaluate the effectiveness of the process because no measures have been developed. There are no key performance indicators to measure the process. The DDC therefore needs to think critically about what it is that they want to measure in the process. Some of the measures can include the quality of expert knowledge that the process produces; the level of knowledge retained by the DDC etc.

To measure the quality of external expert knowledge, an activity work plan with clear targets and indicators need to be agreed upon by the experts, the DDC and donors. These activity work plans will explain how and by when experts are going to carry out certain

responsibilities as stipulated in the Terms of Reference. The progress thereof should be periodically measured to see if the targets are being achieved and the level at which they are being achieved, instead of just waiting for the reports in which the experts inform the DDC what they have done without the DDC validating it.

In terms of measures related to the level of knowledge transferred to the understudies; the DDC need to ensure that there is a systematic competency assessment of the understudies done before, during and after the assignment. In the work plans, there should be an element of knowledge transfer and both understudies and experts should be able to demonstrate how they have achieved that, i.e. the understudies should be able to perform tasks that they were meant to learn as per the work plans.

Given the qualitative nature of these measures, attributes will have to be defined in order to avoid ambiguity.

### **6.1.3 Change the perception of external expert knowledge as tied aid**

Although the DDC views the conditions of external expert knowledge as a major stumbling block in the process, this is something that they cannot deal with in the short to medium term. This is a global trend and it is being dealt with at that level. At present, the conditions do not prevent the DDC from getting actively involved in the sourcing of external expert knowledge. In the interim, the DDC should concentrate on those factors that it can change and goals that it can achieve both at the national and at the directorate level.

While this seems like an eminent problem, there are a lot of efforts at the global level i.e. the Paris Declaration and its subsequent forums where member states, both donors and recipients committed to making aid more effective through enhancing ownership of

development efforts and strategies, harmonisation of donor's actions, alignment of aid, managing results and mutual accountability.

#### **6.1.4 Establish and adopt a best practice approach**

Best practices in the process of acquiring and retaining of external expert knowledge in the public sector are seldom talked about. There is still a lot of debate regarding the effectiveness of technical assistance globally and a study by Stoner & Aram (2000) has concluded that, there are no successful process designs for technical assistance; rather, appropriate processes should be designed for each specific environment.

Needless to say, this study is not advocating learning from a blue print but rather pointing DDC to best practices of process improvement from other service industries. One such practice is the use of Lean Six Sigma to improve the process drawing experiences from the case of Floyd Medical Center Community Hospital by Stuenkel & Faulkner (2009). Elements that DDC can deduce and learn from this case are;

- The use of comparative information from organisations such as the United Nations, Local Research Institutions, World Bank and the OECD to benchmark the process to those of like organisations in Africa and elsewhere
- Investigation of measures and improvement methodologies that other similar institutions are using.

#### **6.1.5 Use alternative acquisition methods for external expert knowledge**

In addition to acquiring external expert knowledge by getting technical assistants to Namibia, the DDC can also look at seconding local staffs to their partner organisations. The World Bank is already providing such capacity building efforts to their partner countries,

including Namibia where they take in local staff for 6 months. Within the last 5 year period, the DDC has not benefited from this scheme but it is an opportunity that they can explore. They can also extend this approach to other bilateral and multilateral donors to offer them with such opportunities to acquire external expert knowledge. DDC could consider approaching the United Nations and the European Commission immediately because they are currently the main providers of external expert knowledge to DDC.

### **6.1.6 Communicate and adopt an improved process**

It should be noted that, the ‘to be’ process which is being proposed by this study is just one of the many possible ways that the process at DDC could be improved and should therefore not be taken like the silver bullet which will perfect the current process. This study has addressed improvement areas which were identified and analysed during the brainstorming sessions. These include deconcentration of activities from individual parties at some stages and introduction of joint execution of activities by the DDC and the donor, particularly those that have now been placed in the middle of the two parties, hence eliminating multiple review sessions; eliminating non value addition activities and an addition of steps that will ensure that time is not a factor, i.e. timely needs assessments. The proposed ‘to be’ process also promotes mutual partnership by involving the DDC in critical steps in the process of sourcing expert knowledge, hence giving the process credibility by both partners. The ‘to be’ process is also simplified and since it is documented, the DDC can continue improving it in consultations with the donor community as they see it fit with the architecture of technical assistance.

‘To be’ process for acquiring external expert knowledge

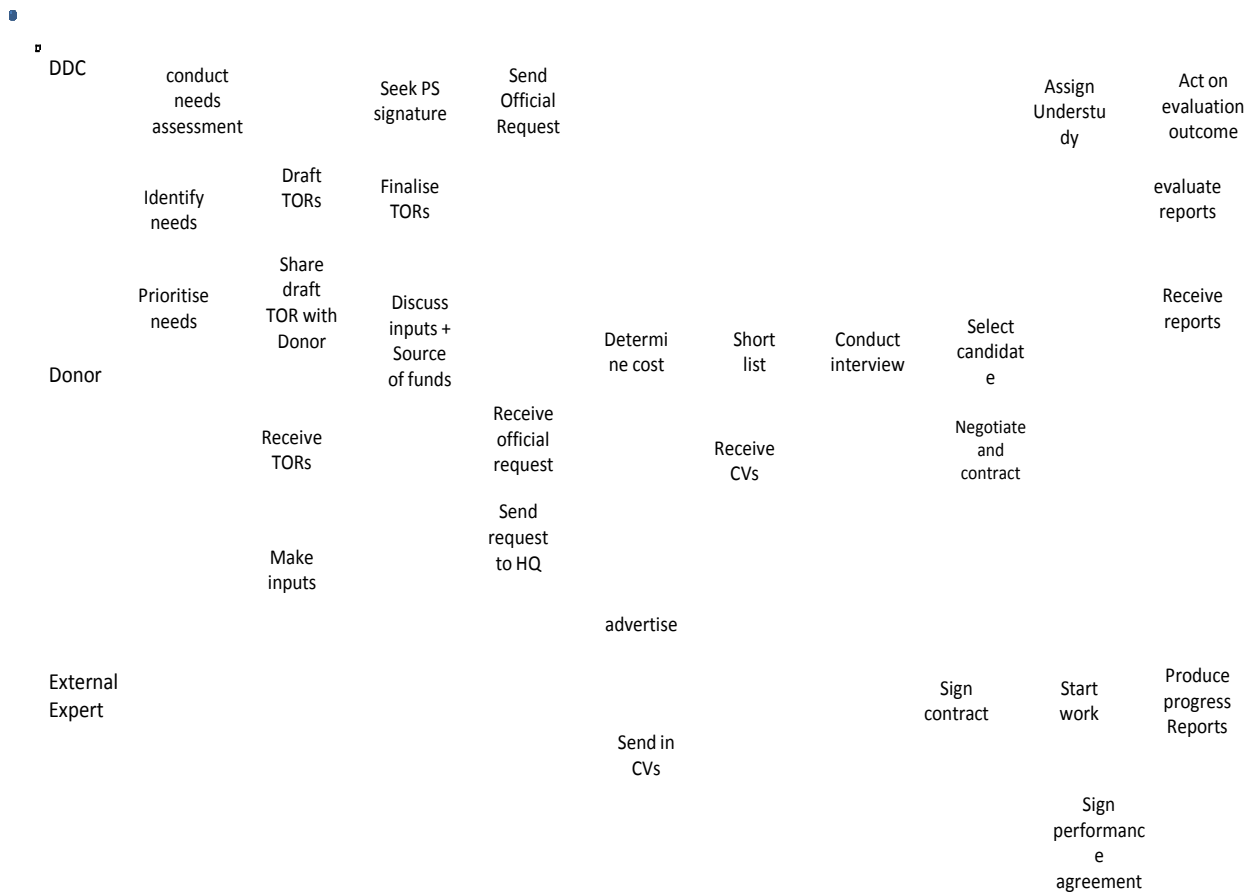


Figure 16: To be process for external expert knowledge acquisition

In retrospect, the way in which this process has been improved is as follows; the removal of an overly unilateral involvement by donors to a mutual involvement of both partners in the process, the elimination of lengthy back and forth communications in the process by introducing joint activities, the introduction of a performance based agreement to ensure knowledge transfer and the introduction of an evaluation aspect among others. The improvements in this process will ensure that;

- Needs are assessed and prioritised in advance
- The best knowledge is sourced, acquired and retained and
- That all rules and procedures are followed and adhered to

By this, the proposed process will ensure that the DDC thoroughly assess and prioritise its needs in advance based on its strategic plan so that the Terms of Reference for the external expert corresponds to their needs and not to what the donor is offering. It also compels the DDC to monitor and evaluate the outcome of the process and to define corrective measures. It will also ensure that the DDC is able to validate and act on the reports produced by the external experts.

## **6.2 Limitations of the research**

This study was designed to evaluate the process of acquiring external expert knowledge at the DDC with inputs from the people who are involved in the process from the DDC's side including two external experts who were present during the period the study was conducted. This study has not used inputs from the donors therefore future studies can look at the process from the Donor's perspective using their inputs. In addition, the DDC has very little record of the contribution of external expert knowledge (technical assistance) since independence and with the inherent high staff turnover, inputs from the directorate has been limited.

Since DDC is responsible for coordinating donor funded activities at the national level, all attempts by this study to obtain similar processes from other organisations in Namibia who receive donor funded technical assistance were referred back to DDC and as a result, the study was unable to compare the process at DDC to any other in Namibia. This presents limitations

because the data analysis for this study only focused on support by two donors who are assisting DDC, i.e. the European Commission and the United Nations. No analysis was done on support by other donors to other Namibian programmes outside of DDC. In addition, time constraints and lack of resources also limited the study to obtain and compare the process at the DDC to those in other countries.

The ability to compare could have unearthed more insight of the process and also allowed for an even better analysis by looking at how it performs against other processes. Future similar studies on international aid programmes can expand the evaluation to look at the whole donor supported external expert knowledge acquisition process in Namibia, SADC region and also to look at whether this phenomenon is the same across all developing countries. Such studies could help identify best practices.

## **Chapter 7**

### **7. Conclusion**

#### **7.0. Introduction to the chapter**

This chapter presents the conclusions of the study based on the research questions and on the findings thereof.

#### **7.1. Study conclusions**

The aim of this study was to evaluate the external expert knowledge acquisition process and its impact on the retention of such knowledge at the Directorate of Development Cooperation to see if it is effective. Even if there was no documented process of acquiring and retaining external expert knowledge at the DDC, the study managed to create an understanding by defining and documenting the de facto process through consultations with identified stakeholders in the process. While there is lack of reliable measures to draw final conclusions on the effectiveness of the process at DDC, it is the conclusion of this study through its findings that, the DDC has not paid enough attention to the acquisition of external expert knowledge. They go through the acquisition process of this knowledge year after year haphazardly and routinely without taking strategic decisions on the practice.

The general lack of understanding of the importance of the process by the DDC has led to the status quo of requesting for external expert knowledge without necessarily putting in place institutional frameworks for retaining it. However, in light of the harsh realities of the global financial crises and Namibia's classification as a middle income country which could see the country receiving less technical assistance from the international community from

where DDC derives its external expert knowledge resources, this study has generated dialogue in the directorate, particularly on the long term impact of the current process. This has further prompted the DDC to consider looking at the outcome of the study with a view to understand how they can improve the current process so that they can retain the much needed expertise in the country.

Of utmost importance from this study is the need for the DDC to have capacity needs assessments done concurrent with the development of their 5 year strategic plan so that the directorate knows in advance what type of knowledge they will need in order for them to define their capacity needs and place their requests on time. Doing that, will prepare the DDC to be ready to receive and retain the external expert knowledge by assigning capable understudies. Having capacity needs assessments before and after the assignment will also enable the DDC to measure the extent to which external experts transfer their knowledge to local staffs. This pro-activeness will also allow the DDC to advocate for conditions to be included in the external expert's contract to ensure that the expert is obliged to spend a certain amount of time towards capacity building of the local staffs. In addition, if DDC knows what their needs are in advance, they will have sufficient time to approach other donors, should the first approached donor want to change critical dimensions of their requests.

The study has managed to propose sound possible solutions to the two major identified problems in the process i.e. lack of the DDC's involvement and the presentation of external expert knowledge as tied aid, taking into consideration the diplomatic complexities involved in the acquisition of technical assistance both at the national and at the international levels.

The DDC should therefore look at the outcome of this study, particularly at the suggested solutions in the effort impact diagram and the proposed improved process. Most importantly, the directorate needs to understand the defined process, operationalise the process and find ways to institutionalise continuous improvements of the process.

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## **Annexes**

Annex 1: Table filled in by senior DDC staffs that have been with the directorate for the past 5 years

Annex 2: Guiding questions for an interview with the Director of DDC

Annex 3: Guiding questions for interviews with the Deputy Directors at the DDC (Heads of Divisions)

Annex 4: Guiding questions for interviews with the two external experts at the DDC at the time of the study

Annex 5: Guiding questions for the brainstorming session

Annex 6: Recent trends of expatriate technical experts to the DDC

Annex 7: Structure of the DDC

Annex 1 - Table filled in by senior staff members who have been with the directorate at least since April 2003.

Date of Interview.....

Name of Respondent	Position	Number of years at the directorate

Please fill in the following table

Name of programme the expert worked on	Year	Origin of Foreign Expert	Was the expert sourced through the donor system/ database or through an open Source	Funding donor	Involvement of NPC in the process of acquiring Expert ( 1= not involved, 2= partially involved, 3= fully involved	Involvement of donors in the process of acquiring expert the( 1= not involved, 2= partially involved, 3= fully involved	Quality of Expert (1= Below Average, 2= Average, 3= Good, 4= Excellent	At what point was an understudy assigned to the expert? (1= beginning, 2= middle, 3 towards the end, 4= Never

Table 1

## Annex 2 - Interview questions with the Director of DDC

1. Can you please describe the entire process of external expert knowledge acquisition at your directorate? State who does what in the process? How they do it? And for how long?
2. What criteria do donors use to source external expert knowledge and how effective are they?
3. How has external expert knowledge influenced the performance of the directorate in the past 5 years? How is this measured?
4. How does the directorate retain external expert knowledge from the experts?
5. How can the directorate increase its rate of knowledge retention from the external experts?
6. How effective is the current process?
7. What do you think needs to be done in order to make the current process more effective?

### Annex 3 - Interview questions with the Deputy Directors (Heads of Divisions)

1. Can you please describe the entire process of external expert knowledge acquisition in DDC, State who does what in the process? How they do it? And for how long?
2. What criteria do donors use to source external expert knowledge?
3. In the past 5 years, how has the performance of the division been before and after receiving external expert knowledge? How do you measure it?
4. How does the division retain external expert knowledge from the experts?
5. What does the division need in order to improve the retention of external expert knowledge?
6. How effective is the current process?
7. What do you think needs to be done in order to make the current process more effective?

#### Annex 4 - Interview questions with External Experts at the Directorate

1. What is your general overview of the current process of acquiring external expert knowledge at DDC?
2. How does the process compare to other processes that you have gone through before or are aware of?
3. When did you receive an understudy and how do you transfer your expertise to them?
4. How is your performance measured and who does it?
5. What advice would you give the directorate regarding the current process?

## Annex 5 - Brainstorming Session- Guiding Questions

1. What problems are in the current process of external expert knowledge acquisition and what are the causes?
2. What are the possible solutions for the problems with the current process?
3. Which solutions if implemented, will require less effort and significantly improve the process?
4. Which solutions if implemented will require less effort and moderately improve the process?
5. Which solutions if implemented, will require less effort and minimally improve the process?
6. Which solutions if implemented, will require moderate effort and significantly improve the process?
7. Which solutions if implemented, will require moderate effort and moderately improve the process?
8. Which solutions if implemented, will require moderate effort and minimally improve the process?
9. Which solutions if implemented, will require more effort and significantly improve the process?
10. Which solutions if implemented, will require more effort and moderately improve the process?
11. Which solutions if implemented, will require more effort and minimally improve the process?
12. If there were no constraints and restrictions that you have today, what would the ideal process be like?
  - Development of the to be (updated) process

Annex 6- Recent Trends in the Recruitment of Expatriate Technical Experts to the Directorate of Development Cooperation—their Numbers, Origins, Gender Distribution, and the Organisational Frameworks Under Which They are Engaged 2002 -2008

YEAR	How many foreign-based experts did you work with in this institution	Which countries did they come from?	How many were male, how many were female?	How many were of recent African origin?		Under what organisational arrangements were the expatriates engaged? Choose from the following: 1=Independent Consultant; 2=Employee of the foreign consulting firm; 3=Supplied in the context of an aid program; 4=Can't remember 5=Other (specify)
(2002) 2003- 2004	5	British x2 Finland x1 Germany x1	Male=4  Female=1	Foreign based nationals of this country	0	=2, 5
				Nationals of other African countries	0	
(2005- 2007)	7	Germany x1 Netherlandsx1 Egypt x1 Nigeria x2 Kenya x1 Uganda x1	Male=7  Female=0	Foreign based nationals of this country	0	=2,5
				Nationals of other African countries	5	
2008	2	Italy x 1 Germany x 1	Male=1  Female=1	Foreign based nationals of this country	0	
				Nationals of other African countries	0	

Table2: Source: African Capacity Building Foundation Submission, 2008

Annex 7- Structure of DDC

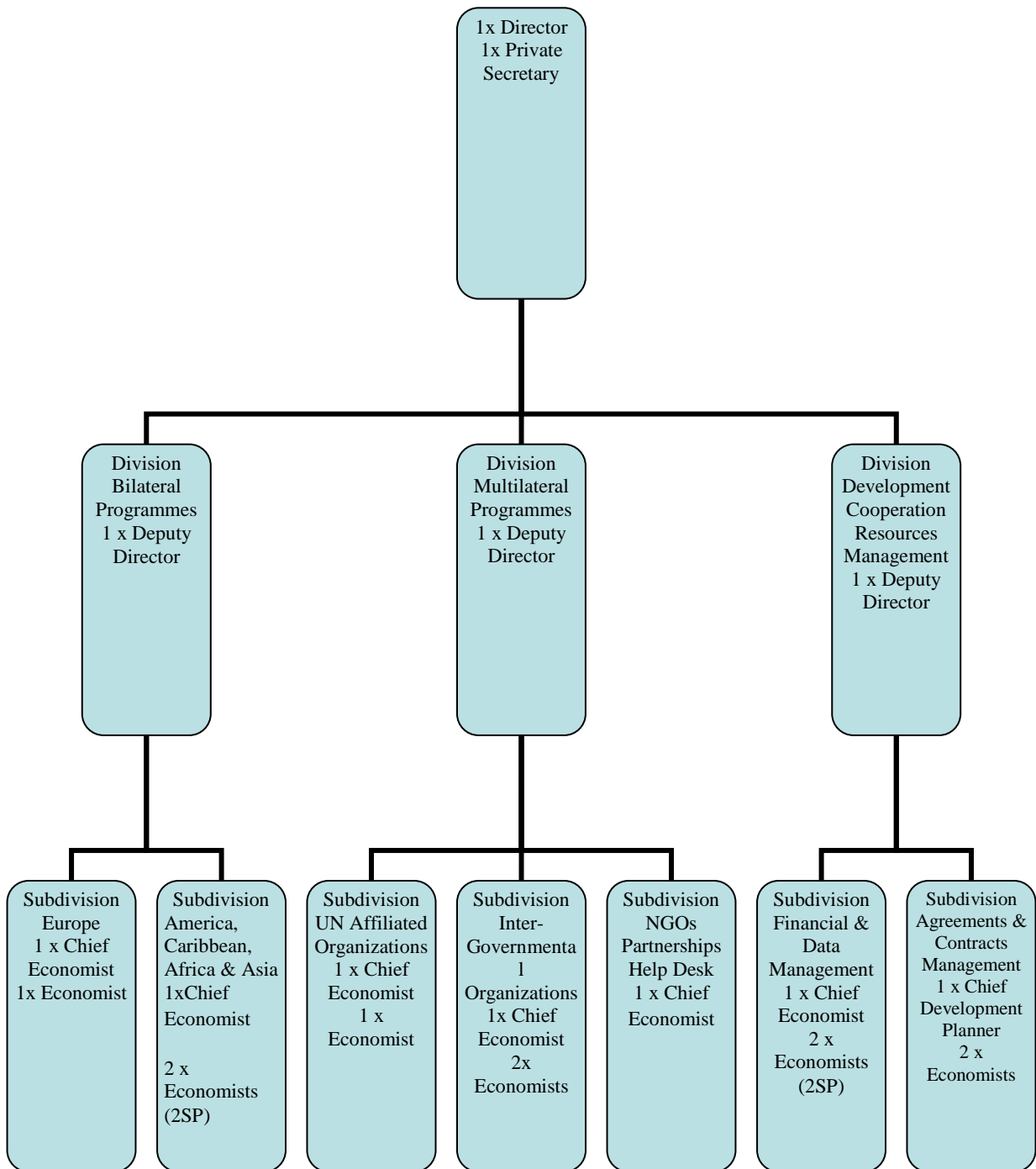


Figure 17: DDC Organogram