

**SUCCESS FACTORS FOR DELIVERY OF DEVELOPMENT AID IN  
ZAMBIA: THE CASE OF THE PILOT PROGRAM FOR CLIMATE  
RESILIENCE (PPCR) PROJECT**

**BY**

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A dissertation submitted to the University of Zambia in partial fulfilment of the requirements of the award of Master of Business Administration - Finance

**THE UNIVERSITY OF ZAMBIA**

**JUNE, 2020**

## **DECLARATION**

I **PETER SINYANGWE** hereby declare that this dissertation titled “Success Factors for Effective Delivery of Development Aid in Zambia: The Case of the Pilot Program for Climate Resilience (PPCR) Project” is the record of my research work and has not been submitted for any academic reward in any College, Institution or University other than the Graduate School of Business at the University of Zambia for academic Purposes.

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**Peter Sinyangwe**

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**Date**

This research Project report has been submitted for examination with my approval as University Supervisor

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**Dr. Jason Mwanza**

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**Date**

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## APPROVAL

This document prepared by **PETER SINYANGWE** is approved as fulfilment requirements for the award of the degree of Master of Business Administration (Finance) by the University of Zambia.

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## ABSTRACT

Studies on the effectiveness of development aid have yielded different results in different localities, raising the need for additional studies that can explore and understand factors influencing project sustainability. The overall aim of this study was to examine factors affecting the effective use of development aid by focusing on the Pilot Programme for Climate Resilience (PPCR) project (2014-2017) in Zambia. This was undertaken in relation to the Programme overarching objective set out in the project document. The development objective of the project is to strengthen Zambia's institutional framework for climate resilience and improve the adaptive capacity of vulnerable communities in the Barotse Sub-basin of Western Province of Zambia. A mixed research design was adopted, collecting data from interviews and semi-structured survey questionnaires. Study participants included key project staff from five districts in Western Province. Purposive sampling was used to select staff of PPCR Project who participated in the study ( $n=35$ ). Data was collected across a six-month period (2018) and revealed eight attributes as imperatives in the successful delivery of development aid as follows; (i) Institutional and political environment, (ii) Project coordination, (iii) Project design, (iv) Funds disbursement procedures, (v) Monitoring and evaluation system, (vi) Technical support and capacity building and (vii) Procurement processes. Data analysis involved the preparation of the collected data- editing and analyzed using content analysis and Microsoft Excel package. The results of the study also revealed that Zambia's weak disbursement profile, complex procurement processes and relatively weak outcome monitoring capacity contribute significantly towards the low performance of most development aid related Projects. The analysis of results provides support for the proposition that the concept of achieving success in administering aid resources has no single golden bullet but a multidimensional façade of variables which must all be deployed in sync in order to achieve the desired outcomes. Finally, the study also provides key insights for Project designers at concept stage to comprehend that an optimally designed Project model with a bias towards effectiveness, quality, satisfaction and timeliness is everything in successful Project Management.

**Keywords:** Development aid, Project document, Climate Resilience, Adaptive Capacity, Critical success factors, Disbursement profile.

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A dissertation is a long piece of academic writing based on original research. I must admit that this has been one of intellectually engaging piece of writing I have ever undertaken at Masters Level and it was just as daunting to put up this document in a coherent flow of ideas while venturing in to the uncharted waters of empirical research. The study design, methodology and discussions of results is made possible by the contribution of the multi task team I worked with.

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## **DEDICATION**

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## **LIST OF ABBREVIATIONS**

CBO	Community Based Organization
CDD	Community Driven Development
CPF	Country Partnership Framework
CSF	Critical Success Factors
DRGS	Department of Research and Development Studies
DMMU	Disaster Management & Mitigation Unit
GRZ	Government of the Republic of Zambia
IDPM	International Development Project Management
ODA	Official Development Assistance
PDO	Project Development Objectives
PPCR	Pilot Programme for Climate Resilience
SCD	Systematic Country Diagnostic
SPCR	Strategic Programme for Climate Resilience
UNDP	United Nations for Development Programme

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## **CHAPTER ONE: INTRODUCTION AND BACKGROUND**

### **1.1 Introduction**

This chapter presents the background to the study and defines the problem underpinning the study. It states the purpose, objectives and research questions that needed to be answered. The chapter further reflects on the significance, limitations, theoretical framework and further goes on to give a global perspective of what development aid is by unpacking the subject and how it relates to macro-economic growth. The chapter further elaborates on the Pilot Programme for Climate Resilience (PPCR) and its conceptualisation. The chapter ends by outlining the structure and organisation of the dissertation.

### **1.2 Background**

The unsatisfactory performance of international development projects has been a concern throughout history has ignited concerns among Development Agencies about how various management approaches can be deployed to improve project performance (Cornwall 2006). One such approach which recently gained traction among Development Agencies is the use of participatory approaches such as the Community-driven Development (CDD) approach. Originally coined by the World Bank, CDD refers to community-based development projects where communities empowered and have direct control over key project decisions as well as the management of investment funds (Dongier et al 2003). Since the 1990s, Development Agencies adopted participatory approaches in executing development projects (Cornwall 2006). Participatory approaches arguably depart from traditional treatments of poverty in that: i) it persuades national agencies to decentralize rural development; ii) treats poverty eradication as a management problem; and iii) treats the subjects (often poor) as active rather than docile in the project management process (Chakrabarti and Dhar, 2013).

It is argued that in international development Projects, community engagement in project management is essential and the clients are actively involved, whereas in typical projects, the client and end-users are not involved in the project management process. In participatory approach of the World Bank funded projects, the community driven

development approach empowers communities to manage all aspects of the project including project selection, procurement, implementation, and monitoring by themselves at the village level (Dongier et al., 2001). In contrast, the World Bank's social fund programs or projects have previously been criticized for lack of capacity-building, especially the building of organizational skills at community level, and a lack of "ownership" of the projects by the beneficiary groups (Platteau and Gaspart, 2003, pg. 1687). Here communities are only facilitated through providing technical and financial assistance. Experience has shown that when given clear explanations of the process, access to information and appropriate capacity and financial support, poor men and women can effectively organize to identify community priorities and address local problems by working in partnership with local governments and other supportive institutions (World Bank, n.d.). The World Bank recognizes that community driven development approaches and actions are important elements of an effective poverty reduction and sustainable development strategy. As opined by Ika et al. (2012, pg. 105) and widely acknowledged and supported by a number of studies (Diallo and Thuillier, 2004; Khang and Moe, 2008), very little has been written on international development project success, success criteria and criterion success factors. However, the mixed success of development projects across countries and regions has raised the need for improving the project model (Golini and Landoni, 2014; Khang and Moe 2008), including the public sector development specifically designed to address economic and social needs of developing countries (Gunawan and Ahsan, 2010).

Community driven development projects including international developments have unique features requiring a departure from standardized programme management tools. A number of studies (Crawford and Bryce, 2003; Khang and Moe, 2008; Hermano et al. 2013) have pointed to the project goals of development projects as being complex and intangible since they are concerned with poverty alleviation or social transformation. Not only that, the complex web of stakeholders arising from social and political nature of these projects is not only a distinguishing feature identified in previous studies, but also a challenge for program implementation.

Research has been narrow with limited work on examining project and project management in general, project proliferation, the importance of projects in existing programs, and questionable outcomes (Crawford and Bryce, 2003; Gunawan and Ahsan, 2010; Ika and Saint-Macary, 2012). However, on the success of this CDD approach, the sparse literature shows mixed results with both positive (Baird et al., 2013; Nkonya et al. 2012; Padawangi 2010) and negative (Ahmad and Abu Talib, 2015; Asmorowati, 2011;

Avdeenko and Gilligan, 2014; Casey et al., 2012; Dasgupta and Beard, 2007; Labonne and Chase, 2011; Mukherji, 2013; Rao and Ibáñez, 2005 results, underscoring the need to improve the project model.

Denizer et al. (2013) shows project outcomes for the World Bank or International Development projects can either be measured at the 'macro' or 'micro' levels with the 'macro' view being 'country' specific performance (i.e. quality of policies and institutions) and the 'micro' levels or views referring to the impact as measured at the local level. This study measured the project impacts at the micro or local level by reviewing key factors which inhibit performance. It identified key success factors based on the community view on the PPCR Project, a World Bank funded Community Development Aid in Zambia.

### **1.3The PPCR and Aid Effectiveness in Zambia**

As argued in a report of the World Bank, in Zambia more than in most other sub-Saharan African countries, financial aid from the international donor community over the last two decades has been tied to the implementation of economic policy reform (Van de Walle and Rakner 2001 : 535). But the conditionality combined with a complicated relationship between donors and the government of Zambia have damaged the effectiveness of a big amount of money which was one of the major flux of aid in Africa for many years. Thus, the relationship with the government of Zambia with these institutions as well as to the bilateral donors is something very important to our analysis especially when we consider the problem of lack of ownership. Since the independency from England, in 1964, this country has been extremely dependent on foreign aid, while at the same time an increasing number of Zambians have seen their social and economic conditions deteriorated. As we will see further illustrated on social and economic indicators, there is evidences that over the last 35 years the indicators of poverty have increased in a sense that puts this country as one of the poorest in sub-Saharan Africa. For the most of the 1990s a staggering 65-70 % of the population has been living on or below the poverty line. Given the political and economic role of foreign aid in the country it is highly relevant to ask how well the aid from the most important donors reflects the pressing issue of poverty reduction (Carlson, et al. 2000).

### **1.3.1 A review of the Pilot Program for Climate Resilience**

The Pilot Program on Climate Resilience (PPCR) is the adaptation program of the Climate Investment Funds (CIFs). Its objective is to “pilot and demonstrate ways to integrate climate risk and resilience into core development planning, while complementing other ongoing activities” (CIF, 2011a). It is one of the largest funds for adaptation to climate change in developing countries in existence. The CIFs were established as part of a response to the G81 countries’ request for the World Bank and other Multilateral Development Banks (MDBs) to support a transition to clean energy and assist responses to climate change in developing countries (G8, 2005). Analytical work to develop a Clean Energy Investment Framework at the World Bank had highlighted the importance of funding to support adaptation to the impacts of climate change, particularly in poorer borrowing member countries that have made modest contributions to the accumulation of global greenhouse gas (GHG) emissions (World Bank, 2006). In turn, many developed countries were interested in experimenting with new modalities for financing adaptation to climate change at a significant scale.

The United Kingdom (UK), one of the founding members of the CIFs, had set funding aside for international climate change through the International Window of the Environmental Transformation Fund that it had set up as part of its response to the findings of the Stern Review of the Economics of Climate Change. Other developed countries quickly stepped up with supplementary funding for the CIF adaptation program, which came to be known as the Pilot Program on Climate Resilience. The PPCR aims to harness the implementation capacities of the Multilateral Development Banks (MDBs) and their existing programming (Ayers, 2009), while helping the banks learn how to incorporate climate risk and resilience into their programming (CIF, 2009a). It seeks to take a programmatic partnership approach (involving governments, private sector and local communities) and mainstream adaptation into development planning (Saito, 2013). The specific objectives of the PPCR include: piloting and demonstrating approaches for the integration of climate risk and resilience into development policies and planning; strengthening capacities to integrate climate resilience into development planning; scaling-up and leveraging climate resilient investment, building on other ongoing initiatives; and enabling learning-by-doing and sharing of lessons at country, regional and global levels (Bann 2014).

In terms of PPCR investment strategy and allocation, the limited resources available to the PPCR and its objective of exploring larger scale interventions to strengthen adaptation

necessarily limited the number of countries that the PPCR would be able to support. It was therefore expressly structured as a “Pilot Program” that would work in a small number of countries to explore the transformational effect of funding flows. While the fund would seek to support countries that were highly vulnerable to climate change, they would also need to be eligible to receive official development assistance. Furthermore, there needed to be an ongoing engagement by the regional development banks and the World Bank to build on. The PPCR also sought geographic balance in its engagement, and to support countries confronting a range of climate related challenges and hazards to facilitate learning (Climate Investment Funds, 2011a).



**Table 1: PPCR Country Pilot selection considerations**

	Recipient Climate Vulnerability (Reg. Average)	Absorptive Capacity, GDP per capita (Reg. Average)	Extent of Past World Bank Engagement (Regional Average)	Main Physical Hazard Type <sup>13</sup>
Bangladesh	0.493 (0.407)	\$537 (\$2469)	\$88bn (\$19bn)	Flooding, Sea Level Rise
Bolivia	0.378 (0.355)	\$1695 (\$6200)	\$11bn (\$27bn)	Snow and Ice Melt
Cambodia	0.493 (0.407)	\$742 (\$2469)	\$3.9bn (\$19bn)	Flooding
Mozambique	0.505 (0.472)	\$434 (\$1420)	\$11bn (\$10.2bn)	Flooding, Sea Level Rise, Drought
Nepal	0.493 (0.407)	\$477 (\$2469)	\$14.5bn (\$19bn)	Flooding
Niger	0.525 (0.472)	\$364 (\$1420)	\$248m (\$10.2bn)	Drought
Tajikistan	0.413 (0.407)	\$709 (\$2469)	\$2.6bn (19bn)	Drought, Dry Spells
Yemen	0.527 (0.340)	\$1237 (\$6789)	\$17.1bn (\$4.5bn)	Drought
Zambia	0.485 (0.472)	\$1175 (\$1420)	\$17bn (\$10.2bn)	Drought, Dry Spells

**Source:** The Expert Group Report to the Sub-Committee (Climate Investment Funds, 2009a)

Overall, the PPCR allocation illustrates the reality of pragmatic compromise in adaptation finance. The Expert Group considered the PPCR's agenda and made recommendations to the sub-committee taking the need for geographic balance and heterogeneous responses to hazard into account (Table 2). Highly climate vulnerable countries are targeted as recipients, but poor absorptive capacity and high levels of indebtedness constrain how much finance they can access and use. The amount of finance offered to countries, however, is somewhat linked with their vulnerability to climate change impacts.

### **1.3.2 Development of the PPCR Zambia Programme**

To address challenges in the narrative above, a panel of national experts under the Ministry of Finance (MoF) helped the Government mainstream climate change into Zambia's Sixth National Development *Plan (2011-2015)*. Zambia also developed a National Climate Change Response Strategy, based on the 2007 National Adaptation Programme of Action (NAPA), which provides the institutional basis for its National Climate Change and Low Carbon Development Program. The number of institutions directly involved in climate change activities in Zambia is steadily growing. At the Government's level, climate change activities have been led by three key Ministries (Ministry of Finance and National Planning; Ministry of Lands, Natural Resources and Environment Protection; and the Disaster Management and Mitigation Unit under the Office of the Vice President). Over the last two years, however, a growing number of line Ministries, donors, civil society organizations and private sector organizations have been supporting Zambia in building a climate resilient economy. GoZ (2011).

The Zambian PPCR has been designed to be both strategic and transformational. Strategic because it supports the backbone of Zambia's National Climate Change Program, thus leveraging a much larger financing pool. The PPCR is also assisting Zambia to make climate change an intrinsic part of economic development. At the same time, it adopts a participatory, learning-by-doing approach to Zambia's most vulnerable area - the Zambezi River Basin - allowing national institutional capacity to be informed by lessons from the field. Lastly, it recognizes that effective adaptation requires behavioral change, through better and targeted climate information and awareness. Transformational because it aims to integrate climate risk management into national and sub-national planning, thus seeking to change the long-term resilience of vulnerable populations, exposed assets and natural

systems to climate stresses. It introduces new approaches and technologies, including innovations generated by local champions (who will be directly supported by the project).

The approach adopted by pilot districts follows the Government's decentralization and social protection agenda, allowing for replication and scaling up. Lastly, the design recognizes that promoting climate-resilient livelihoods amongst the most vulnerable gives them the best option to adapt to both present conditions as well as future changes. It is an integral part of Zambia's effort to respond to climate change. The PPCR is a multi-donor Trust Fund, one of the three programs under the Strategic Climate Fund of the Climate Investment Funds (CIFs).

**Table 2: PPCR development Project**

Project Development Objectives	<ul style="list-style-type: none"> <li>▪ The development objective of the PPCR Zambia project is to strengthen the Country’s institutional framework for climate resilience and improve the adaptive capacity of vulnerable communities in the Barotse sub-basin.</li> </ul>
PDO Level Results Indicators	<p>Progress towards a strengthened institutional framework and improved adaptive capacity of vulnerable communities would be measured through the following PDO level indicators:</p> <ul style="list-style-type: none"> <li>▪ 25% real increase in budgetary allocation supporting climate resilience in vulnerable sectors ;</li> <li>▪ At least 70% of direct beneficiaries under targeted districts, wards and communities assessed to have used information and planning tools to respond to climate change and variability;</li> <li>▪ Average flow velocity of target canals at 80% of limiting flow standard (0.6 m/s for sandy clay soils);</li> <li>▪ Number of direct project beneficiary households (of which women and very vulnerable households).</li> </ul>
Project Description	<ul style="list-style-type: none"> <li>▪ The implementation of the PPCR Zambia commenced in the year 2014. The Project focus and areas of intervention is on diversification of Agriculture, livestock practices livelihood opportunities into sustainable activities that are not climate sensitive, and/or moving them to less to climate sensitive locations (such as bee-keeping, crafts using local, non –timber materials, processing aquaculture, and livelihood investments in higher grounds.</li> <li>▪ At Community level, Infrastructure initiatives relating to soft and hard adaptation projects for water management to reduce effects of flooding; rehabilitation and management of canals to improve drainage and to store water to overcome shorter growing seasons and allow for early planting and full maturation.</li> <li>▪ At district and ward level, strengthening the base of infrastructure such as schools, health clinics or halls which may also act as flood shelters and facilitation or equipping local livestock Para-vet centers for vaccination and disease control are some of the priorities.</li> </ul>

## 1.4 Statement of the Problem

Studies on extent and impacts of development aid in developing countries like Zambia, besides having made a good case for increased flow in few successfully implemented Projects, raise questions on the effectiveness with regard to utilization of these funds in achieving the intended objectives (White, 2004). A key challenge facing both the local and international community is how to ensure the effective delivery of development aid in poverty-reduction efforts around the world. Easterly (2003) argued “despite large amounts of resources being poured in poverty-alleviation strategies in developing Countries of which Zambia is among, the effectiveness of foreign aid remains in uncertainty”

The PPCR Zambia Project effectively commenced implementation in January 2014 and is being piloted in Nine Districts of the Western Province of Zambia. However, after three years of implementation, preliminary indicators combined with financial data extracts shows that the Project has largely not been performing well in comparison. The Project has underperformed and is at variance in relation to the rate of disbursements of funds when comparisons are made to projected figures as set out in the Project Appraisal document (PAD). Financial data obtained from the 6<sup>th</sup> World Bank Mission PPCR progress report held in November 2016 as presented by the Management shows that that the Project being in its third year of activity implementation is only at 30.6% of actual disbursements as opposed to the 60% as projected and profiled the design document.

Given the current financial outlook of the project which in many ways is like a health barometer for any Institution has therefore, been a source of concern to both the donors (World Bank) as well as Government (GRZ). From the financial perspective, there is cause to believe that the current Project slack in disbursing of funds intended for beneficiaries will inevitably have ripple effects on the overall project performance which is tied to its overarching objective of strengthening Zambia’s institutional framework for climate resilience and improve the adaptive capacity of vulnerable communities in the Barotse sub-basin of Western Province. Failure to disburse funds has affected the project outputs which in turn have had knock on effects on the outcomes and subsequently the Project objectives. To date, there is lack of information on what factors have been playing in contributing to the inadequacies in the project performance of the PPCR Project from 2014 - 2016. This study seeks to unpack the factors which have been accounting for the deficits in the Performance of the PPCR Project using the case of Zambia.

## **1.5 General Objective**

The overall objective of this study is to examine the factors affecting effective use of development aid with special focus on the Pilot Programme for Climate Resilience Project.

### **1.5.1 Specific Research Objectives**

- 1) To explore the concept of development aid effectiveness in relation to the PPCR Project
- 2) To identify factors influencing the performance of the PPCR Project
- 3) To establish the effect of the identified factors on the delivery of the Project's mandate

### **1.5.2 Research Questions**

- 1) What has been the performance of the PPCR Project in comparison to its mandates?
- 2) What factors have been influencing the current performance of the PPCR Project?
- 3) What has been the impact of the PPCR Project?

### **1.6 Significance of the Study**

Donor funded projects are essentially faced with an array of unique challenges during implementation which impact their effective delivery. This leads to uncertainties in the implementation activities and sometimes abandonment of project activities. Due to scarcity of information on key factors influencing performance of donor related Projects and the impact there of on intended objectives and outcomes, this study contributes to literature on aid effectiveness by seeking to establish and identify key of these factors and their effect on project implementation which all stakeholders such as Donors, Governments, beneficiaries, stakeholders and PIUs need to be aware of forehand in order to comprehend and equip themselves with the requisite skills, tools and information which is key in successfully implementing donor funded Projects in Zambia. This research therefore is a pragmatic study seeking to provide insights to understanding the variables which inhibit Projects rate of delivery and add to the existing body of knowledge in this field of research.

### **1.7 Defining Aid Effectiveness**

Aid effectiveness is now an integral part of the development lexicon, a term that represents a package of specific ideas and reform measures on how aid can be better managed (Hayman, 2009). For many, the Paris Declaration on Aid Effectiveness (2005) has become the authoritative definition of aid effectiveness (Stern et al., 2008: 20). The Declaration, and its successor, the Accra Agenda for Action (2008), defined aid effectiveness in terms of five major principles meant to bind donors and recipients into specific time-limited commitments. Target categories included: (1) aid recipients exercising leadership over development policies and strategies and leading co-ordination (ownership); (2) donors basing their support on recipients' systems and priorities (alignment); (3) reducing the transaction costs of donor interventions (harmonization); (4) introducing performance measurement and management mechanisms (results-based management); and (5) ensuring commitment and respect between donors and recipients (mutual accountability). The Busan Partnership Document (2011) sought to widen the application and meaning of aid

effectiveness but did so with little agreement on what was to follow in its footsteps (Eyben, 2012, Mawdsley et al., forthcoming).

### **1.8 Scope of study and Delimitation**

The study was conducted by way of a case study of the Pilot Programme for Climate Resilience (PPCR) a Project domiciled and implemented by the Ministry of National Development Planning over a time period of the year 2016 – 2018 in five districts of Western Province where the implementation has been taking place namely Kaoma, Lukulu, Kalabo, Mongu and Limulunga.

### **1.9 Limitations of the Study**

Time constraint was a major limitation in the study since most of the target respondents are engaged in busy duties of their respective organizations and this affected the questionnaire response rate. Nonetheless, the researcher made follow ups through telephone calls were possible to the respective sampled respondents upon submission of the questionnaires. Secondly, since this research was a case study, findings may have revealed unique findings which may be skewed towards the contextual environment, of the PPCR Project and its implementation process based on the culture and social settings of the Local people in the Western Province. This would therefore pose challenges in generalizing the research findings as they may not be representative factors affecting other donor funded Projects in different parts of the country (Zambia) and domiciled in other key Government line Ministries. However, data collection and analysis was rigorous, providing solid conclusions and recommendations.

### **1.10 Organization of the Study**

In this study, Chapter One consists of the following; background of the study, statement of the problem, purpose for the study, objectives of the study, research questions, research objectives, , limitation of the study. Chapter Two focuses on literature review, theoretical framework for the study, conceptual framework that explains relationships of variables, gaps in the literature review and the summary of the literature review. Chapter Three deals with research methodology to be adopted in the proposed study. This covers the research design, target population, sampling size and sampling procedures, data collection instruments, data analysis techniques, ethical consideration and research design matrix. Chapter Four covers data analysis, presentation and interpretations and discussions as per each of the research



objectives. Chapter Five covers the summary of the findings, conclusions and recommendations.

### **1.11 Chapter Summary**

This chapter presented the introduction and background to the study as well as defined the problem underpinning the study. The chapter spelt out the objectives and research questions for the study. The chapter further reflected on the significance, limitations, wider scope and of the study. It delved into global perspectives of what development aid is by unpacking the subject and how it relates to macro-economic growth. The chapter further elaborated on the PPCR and its conceptualisation. The chapter ended by outlining the structure and organisation of the dissertation. In Chapter two, literature review is provided, offering an opportunity to reflect on empirical and theoretical frames.

## **CHAPTER TWO: LITERATURE REVIEW**

### **2.0 Introduction**

This chapter reviews the related literature in relation to the research objectives formulated in the study, focuses on theoretical framework for the study, conceptual framework developed by the researcher, explanation for the relationships of the variables in the conceptual framework. Also, this chapter identifies knowledge gaps in the literature reviewed and summary of the literature review. This Chapter is important in building a strong foundation for subsequent chapters of the dissertation.

### **2.1 Empirical Evidence of Development Interventions and Effectiveness**

NPA (2002) defines effectiveness as the extent to which an intervention is successful in achieving its objectives. The proponents of participatory theory are in agreement that one of the most important contributions of primary stakeholder's participation is the effectiveness of development efforts. Karl (2002) is of the view that development interventions will achieve their objectives if the people who are most affected are involved. The World Bank maintains that participation is an effective mechanism for poverty reduction capable of achieving immediate and lasting results at the grassroots level (Dongier et al., 2002b).

The concept of the effectiveness of foreign aid is seen by some analysts as deeply linked with the performance level of programmes and strategies of external developing aid in promoting economic growth, institutional reforms, and fighting and decreasing poverty in the target countries. Some others link the effectiveness of foreign aid with the 'power of development'; drawing attention to the relationship between foreign aid programmes and their objectives, stressing that it is not necessarily needed to achieve the required goals in the recipient countries (Scott-Smith 2013)

### **2.2 Macro Perspective of Factors that influence aid**

Effective governance, including capable bureaucracies, has been suggested as key to Africa's development problems (Chakravarti, 2005). It is now a world-acclaimed mantra. This however seems contradictory with the neoliberal prescription of removing the hand of the state from the economy. Although critics argue aid undermines domestic administrative capability, but Goldsmith (2003) finds that in the "long-run public bureaucratic capability is primarily inherent and unmoved much by aid." The study simply does not have enough evidence to conclude that African states that have received less aid have an efficient

administrative set up, though there is little to show that those with more aid inflows are doing necessarily doing better.

The 2005 Paris Declaration on Aid Effectiveness outlined that focus on country ownership, donor harmonization, alignment to recipients' national development strategies, managing for results and mutual accountability between donors and partner countries is the best way to "increase the impact aid has in reducing poverty and inequality, increasing growth, building capacity and accelerating achievement of the Millennium Development Goals (MDGs)" (Wood et al., 2008). These five key principles are not particularly new in the aid effectiveness literature, only that the declaration is a consensual arrangement between givers and beneficiaries of aid and their perceptions of how it can be effective. At the third High Level Forum on Aid Effectiveness in Accra in 2008, it was noted that although there is some progress towards the declaration, there are obstacles (mainly political) that stall such progress. To this, the synthesis report concludes that although the Paris Declaration can be helpful, "it is far from being seen as a panacea for many countries' main development concerns" (Wood et al., 2008). This conclusion is astonishing as it reduces the declaration to one of those well-intentioned international statements that do not actually ensure long-lasting positive change.

Calderisi (2006) believes internal rivalry and conflicting objectives of the World Bank, IMF and United Nations Development Programme (UNDP) have led to some confusion in the policy advice they give to Africa. He therefore thinks a merger of these agencies will make aid more effective. Merging the World Bank and IMF seems quite practical but the same cannot be said about the UNDP since in the first place its criteria for measuring 'development' differ in some respects from that of the World Bank and IMF. However, this idea of a possible merger underlies some aspects of the literature that speak to donors being a hindrance to development.

Browne (2006) argues aid does not match development need because its "size and direction is subjectively determined by donors" – institutions and agencies which must serve the interests of their paymasters in the ministries involved, mostly non-developmental interests such as commercial, geopolitical, strategic and historical. Browne believes development is a domestic affair and that developing countries should be more committed to it, as donors also commit more funds to global public goods that will serve a greater purpose. Lancaster (2007) thinks Africa's developmental problem is mainly due to "the failure of the region to grow," including low rates of savings and investment, while Ayittey (2002) argues it resides in "bad leadership and the enabling role played by the West."

Lancaster argues growth rates have been lower than the rate of population growth. This point notwithstanding, what do we say about the evidence Azarnert (2004) presents that proves foreign aid seems to have some positive effects on fertility and population growth in Africa? This means that even in cases where the population is low, the application of aid would significantly influence growth rates – without necessarily increasing annual levels of economic growth rates.

With a population of only 1.9 million and an annual population growth rate of 1.2 per cent, Botswana has maintained one of the highest economic growth rates in the world, moving from a once poor country to a middle-income country with a per capita GDP of almost \$15,800 in 2008. Although Botswana is richly endowed with mineral resources, we can make the case that it is not merely about numbers but numbers that count – a viable population that is able, innovative and self-reliant enough to make concerted efforts towards overall development. Lancaster's conclusion is that “aid is a double-edged sword” meaning that where the economic and political environment is right, it can support progress. In cases where the enabling environment is not present, aid will be wasted. There are many variables thrown into the African development equation, making it more difficult to ascertain which one(s) really explain the African dilemma. Like Ayittey (2002), a key argument is that leadership really counts and that where the political, social and economic environment is ripe, aid might have some positive effects.

### **2.3 Relationship between Aid and Economic Growth, a Macro View**

Studying a panel of 56 countries and four-year time periods from 1970-1973 until 1990-1993, Burnside and Dollar (2000) found that good fiscal, monetary and trade policies are the prerequisites for aid to have positive effect on economic growth. Their finding has a substantial support from public policy analysts, and has caused a substantial increase in amount of aid (Easterly, 2006). However, Easterly (2004) retested the results of Burnside and Dollar (2000) with the same model specification and econometric technique; but with more data. Using sample covering 1970-1997, four year longer than the sampled used by Burnside and Dollar, he found that aid does not promote economic growth, even in good policy environments.

Knack (2000) investigated whether aid and quality of governance have any relationship. He defined quality of governance in terms of bureaucratic quality, corruption, and rule of law. He found that aid dependent countries tend to have low institutional quality—i.e., they have low accountability, more rent seeking opportunities, scare away

talented people for the bureaucracy, and reduce pressure for them to reform inefficient policies and institutions. He argued that higher aid level reduces quality of institutions.

Collier and Dollar (2001) also argue “aid is conditionally effective,” with conditions including policy environment, governance, rates of corruption and conflicts. Despite the support the Burnside and Dollar stance has amassed (Dovern and Nunnemkamp, 2007; John and Sackey, 2008), there are other studies that show no significant correlation between aid and growth.

Easterly (2003) has pursued this argument further, stating that “the idea that ‘aid buys growth’ is an integral part of the founding myth and ongoing mission of the aid bureaucracy.” Another argument is that aid reduces the incentives to invest, especially when the recipient is assured that future poverty will call for more aid. This phenomenon is known as the Samaritan’s Dilemma (Gibson et al., 2005). Aid can also reduce the recipient country’s competitiveness (Rajan and Subramanian, 2005), culminating in the Dutch disease (a condition that reduces competitiveness of the manufacturing sector due to overabundance of foreign assistance). The robustness of the many empirical studies have been tested but the fact remains that most scholars agree aid in real terms has not been effective as it has a “weak association with poverty, democracy and good policy” (Alesina and Dollar, 2000).

While Sachs (2005) sees more aid as increasing the possibility “to end extreme poverty by 2025”, some recent literature ask a more reflective question: does foreign aid really work? (Riddell, 2007). Riddell presents a more balanced analysis of why aid has not lived up to performance by discussing the systemic impediments at the donor level (such as distortions caused by mixed interests, voluntarism in aid-giving and multiplicity of donors) and the issues of commitment, capacity, ownership and governance at the recipient end. He outlines a cluster of motives that have historically influenced aid allocation. They are (1) to address emergency needs; (2) for development – growth and poverty reduction goals; (3) to show solidarity; (4) to promote donor’s commercial, political and strategic interests; (5) historical ties; (6) to reduce the ill effects of globalization; and (7) aid giving dependent on recipient’s human rights record. Riddell concludes that although aid has made a difference, it could make a greater difference by having a “long-term, systemic or sustainable impact” on the lives of the poor when the roadblocks are removed. This suggests that aid is not necessarily ‘a good thing’ but that it can be beneficial. If it is entirely a good thing, how come many countries in Africa still struggle with poverty? How come the same continent that is touted to receive the biggest chunk of aid money had an average growth rate of 3.8% between 1996 and 2000 and 4.75 in 2005? (OECD Observer, 2005). Finding a correlation

between foreign aid and under development remains a complex task given the limited evidence of aid having had a good impact on Africa's development.

#### **2.4 Development Aid – A Zambian Perspective**

According to Easterly (2001) 'One of the more extreme cases of the 87 out of 88 countries that did not fit the model was Zambia. If Zambia had converted all the aid it received since 1960 to investment and all of that investment to growth, it would have had a per capita GDP of about \$20,000 by the early 1990s. Instead, Zambia's per capita in the early 1990s was lower than it had been in 1960, hovering under \$500. More than \$50 billion of foreign aid is given to African countries every year to address poverty on the continent. Although this may seem generous, and to some a solid strategy to treat Africa's ailments.

Dambisa Moyo – a Zambian born economist argues to the opposite. In her book publication of 2009, Moyo claims that foreign aid has been 'an unmitigated political, economic and humanitarian disaster.' However, Moyo stated that although she is not completely against humanitarian aid, she doesn't believe 'charity-based aid' can provide long-term sustainable development for Africa. Her biggest issue is with 'government-to-government aid,' and funds from large monetary institutions like the World Bank. Moyo says the \$60 trillion of this aid that has been given in the past 60 years is not working, evident from the fact that the number of Africans who live on less than \$1 day has doubled in the last 20 years. In addition, most foreign government aid, she argues, has been pocketed by corrupt politicians. Moyo further vowed that foreign aid actually increases the risk of civil conflict. People will take up arms to be in power because 'the victor gains virtually unfettered access to the package of aid that comes with it.' Further, Moyo said in an interview with the New York Times, trade, foreign investments and microfinance opportunities can provide a better future for Africans. Several other researchers also addressed the problem of aid and economic development.

According to Bandow (2002) foreign aid has failed despite the best efforts of many dedicated professionals. Bandow supported his claim by using African countries that received aid in 1970 and 1995, The United Nations Development Program reported in 1996 that 70 developing countries were poorer then than they were in 1980; 43 were poorer than they were in 1970. Bandow's argument is supported by Dambisa Moyo (2009a) also advocated that limitless development assistance to African governments has fostered dependency, encourage corruption and ultimately perpetuate poor governance and poverty, foreign aid helps perpetuate the cycle of poverty and hinders economic growth in Africa. As

Sharma (2009) quoted, Moyo blames ‘government-to-government aid’ and ‘large developmental organizations’ like the World Bank, rather than charity-based aid for Africa’s worsening situation. She says funds from governments and the bank have not contributed to development and in many cases are misused.

Sharma (2009) also stated that according to Laura Miller, Mercy Corps, ‘the main objective of bilateral aid isn’t always humanitarian relief; it’s also used to help strengthen fragile or strategic states and improve trade relations with the West. Money from the World Bank is often geared more towards large infrastructure projects such as water systems and road networks. Usually the recipient government is responsible for managing funds given by the World Bank. Some countries’ governments are more transparent and provide more oversight over aid money than others.’

## **2.5 Macro Perspective of Development Aid- Synopsis**

It is difficult to conclude from the many debates above especially since there is no single magic wand (or stick) to command development to appear. Most of the so called empirical studies focus on economic growth in the macro-economic sense without taking cognizance that development is much bigger than just statistically significant improvement in GDP per capita. The reality is that there could still be widespread poverty in the grassroots even when a country is perceived to have attained appreciable levels of macro-economic growth. Given the unclear and ambiguous nature of empirical literature on aid effectiveness. Munyaradzi (2016) notes that unless foreign aid development discussions incorporate socio-cultural factors, we cannot fully appreciate why foreign aid has failed to deliver ‘development’ in Africa. A return to the culture-development discussions which have been overshadowed by macro-economic ‘buzzwords’ in the development literature. This is against the backdrop that inasmuch as GDP growth rates matter, policies and institutions work in some socio-cultural settings which have mostly been ignored by donors. Here the focus is too often on money alone, to the detriment of aid performance.

## **2.6 Micro Perspective of Development Aid- Critical Success Factors**

Daniel as cited in Amberg et al. (2005) first coined the term ‘success factors’ in management literature. In his study, he came up with a set of industry-related CSFs that are claimed to be relevant for any company in a particular industry. Anthony, on the other hand, in 1972 (cited in Amberg et al, 2005), discussed the need for adaptation of CSFs to a company’s and its managers’ specific strategic objectives. Then, based on the both perspectives by Daniel

(1961, cited in Amberg et al, 2005) and Anthony et al. (1972, cited in Amberg et al, 2005), Rockart (1979, cited in Amberg et al, 2005) conducted a study that involved three organizations. He found out that organizations despite operating in the same industry may have different CSFs due to differences in geographic locations, strategies, culture etc.

According to Cooke-Davis (2002) researchers have been trying to find out those factors that are critical to project success since the late 1960s. Therefore, the review of literature on CSFs reveals several definitions. The following CSF definition by Rockart (1979, cited in Amberg et al, 2005) is frequently cited:

*“...the limited number of areas in which results, if they are satisfactory, will ensure successful competitive performance for the organization.*

However, it was Pinto and Slevin (2006), who first attempted to develop a comprehensive set of CSFs related to project implementation success. In their work, they propose a project implementation profile (PIP) model, which consists of ten CSFs, namely, project mission, top management support, project schedule/plan, client consultation, personnel, communication, technical tasks, client acceptance, monitoring and feedback, troubleshooting, determining project success. The generalized 10 CSFs of the project implementation process (PIP) have also been employed as a model for many project types in several studies (Finch 2003; Hyvari 2006). However, the factors identified by Pinto and Slevin are not likely to cover every aspect involved in project management.

Finch (2003) indicates that the PIP model does not take into consideration a number of significant external factors that affect the success of a project, such as, competence of the project manager, political activities within the organization, external organisational and environmental factors, and responsiveness to the perceived need of project implementation. Another interesting study by Cooke-Davies (2002, p.185), introduces a set of questions for the purpose of grouping of CSFs, such as:

- a) *What factors are critical to project management success?*
- b) *What factors are critical to success of an individual project?*
- c) *What factors lead to consistently successful projects?*

Moreover, he distinguishes between project management success and project success by claiming that project management success is the satisfaction of traditional criteria of time, cost and quality, whereas, project success is the satisfaction of the overall project objectives.



Then, he proposes 12 CSFs, which he extracts from multi-national organizations' activities and practical actions. Additionally, although his proposed CSFs are not directly related to human factors, he points out that people have intrinsic importance to all project processes. Based on an analysis of the literature it can be concluded that there is not a consistent CSF framework. Rather there are different perspectives of what constitute CSFs, depending on how the authors identify and classify them. Moreover, although early literature on project management does not consider project success criteria, containing the focus to CSFs, subsequent studies attempt to close the gap between CSFs and project success criteria, both of which impact on project success. In addition to this, recently developed CSFs are more complex than those of the previous decade as more recent CSFs cover both hard and soft aspects of project management such as the competence of the project manager and the project team members and leadership. The challenge to determine relevant CSFs over the full life of a project has been attracting growing interest in recent publications.

In a nutshell, the literature provides evidence for a close link between the project type and the CSFs (Turner, 2008; Westerveld, 2003). However, the criticality of a factor for the success of a project varies with respect to its type. Therefore, conducting viable research on project critical success factors requires narrowing down the wide research context of projects of different types into a project context involving one or few project types.

## **2.7 International Perspectives on Project Effectiveness: The World Bank View**

The World Bank undertakes international development projects in most developing countries but does not implement projects itself. Instead, it relies on partners on the ground and the title of Project Manager does not apply to the World Bank. The cycle of each project consists of different phases. Projects go from the preparation phase, through the implementation phase, and to the evaluation phase. In the preparation phase, agreement is reached with the recipient government on both the content and design of the project. Once approved by the World Bank's Board, the project enters its implementation phase, undertaken by the government or more specifically the national project coordinator. The implementation phase is broken down into different phases as determined by the preparation phase. The project is financed in parts provided by the World Bank. Each part is released, aborted, or scaled down by World Bank management depending on the conclusions of the supervision report designed to inform the management review. Therefore, two key participants are involved in projects funded by the World Bank: the World Bank project

supervisor (Task Manager or Task Team Leader) – who supervises project implementation and ensures the agency's guidelines are strictly followed by the national Project Management unit – and the national project coordinator, the head of the national Project Management unit, who is considered the true project manager. Task Team Leaders supervise at least four or five projects at the same time generally in the same field, but not necessarily in the same country (e.g. Diallo and Thuillier, 2004, 2005; Chauvet et al., 2010). Once completed or aborted, the project is evaluated by an independent institution, the Independent Evaluation Group, after 2 years. The Independent Evaluation Group database provides information on project success (relevance, efficiency, and effectiveness) and on project characteristics (fields, investment project or not, quality of the World Bank's supervision efforts and the recipient government's preparation efforts).

Despite divergences on what constituted project success, there is consensus however that project success entails both efficiency and effectiveness, and that it is a matter of perspective that there are project success criteria, a set of principles or standards used to determine project success, and critical success factors that refer more specifically to conditions, events and circumstances contributing to project success (E.g. Jugdev and Müller, 2005; Ika, 2009). The most well-known list of CSFs includes project mission, top-management support, project schedule, client consultation, personnel, technical tasks, client-acceptance, monitoring and feedback, communication, and finally, troubleshooting (e.g. Cooke-Davies, 2002).

Project success in IDPM is largely characterized by ambiguity but there is agreement that international development project success criteria include relevance, efficiency, effectiveness, impact, and sustainability:

- a. Relevance refers to the extent to which the project suits the priorities of the target group, the recipient and the donor.
- b. Efficiency refers to the extent to which the project uses the least costly resources possible to achieve the desired results.
- c. Effectiveness refers to the extent to which the project meets its objectives.
- d. Impact refers to the positive and negative changes produced by the project, directly or indirectly, intentionally or not.
- e. Sustainability refers to whether the benefits of the project are likely to continue after donor funding has been withdrawn.

Diallo and Thuillier (2004) surveyed African national project coordinators in 26 countries (French-speaking and English speaking) and suggested ten success criteria that can be

grouped into three broader categories: project management success (objectives, time, and budget), project success or impact (satisfaction of beneficiaries with goods and services delivered, impact on beneficiaries, and institutional capacity for the country), and profile (conformity of the goods and services delivered to the project plan, national visibility of the project). Diallo and Thuillier (2005) found that communication and trust between the World Bank project supervisor and the national project coordinator influence project success. Ika et al. (2010) have shown that while project success is not significantly affected by the level of project planning efforts (the investment of the national project coordinator and his or her team in project planning tools and techniques), a significant correlation does exist between the use of monitoring and evaluation tools and project “profile,” an early indicator of the project's long term impact.

However, both studies take into account only the perspective of African national project coordinators. The most comparable research study is the one by Khang and Moe (2008), whose 53-item questionnaire was answered by key stakeholders, i.e. project managers, team members, funding and implementing agencies, target beneficiaries, and the general public. More specifically, they suggest a conceptual framework of CSFs as shown in the table below. The authors confirm the international development community consensus that most problems emerge in the project implementation phase but they fail to find significant links between CSFs and the success of each phase of the project life cycle. However, they have shown that the success of each phase has a carry-over effect on the next one and that effective consultation with stakeholders proves to be the most influential factor on project management success and more important than the competency of project supervisors and managers.

## **2.9 Conceptual Framework Development**

According to Bogdan and Biklen (2003) a conceptual framework is a basic structure that consists of certain abstract blocks which represent the observational, the experiential and the analytical aspects of a process or system being conceived. It is a set of broad ideas and principles taken from relevant fields of enquiry (Yalegama et al. 2016).

**Figure 2.9.1:** The Relationship between Critical Success factors and Project Success (The International Journal for Project Management, 2012).



This study noted that despite significant investments, development Projects have yielded mixed successes in different countries and localities, underscoring the need to improve the project model. Recognizing the importance of critical success factors in this exercise from different stakeholders' perspectives and at a project-level 'micro' view, this study identified the CSFs of the Gemidiriya CDD project of Sri Lanka from a community perspective. The centrality of this Conceptual Framework Development points to three valuable success factors:

- a. Enabling community environment that emphasizes the need for providing close support, training, technical assistance, monitoring, and direct funding after creating an enabling environment that facilitates the community to implement projects in villages;
- b. Measurable project management outcomes by a committed staff of the village organizations to achieve project targets and enhance social capital; and
- c. Community engagement throughout the project implementation process to ensure transparency in the processes, proper project selection and draw community support during implementation. Project managers should thus view CSFs from an impact-on-ground-orientation rather than a task-orientation.

The conceptual framework development recognises that deviation of foreign aid is a problem in organizations some of which relates to occurrence of emergency issues, unlawful personnel, and lack of commitment, failure to meet donor conditions, political influence, and existence of poor project implementation. Causes of delays of foreign aid includes existence of bureaucracy, corruption, stringent conditions, lack of commitment, lack of accountability, and poor communication, unsatisfactory proposal, poor coordination and poor report preparation. It is noted that deviations and delays of foreign aid disbursement is caused by several factors i.e. lack of commitment, poor accountability and coordination to list but a few. This leads to poor implementation of various community development projects. The study recommended that NGOs and quasi Government Institutions should establish bylaws to control misuse of donor funds so that to improve livelihood of people. Gaps observed in this study is the failure to identify how culture and institution settings undermine the performance of such donor Projects. The framework argues the connection between development and four key concepts such as community empowerment, accountability, technology and monitoring and evaluation and the impact of the projects on poverty (Adhiambo 2012).

## **2.10 Chapter Summary**

This chapter reviewed literature review in line with the research objectives of the study. Attention was paid to theoretical framework as well as the conceptual development framework, including relationships in key variable. Knowledge gaps were identified in literature. Some of these related to less emphasis placed on donor project sustainability and the critical success factors. In what follows, the dissertation delves into the research design and methodology.

## **CHAPTER THREE: RESEARCH DESIGN AND METHODOLOGY**

### **3.1 Introduction**

The previous chapter presented a review of available research works related to the current study. It provided a global perspective of development aid effectiveness or lack of it based on empirical literature conducted in the developed world, the third world countries including Zambia. The chapter provided a critical analysis of literature both from the macro and micro outlook the impact thereof on the performance of the local economy. The chapter went further on to break the macro elements in to micro by way of analyzing literature on critical success factors which influence Project rate of delivery. This was key in breakdown our study from high level global factors which affect aid delivery by a drill down towards Project specific factors which have been accounting for its lethargy with regard to performance. It was important to review these studies in order to place the present study into context with the existing body of knowledge, and set it apart from others conducted already. This chapter focuses on the description of the methods that were applied in carrying out the research. It introduces and describes the following: research methodology, research design, research site, target population, sample size, sampling methods, research instruments, data collection procedures, data analysis and ethical considerations.

### **3.2 Research Design and Strategy**

A research method is a strategy of enquiry, which moves from the underlying assumptions to research design, and data collection (Myers, 2009). Although there are other distinctions in the research modes, the most common classification of research methods is into qualitative and quantitative. At one level, qualitative and quantitative research refer to distinctions about the nature of knowledge: how one understands the world and the ultimate purpose of the research. On another level of discourse, the terms refer to research methods, that is, the way in which data are collected and analyzed, and the type of generalizations and representations derived from the data.

Qualitative research is somewhat naturalistic; it attempts to study the everyday life of different groups of people and communities in their natural setting; it is particularly useful to study educational settings and processes. Qualitative research involves an interpretive, naturalistic approach to its subject matter; it attempts to make sense of, or to interpret, a

phenomenon in terms of the meaning people bring to them (Denzin and Lincoln, 2003). According to Domegan and Fleming (2007), “qualitative research aims to explore and to discover issues about the problem on hand, because very little is known about the problem. There is usually uncertainty about dimensions and characteristics of problem. It uses ‘soft’ data and gets ‘rich’ data” (p. 24). According to Myers (2009), qualitative research is designed to help researchers understand people, and the social and cultural contexts within which they live. Such studies allow the complexities and differences of worlds under study to be explored and represented.

In qualitative research, different knowledge claims, enquiry strategies, and data collection methods and analysis are employed (Creswell, 2003). Qualitative data sources include observation and participant observation (fieldwork), interviews and questionnaires, documents and texts, and the researcher's impressions and reactions (Myers, 2009). Written descriptions of people, events, opinions, attitudes and environments, or combinations of these can also be sources of data. While quantitative research presents statistical results represented by numerical or statistical data, qualitative research presents data as descriptive narration with words and attempts to understand phenomena in “natural settings”. This means that qualitative researchers study things in their natural settings, attempting to make sense of, or to interpret, phenomena in terms of the meanings people bring to them.” (Denzin and Lincoln, 2000, p. 3).

This study espouses the space in between the two approaches. The research design for this study is a descriptive and interpretive case study that is analyzed largely through qualitative methods with a small quantitative component. Qualitative researchers tend to analyze their data inductively. In a descriptive and interpretive case study, the researcher analyses, interprets and theorizes about the phenomenon against the backdrop of a theoretical framework. Qualitative case studies in education are often framed with concepts, models and theories. An inductive method is then used to support or challenge theoretical assumptions. Since “meaning” is of essential concern to the qualitative approach (Bogdan and Biklen, 2003).

**Table 3.1: Summary Research Design Matrix**

Research Question	Research Objective	Population and sampling of unit of Analysis	Data Collection Method	Data Analysis
What has been the performance of the PPCR Project in relation to its objectives?	To explore the concept of development aid effectiveness in relation to the PPCR Project.	Use of purposive sampling with key informant interviews	Survey questionnaires	Univariate and bivariate analysis
What are the key factors influencing the performance of the Project.	To identify and document key factors in understanding the current performance of the Project.	Population of community members Committee representatives in Project sites enlisted by random sampling (a minimum of 35 respondents )	Guided Survey questionnaires and in depth interviews	Univariate, bivariate and multivariate analysis
What has been the impact these factors on the effectiveness of the Project	To explore and describe the impact of identified procedures on timely completion of projects	The Project NC, M&E Specialist, Accountant, District Planner & Treasurer, all enlisted by Purposive Sampling, & review of Financial Reports	Survey questionnaires and in-depth Interviews	Univariate, bivariate and multivariate analysis

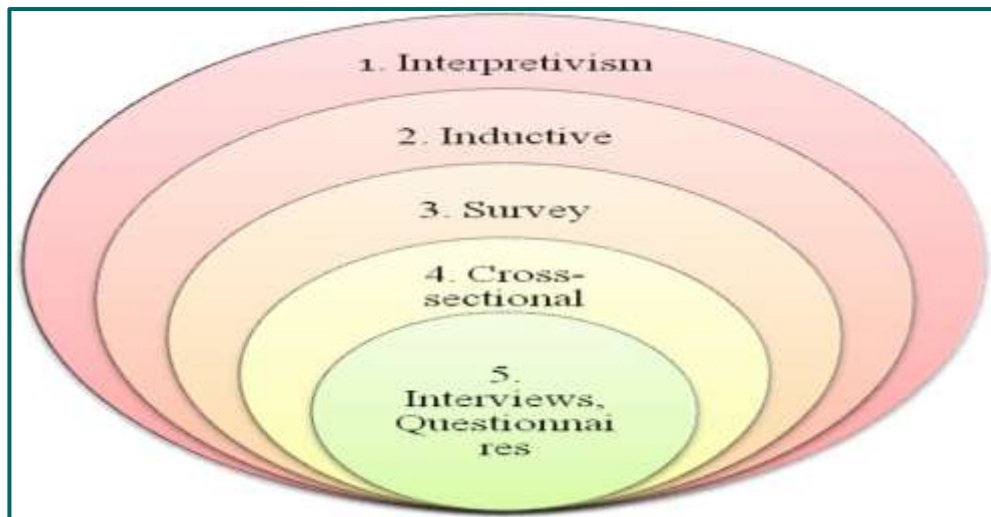


### 3.3 Research Philosophy

Saunders et al. (2007) define research philosophy as the way knowledge is developed by the researcher. However, the researcher's way of knowledge development is affected by the way he or she views the world. Therefore, the determination of a suitable ontology, which deals with the way that world is viewed, to investigate the research gap is essential. Moreover, ontology, as the study of reality attempts to answer the following question of 'whether social entities should be seen as objective entities, having an external link to social actors' or as 'social constructions, being created by social actors and their perceptions' (Bryman and Bell, 2003, pge.16).

Saunders et al. (2007) refer to the research process as an 'onion' with important layers to be 'peeled away' in order to accomplish it. The first of these layers is the research philosophy that is being adopted for the study. The second layer is the chosen approach for the research study. Third layer involves the research strategy, whereas, the fourth is concerned with the time horizon applied to research process. The final layer is about the data collection methods employed during the research. In the following figure, the steps of the research process 'onion', as applied to this thesis is demonstrated.

**Figure 3.2.1:** Research Onion (Saunders 2003).



The outmost layer represents the research philosophy of this study, which is Interpretivism. The next layer stands for research approach of the study which is an inductive approach. The third layer, which represents research strategy, methodology – in this research project, involves application of two different survey techniques to gather data from the Project. Whereas, the fourth layer determines the time horizon of the study, which is identified as

cross sectional since data regarding a particular phenomenon, the CSFs of IDP implementation, has been generated at a particular point in time rather than over a given time period. Finally, the inmost layer reveals the data collection methods, which are interviews and questionnaires that have been employed as a means of accomplishing two different survey techniques of this thesis.

The researcher adopted the research onion as outlined above in order to justify the philosophy which was used. An, interpretive approach adopts the stance that business life is too complex to be generalized by laws. Rather, interpretive approach appreciates ‘social constructivism’, in other words: “the details of the situation that enables researchers to understand the reality or perhaps a reality working behind them” (Remenyi et al., 1998, p.35). Since, people tend to interpret the situations, in which they find themselves, these interpretations, in turn are very likely to influence both their actions and the way they interact with others in the society Saunders et al. (2007). Therefore, an interpretive view asserts that human beings, far from being objectives without any influence on or by daily social life, must be analyzed as social actors within his/her social environment. Saunders et al. (2007). Consequently, the role of Interpretivism is to understand the subjective reality of the participants in their study. Then, this in turn, will enable interpretivist researchers to understand the rationale, motives, and intentions behind their actions.

### **3.4 The Case Study Strategy**

A case study is one of several ways of doing research whether it is social science related or even socially related because its aim is to understand human beings in a social context by interpreting their actions as a single group, community or a single event: a case. Gillham (2000a, p.1) defines a case study as an investigation to answer specific research questions which seek a range of different evidences from the case settings. Yin (2003) defines a case study as an empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly defined. The case study approach is especially useful in situations where contextual conditions of the event being studied are critical and where the researcher has no control over the events as they unfold. Ritchie and Lewis (2003) sees the primary defining features of a case study as being “multiplicity of perspectives which are rooted in a specific context.” This study focuses on the PPCR project in Zambia.

### **3.5 Study population and Sampling Process**

#### *3.5.1 Study Population*

A population as the total collection of elements about which the researcher wishes to make some inferences (Cooper and Schindler 2005). Zikmund (2003) defines a population as “a complete group of entities sharing some common set of characteristics”. The target population for this study involved five Districts in Western Province in which the PPCR Project is being implemented namely Kaoma, Lukulu, Mongu, Limulunga and Kalabo. These were targeted for their rich knowledge and experience in PPCR project.

#### *3.5.2 Sample Size and Sample Technique*

Noting that a sample size is a subset of total population used to give general views of the target population (Kothari, 2004), this study also opted to select a sub set an expert sampling was the preferred option. As indicated by the name, expert sampling calls for experts in a particular field to be the subjects of the purposive sampling. This sort of sampling was useful in this research as it was expected to take some depth and some considerable time before it provides conclusive results as there was a lack of observational evidence. Expert sampling was in this study a positive tool to use when investigating this new area of research, to garner whether or not further study would be worth the effort (Mugenda & Mugenda (2003).

PPCR Project implementing districts were selected to be part of the study. Based on Mugenda & Mugenda (2003) sampling decisions, five Ten out of 10 implementing districts of Western Province were deemed as appropriate. The sampling of the five districts was based on zonal representation. The following districts were enlisted in the study including Kaoma, Lukulu, Mongu, Limulunga and Kalabo.

Since the study required informants, expert sampling technique to select six (6) key respondents per selected district were considered to be ideal. The six were involved in the project and were custodians of data and were key people in managing the project components. The participants included; one district planning officer, one participatory adaptation trainee, one council secretary, one district sub planning committee chairperson, one coordinator from the climate risk adaptation facilitator (CRAFS) and one chairperson representing community Projects. This was the representation of key respondents at district level. The selection criteria used was based on the facts that the participants had:

- i) An understanding and knowledge about the PPCR Project in the subject area
- ii) Been involved in the project implementation process
- iii) A position relevance to the PPCR Project Implementation.

It therefore follows that, a total of thirty (30) participants was ideal to begin the inquiry with. The thirty were later asked to identify staff within their units who would be competent or relevant to vouch information on the projects' mandate. This involved some form of respondent driven sampling or network based sampling.

### **3.6 Research Instruments**

The researcher used in depth interviews and a short self-administered structured questionnaire for data collection.

#### *Short Self-Administered structured Questionnaire*

This questionnaires contained closed ended questions. Closed ended questions were chosen because they were meant to be used to make follow-up questions on sub thematic areas linked to the research questions on what has been the performance of the PPCR Project in comparison to its mandates, the influencing factors to meeting the mandate and the possible impact of the project on the community. The short questionnaires was adopted because it was stable, consistent, and uniform hence offered a considered and objective view of issues (Sarantakos, 2005).

### *In-depth interviews*

Semi-structured interview guides were developed for use with the key Project Management team. Only two Managers, two Accountants and one Agric. All the questions on the schedule inquired into the possible processes of enhancing Project rate of delivery. A total of thirty participants (five per District) were interviewed. A single interview lasted between 25 to 30 minutes. According to Henriquez, *et al* (2009), the use of interviews is most ideal because factors that correlate highly with Project performance may not be easily discerned by statistical methods, but by qualitative analysis. In addition, the interviews allowed the researcher to ask follow-up questions, and hence, get well-detailed clarifications.

### *Focus Group Discussion*

One Focus Group Discussion (FGD) which like forms of interviews in which more than one person is involved (Bryman, 2008) were held in each district. In each of the selected districts, a district's core Management team comprising of the District Planning Officer, Participatory Adaptation Trainee, Council Secretary, District Sub Planning Committee Chairman, Climate Risk Adaptation representative and One Community representative were done. This was done to get their views on the current Project Performance and proposals of the most efficient ways of enhancing its effectiveness. Wellington (2000) recommends a small group of six to ten participants per session. Each session lasted approximately 45 minutes.

## **3.7 Data Analysis Techniques**

This study generated two sets of data and these were qualitative and quantitative data. The details of the analysis are presented below.

### *Qualitative data Analysis*

Interpretive researchers attempt to derive their data through direct interaction with the phenomenon being studied. They do a lot of text analysis. Textual material can be analyzed and interpreted from different theoretical resources and using different methodological tools. The starting theoretical frameworks of a qualitative research and the associated methodological tools, and in a broader context, individual communication competencies, including the items such as faith or prejudices, determine and define how to interpret media texts. The postmodern concept of development aid as a kind of social reality, has become a

product of narrative activities and narrative analysis represent promising interpretative models and keys to texts on development. The purpose of narratives is to render illustrations from the researcher's viewpoints

Within narratology, an important aspect of data analysis in qualitative case study is the search for meaning through direct interpretation of what is observed by themselves as well as what is experienced and reported by the subjects. This is then reduced to a narrative by the researcher. There are no voices of those who are researcher (Holsten and Gubrium, 2000).

In this study, qualitative content analysis was used to aid in rendering the researcher's narratives. Bogdan and Biklen (2003) define qualitative content analysis as "working with the data, organizing them, breaking them into manageable units, coding them, synthesising them, and searching for patterns by way of comparison." The aim of analysis of qualitative data is to discover patterns, concepts, themes and meanings. In case study research, Yin (2003) discusses the need for searching the data for "patterns" which may explain or identify causal links in the data base. In the process, the researcher concentrates on the whole data first, then attempts to take it apart and re-constructs it again more meaningfully. Categorisation helps the researcher to make comparisons and contrasts between patterns, to reflect on certain patterns and complex threads of the data deeply and make sense of them.

Regarding quantitative data, descriptive statistics were used to analyze data by generating univariate frequencies, percentages means, as per the research objectives in the Quantitative domain. The results of data analysis were presented in form of tables for interpretation.

### **3.8 Ethical Consideration**

Prior to undertaking field work on data collection, the researcher sought prior permission from the University of Zambia Directorate of Research and Graduate Studies (DRGS) ethical clearance committee. A transmittal letter accompanying a questionnaire was done to introduce the researcher and clarification that data was used only for academic purposes and information was not divulged to unauthorized parties. Consent of the respondents was sought and that no respondents were coerced to participate in the study. The findings from the intended were would be shared with the participating Districts.

### **3.9 Chapter Summary**

This chapter provided the description of the methods that were applied in carrying out the research. It introduced and described the following: research methodology, research design, research site, target population, sample size, sampling methods, research instruments, data collection procedures, data analysis and ethical considerations. The following chapter delves into the results of the study.

## CHAPTER FOUR: DATA ANALYSIS AND PRESENTATION

### 4.1 Introduction

The previous chapter focused on the description of the research methodology that was followed by the study. It provided the justification for the selection of a case study method research approach adopted in this study.

In this chapter, research findings based on the analyses of the cases under investigation, are presented.

### 4.2 Social and Demographic Characteristics

#### 4.2.1 Gender composition

The gender of the respondents was analysed in order to establish the representation of respondents in terms of gender composition on the PPCR projects in Barotse Sub Basin. The distribution shows a high percentages in males as shown in table 4.1 below.

**Table 4.2.1:** Percent Age Distribution by sex

<b>Gender</b>	<b>Frequency</b>	<b>Percentage</b>
Male	19	63.3
Female	11	36.6
<i>Total</i>	<i>30</i>	<i>100</i>

Table 4.2.1 shows that 63.3% of respondents were male and 36.6% were female. Thus, a majority of staff deployed on the PPCR Project were male. The selection of respondents was done purposefully based on the individual's roles and functions on the Project. This reveals a higher representation of male folks on the PPCR Project as depicted by the statistics in the analysis above. It can therefore be further deduced that most female Government employees working in the District Councils have not been actively involved in the running of the PPCR Project as opposed to men. The current status quo relating to the gender inequality does create a skewed perspective about the choice and selection of decisions which affects the Project.



#### 4.2.2 Age

The analysis of age was performed in order to establish the representation various respondents in terms of their ages. The results are shown in table 4.2.2 below.

**Table 4.2.2:** Percent Age Distribution by Age (Years)

Age (Years)	Frequency	Percent Age
25-35	10	33.3
36-45	11	36.7
46-50	2	6.7
Above 51	4	13.3
Total	27	90.0
Missing	3	10.0

The results reveal that 33% of the respondents were aged 35 years or below, while 40% were between 36-45 years and 6% were 46-50 years. Thus, it can be observed that majority of the respondents were young (below 45 years). According to the 2010 population and housing census, 33 percent of the Zambian population was aged between 15 and 35 years. From our analysis above, the majority of the staff on the Project and between 26 and 45 years old. This is a youthful and substantial workforce that could contribute significantly to the effectiveness of the PPPCR Project as well as economic growth largely. However, much of this labour force is unutilised.

#### 4.2.3 Level of Education

An analysis of the levels of education was done in bid to establish the composition of members of various Local Councils in terms of their highest levels of education. This was because ones educational achievement was generally associated with a positive career outcome and most institutions use level of education as an indicator of one's productivity. The results are shown in the table below.

**Table 4.2.3:** Percent Age Distribution by level of education

<b>Qualification</b>	<b>Frequency</b>	<b>Percent Age</b>
Certificate	1	3.3
Diploma	2	6.6
Degree	19	63.3
Post Graduate	3	10
PhD	1	3.3
Total	26	86.6
Missing values	4	13.3

The results indicate that majority had post graduate qualifications. It can therefore be noted from the results that majority of staff attached to the PPCR Project had very dissent levels of education and qualification. Given the above statistics one would reasonably believe that the current levels of education and qualifications were adequate to guarantee a sufficient pool of Project Management experts with requisite skills and sound decision making from the attached staff to enhance good Project Performance.

### **4.3 Project Background and Related Design Issues**

#### *4.3.1 Duration of the Project*

The length of attachment to the project for the respondents was thought as it was important in establishing the length of involvement in the project implementation and how their involvement had benefited the Project. The results are shown in table below.

**Figure 4.2.4:** Percent Age Distribution by duration on Project

<b>Years (Service)</b>	<b>Frequency</b>	<b>Percent Age</b>
0-1	3	10.0
2-3	13	43.3
4-5	11	36.6
Over 5	3	10.0

The study noted that 43.3% had stayed in the area for 4-5 years, while 43.3% for 2-3 years and 3% percent for 0-1 years. Thus, most of the respondents who took part in the survey had

been with the PPCR Project for than 2 years. This indicates that fair number of respondents (48 Percent) had been with the Project long enough to understand its implementation dynamics as well as understand the expectations from the Donors. This scenario should ideally clear mundane implementation bottlenecks arising from unfamiliarity with Project implementation rules and donor guidelines.

**4.4 How could you rate the Performance of the PPCR Project on the following criteria**

- a) In enhancing your knowledge with regard to Climate Change and Adaptation Methods
- b) Introduction of new interventions on how to mitigate effects of climate change and improve Food security at household level

Table 4.2.5: PPCR Project performance (Rating of 1-4)

Rating	Scale	Percent Age
1	Bad	0
2	Fair	56
3	Good	44
4	Very Good	0

The analysis of statistical data above reveals two bipolar perspectives regarding performance of the PPCR Project which in sense represents a median or simply average performance for the period under review (Year 2015-2017). Results from the data depicted above indicates that the Project has managed to avoid either extremes of the performance rating being 1 representing bad performance in a worst-case scenario and the rating of 4 which accounts for very good rating.

Further analysis of findings and submissions based on the rating in table number 4.2.5 above were transcribed and grouped in to the key thematic areas as described below.

*4.3.2 Delays in submission of Project Proposals*

It was noted that PPCR Projects in the implementation cycle falls in two categories namely (i) New Community Projects or (ii) Running Community Projects.

New Projects were still in the appraisal stage before they were approved for funding. Under this category of Community Sub Projects, It was noted that that the failure to actualize these Projects was attributed to the delays by the District Sub Planning Committees

(DPSC) in submitting Project Proposals to the Province for appraising and subsequent approvals. It was further noted that Sub Projects are kept sometimes for Months awaiting the Committee to sit and review them a situation which drags the Performance of the Project. Running Projects on the other hand were primarily those in motion or at different stages in the implementation cycle or process. The reasons advanced by the respondents as causes of delay are two fold firstly, it is the failure by the Community to successfully retire the initial 50% of funds disbursed to them, and the reason attributed to the failure to retire was lack of training in basic financial management and book keeping skills at Community level. Secondly, it was noted that disbursement of funds also delays due to various layers of checks in the funds flow process mainly at PIU and NPIU levels.

Eight elements were revealed as shaping the overall project design, delivery and sustainability.

- a. **Project Design:** The route taken by the Project with regard to the emphasis on disbursing funds to Micro Projects at Community level as opposed to adopting large infrastructure Projects has not been effective towards producing sustainable and tangible results to benefit the communities. It was further noted that in the design of the Project, there were no market linkages between farmers and the Market a situation which has made some Projects fail along the way due to unsustainability.
- b. **Technical Capacities at District and PIU Level:** It was noted that there was lack of or insufficient technical capacities under soft adaptation Community Projects at the PIU in Mongu to effectively provide guidance and support to the District Councils, Communities and the Climate Risk Adaptation Facilities This situation has contributed to the inefficiencies in executing Projects.
- c. **Project Ownership and Cultural Influences:** The PPCR Project in its design was supposed to be a Community driven initiative. It was however, noted that ownership of the Project has been very low as most households opt to engage in their own initiatives from which they would derive immediate family benefits as regard food security as opposed to the Community owned Projects where ownership cannot be traced to a particular family.
- d. **Community Projects Sustainability:** Most Projects have little or no ripple effect in terms of growth from initial investments of funds injected in the Community Projects. Interviews with Community Sub Committee Chairman reviewed that most Projects which are soft adaptation in nature for instance gardening and Chicken Rearing Projects

have proved difficult to manage, sustain and grow. There is lack of capacity at community level to sustain these kinds of Projects without depleting the initial investment and running in to liquidity problems.

- e. **Model of Implementation:** The Implementation of Projects through the Local Authorities (District Councils) makes accountability very difficult due the existing bad work culture and lack of an effective mechanism for accountability. District Councils remain poorly funded with weak institutional controls a situation which subjects Projects Funds to possible Misappropriation or abuse.
- f. **Political Influence:** There is a lot of Political interest and influence in the Implementation of the PPCR Project mainly through the District Commissioners Office. This situation affects the delivery and effectiveness of the Project. Interviews with District Council Secretaries in the five sampled Districts revealed that the Office of the District Commissioners (DC's) continued interference in the daily running of the Project in their respective localities has had adverse effects on the effective delivery of the Project. In most instances, the DC's office claim to have unfettered powers over the Council Secretaries who are mandated to run the Project. This situation has led to some abandoning their Participation or involvement or worse still taking sound decisions which could improve the rate of implementation although undesirable. This is due to the fear of being reported to Central Government in Lusaka by the DC's of making the Government in power un popular against the Local People. Local District Councils who have a mandate to implement and provide technical expertise in the Project implementation are often unable to work independently without the long hand of District Commissioners coming to influence their decision making.
- g. **Projects Vis-Vis Livelihood Change:** A detailed interview with the Project Agriculture and Adaptation Expert at the Project Implementing Unit (PIU) in Mongu revealed that failure for clear linkages between completed Projects and livelihood change for most completed Community Projects. This was especially the case for Projects with shorter implementation cycle ranging from three Months to one year. In some cases, it was difficult to find evidence of Projects which were under implementation and have since closed as there was completely nothing to refer to.
- h. **Mainstreaming Challenges:** The process to mainstream the Project in to the Government processes and planning has been met with numerous challenges essentially due to the rate at which Government does its business and the speed at which the Project which is time bound should be implemented. The overall process to decentralize

decision making by central Government to local organs has failed to take off and in a way has affected the Project deliverables.

#### **4.5 Factors influencing the performance of the PPCR Project and resultant effects**

##### *4.5.1 Funds Disbursements Process*

Delayed disbursement of funds from the Ministry of Finance has been a source of delayed sub PPCR Projects in most instances. The Process of requesting for Project funds goes through several Layers of Government red tape, and Procedures. For instance when funds are requested from the World Bank office in Nairobi Kenya by the National Project Implementing Unit (NPIU) in Lusaka, they are deposited in the PPCR designated account at Bank of Zambia and then more processes follow to move funds in to the Ministry of Finance (Single Treasury Account or Control 99 account. This all process takes an average of fifteen to twenty days before funds are finally released to the PPCR Project Operations account at Zambia National Commercial Bank. It was further noted that , sometimes Project funds are diverted and used to meet other pressing Central Government's expenses once funds are deposited in to the single treasury account because it is a pool account from which all other departments are funded from. Therefore subjecting a donor funds to this slow moving process does not enhance delivery in many aspects noting that the Project has set outputs, outcomes and objectives which are time bound. The findings of the study on disbursement procedures are similar to the finds conducted by Mnyawi 2013 in Tanzania and Gaturu 2003 in Kenya.

Dehn et al. (2003) noted that Fund disbursement bureaucracies abound in all governments, resources earmarked for particular uses flow within legally defined institutional frameworks. Typically, funds pass through several layers of government bureaucracy down to service facilities, which are charged with the responsibility of spending the funds.

Gaturu (2014), assessed the factors affecting the timeliness of completion of donor funded projects in Kenya .The study found out that untimely release of and inadequate and unpredictable release of project funds influences timeliness of completion of projects to a greater extent. However, unlike Masega (2012), the study notes that was no significant relationship between promptness in release of funds by donors and completion of projects.

Mnyawi, et al. 2013, in a study conducted in Tanzania on causes of deviations of foreign aid disbursement, Data analyzed and revealed that deviation of foreign aid is a problem in both organizations such as causes of deviations of funds includes occurrence of emergency issues, unlawful personnel, and lack of commitment, failure to meet donor conditions, political influence, and existence of poor project implementation. While causes of delays of foreign aid includes existence of bureaucracy, corruption, stringent conditions, lack of commitment, Lack of accountability, and poor communication, unsatisfactory proposal, poor coordination and poor report Preparation. It is suggested that, in order to reduce the problem of deviation of foreign aid in most of Local Government Authorities and Non-government Organizations, there is a need to improve the techniques of preparing the proposal, increase the level of community participation.

The study concluded that, deviations and delays of foreign aid disbursement is caused by several factors i.e. lack of commitment, poor accountability and coordination to list but a few. This leads to poor implementation of various community development projects. The study recommended that NGOs and quasi Government Institutions should establish bylaws to control misuse of donor funds so that to improve livelihood of people. Gaps observed in this study is the failure to identify how culture and institution settings undermine the performance of such donor Projects

#### *4.5.2 Inadequate Monitoring and Evaluation System*

The PPCR Project has been lacking an effective methodology or mechanism which can be used effectively to (i) profile (ii) analyze and (iii) Flag Projects .The current scenario means that there lack of a systematic monitoring and evaluation tool which the Project M&E team could use to analyse Project data and subsequently come up with an operative follow through process to appraise Projects which are performing well and to flag the Problematic ones so that potential project failures and pitfalls are nipped in the bud. Effective monitoring and evaluation is an imperative and integral part of an effective Project Implementation model and the lack of it for the PPCR Project has had adverse effects on the overall Project Performance. (Martens et al., 2002). If the evaluations are well done, to the extent there is no mechanism in place to act on these evaluations, that is, no mechanism to get the evaluation results out in the public. An independent foreign aid evaluation agency could be a way around these problems. In addition, even if donors adopt formal evaluation as a key

component in aid programs, there would still be difficulties in exercising external influence without undermining local accountability relationships (World Bank, 2003).

#### *4.5.3 Political Influence*

In exclusive interviews conducted respectively with the PPCR Project Task Team Leader in Lusaka as well as the Project Manager at the Project Implementing Unit in Mongu, it was revealed that the Project has had a higher Political Influence and attention from Political leaders which in turn has had adverse effects on the Project delivery and effectiveness in addition to the historical influences of culture among the Lozi People. Several instances were brought to light in the implementing Districts where failure to make progressive decisions had occurred as a result of interferences from the Office of District Commissioners who claim ownership and unlimited powers over any Project being undertaken in their various localities. Moyo (2009) says just the opposite. She argues foreign aid has been ‘an unmitigated political, economic and humanitarian disaster.’ However, Moyo stated that although she is not completely against humanitarian aid, she doesn’t believe ‘charity-based aid’ can provide long-term sustainable development for Africa. Her biggest issue is with ‘government-to-government aid,’ and funds from large monetary institutions like the World Bank. Moyo says the \$60 trillion of this aid that has been given in the past 60 years is not working, evident from the fact that the number of Africans who live on less than \$1 day has doubled in the last 20 years. In addition, most foreign government aid, she argues, has been pocketed by corrupt politicians.

#### *4.5.4 Project Coordination*

The World Bank Task team Leader also cited, aspects of leadership inadequacies and choice of decision making at the Province level in addition to technical knowledge gaps which were identified at the Project Implementing Unit. It was noted that lack of requisite Project Management skills and proficiency by the PIU level which is the front line of Project implementation and execution has essentially affected the Performance of the Project. Failure to provide sound leadership and be on top of decision making has subjected the Project to the whims of the Public service division in the Western Province who have clearly noted the lapses in the leadership at the center of the Project. The effect of this observation has led to the undermining of the PIU Manger’s leadership firstly by his own team, leading to in fighting and later on by the many in the Districts who generally feel that there has been failure to coordinative and lead the Project effectively at that level of leadership.



#### *4.5.5 Institutional Environment*

A project could fail in spite of the quality of its design and implementation simply due to a poor institutional environment. The design of the PPCR Project was such that implementation is led by the Local District Councils in collaboration with Local Climate Risk Adaptation Facilitators (CRAFS or NGO's). This scenario has presented two Problems (i) The Local District Councils historically are poorly funded and this has subjected Project funds and associated resources like vehicles to clear abuse by the Local Authority instead of properly channeling the resources to needy communities. (ii) Secondly, public servants in the Local District Councils have generally a bad work culture which does not fit well with the nature of the PPCR Project which is time bound and fast paced. The two scenarios presented above have essentially affected the Project's ability to report timely to the donors but also increased the amount of work by the NPIU in Lusaka because closer supervision and scrutiny of records has had to be conducted every quarter to avoid Project default.

It was further noted that in the initial design of the PPCR Project, the efforts of the District Councils in providing technical support to the Project Implementation process was supposed to be complimented by the recruitment and training of the Climate Risk Adaptation Facilitators. The role of CRAFS was to enable communities generate viable Climate change related Projects for funding by training and equipping them with the requisite skills on how to identify risks associated with climate change and proposing suitable or appropriate ways of mitigating the said effects and the impact on the environment. However, interviews conducted with Project Manager in Mongu revealed that some Districts like Kaoma, Kalabo and Shangombo did not have CRAFs a situation which has presented gaps in the generation and appraisal of Projects because the Local District Councils lacked the expertise in this area. In instances where CRAFs are present, it was noted that their performance has been below average. The implication of this inability and lack of CRAFs has impacted on the number of Projects generated which has had further knock on effects on the overall's PPCR Project's ability to disburse funds. Collier and Dollar (2001) also argue "aid is conditionally effective," with conditions including policy environment, governance, rates of corruption and conflicts.

#### *4.5.6 Procurement Procedures*

The PPCR Project in its design is supposed to be implementing District and Ward Projects. These are large infrastructure related Projects like Bridges, roads, Para vet and animal

insemination centers , dams and fish ponds to name but a few. However, results collected and observed on the ground revealed that these Projects have failed to take off or in cases where there is a progress, the cogs have been turning very slow to the displeasure of both the donors, Government as well as the local communities who are the ultimate beneficiaries. Detailed interviews with the District Planning Officers revealed that the Problem has been at Provincial level where Procurement of thresholds at Ward and District Level Projects are handled. Lengthy, protracted and slow procurement processes were the source of inabilities by several Districts to commence large infrastructure Projects and this scenario has inevitably crippled the PPCR Project's ability to meet disbursement thresholds and consequently contribute towards the Project's overarching objectives. Brannelley (2006) point out that weak procurement systems lead to delay in disbursements of funds and project schedules in East and Central Africa especially in Ethiopia and Zambia. This affects a project's absorption capacity which in turn results in slower than predicted disbursement. Mwega, 2009. Further cites the rampant abuse of procurement systems which raise governance and fiduciary issues, a basis for donors to withhold funds. Procurement systems in projects are weak and cumbersome due to bureaucracies and need to be streamlined to make them clear to all stakeholders.

#### *4.5.7 Training and Capacity Building*

The Ministry of Local Government is mandated with the recruitment and deployment of civil servants at all levels including at District level. It was observed and learned that the rate of staff transfers by the commission is very high ranging from as low as three Months and above on average. The transfers have affected the Project's rate of delivery because in certain cases the whole institutional memory of the Project at district level is wiped out by way of transfers to other Parts of the Country far from western Province. This scenario has presented a very unique challenge to the PPCR Project on to how to keep up with training needs because very other time key staff involved in the running of the Project are moved without prior knowledge. Technical and Knowledge gaps have immersed in implementing Districts as a result of the staff movements. Yalagama et al. 2016).The study from Sri Lanka noted that despite significant investments, (CDD) projects have yielded mixed successes in different countries and localities, underscoring the need to improve the project model and design. The analysis of factors identified an enabling community environment that

emphasizes the need for providing close support, training, technical assistance, monitoring as key element in the effective delivery of development Projects

#### *4.5.8 Technical Support at Community Level.*

It was noted that several community related micro Projects have been failing to provide retirements for initial grants disbursed to them due to lack of knowledge and understanding of the process should be done. Funding to Community Projects is subject to meeting conditions contained in the grant agreements signed between the PPCR and the Community. Therefore failure to retire initial 50% of funds automatically locks out the community from accessing the final 50% to complete their respective Projects. The cause of this fall out was attributed to lack of training and follow through support from the District to equip the community with basic skills in book keeping and best practices at community level.

#### *4.5.9 Project Appraisal Process.*

The Project appraisal process takes too long due to many stages involved leading to loss of valuable time on which such time a bound project like PPCR is anchored. It was observed that process of appraising Projects takes two stages; (i) Field appraisal and (ii) Desk appraisal. Field appraisal is the primary stage at Community level where Projects are conceptualized and designed with the help of the Climate Risk Adaptation Facilitators then a final stage at desk level involves scrutiny of the Project and analysis at technical level with the input of the experts at the Province.

This process affects timeliness of Projects in the sense that the turnaround time to package and process the Projects for funding takes a long time on average three to six Months. This is essentially due to the work culture among public servants in the District Councils who are charged with the responsibility to manage the Project. (Lavagnon et al. 2010). The paper analyzes the results of a survey that aims to explore World Bank project success factors and specifically the relationship between critical success factors (CSFs) and project success as perceived by World Bank Task Team Leaders (project supervisors). The exploratory factor analysis highlights a specific set of five CSFs: monitoring, coordination, design, training, and institutional environment

## **4.5 Chapter Summary**

This chapter brought out a number of relevant and significant factors which were identified as key among the elements contributing to the current performance of the PPCR Project in Zambia. This chapter went further to provide detailed narratives around the said factors in order to enhance clarity in understanding the cause and effects of the Project's status quo. These factors were categorized in two seven broader themes as being (i) Funds disbursement Procedures (ii) Monitoring and Evaluation System (iii) Institutional Environment (iv) Political Influence (v) Project Coordination (vi) Project Design and Procurement Procedures (vii) Technical Training Support and Capacity Building.

## **CHAPTER FIVE: DISCUSSION OF THE FINDINGS**

### **5.1 Introduction**

The previous chapter focused on the data analysis and presentation of the of the research results arising from various submissions from the participants in the research process. The chapter provided brief demographics of the respondents went further to provide detailed narratives of the findings. In this chapter, research presents discussions of the findings from the previous chapter.

### **5.2 Understanding dynamics for delivery of Development Aid in Zambia**

The findings above have had a profound effect on the efficiency and effectiveness of the PPCR Project in a myriad number of ways. It was noted that challenges arising from the design of the Project were inherent and affected the performance in a subtle way because they involved the elements of human behavior since the agents of the Project are primarily civil servants from the Local Government .It was further pointed out that a Project is only as successful as its design, this means that the success of any project lies in how much work has been invested in its design. A well thought through and all-inclusive process in designing a project can as well provide early indicators of its ability to succeed or fail.

The erratic and inconsistent funding to various Community, District and Ward Projects has had a negative impact on the outputs and objectives of the Project since disbursement milestones and targets cannot be reached and this situation has on several counts raised red flags regarding Project Performance on the part of the cooperating partners being the World Bank in this case. These findings agrees with the study done by Dehn et al. (2003) where it was noted that Fund disbursement bureaucracies abound in all governments, resources earmarked for particular uses flow within legally defined institutional frameworks. Typically, funds pass through several layers of government bureaucracy down to service facilities, which are charged with the responsibility of spending the funds

Effective monitoring and evaluation is an imperative and integral part of an effective project implementation model and the lack of it as is the case for the PPCR Project has had adverse effects on the overall Project Performance monitoring .The PPCR Project lacks an

appropriate and effective monitoring and evaluation system to profile, flag and assess the performance of each Project has led to instances of misappropriation of Project funds in certain instances which are meant to benefit the larger communities depriving them of the much needed interventions towards poverty reduction and improving food security at household level through the intended mitigative interventions. (Martens et al., 2002) notes that if the evaluations are well done, to the extent there is no mechanism in place to act on these evaluations and no mechanism to get the evaluation results out in the public. An independent foreign aid evaluation agency could be a way around these problems. In addition, even if donors adopt formal evaluation as a key component in aid programs, there would still be difficulties in exercising external influence without undermining local accountability relationships (World Bank, 2003).

Institutional environment and Political influence were found to be complimentary in our study with regard to the how they have contributed towards the dissatisfactory performance of the PPCR Project. The heavy interest exhibited by the offices of the District Commissioners and Permanent Secretaries in the running of the Project on a day to day basis as it relates to decision making and operations of the Project has had adverse effects on the delivery of the Project. It was noted that these are political offices with different expectations and agenda all together regarding their understanding of what the Project deliverables should look and smell like. This situation has created divergence in views between technical experts recruited to run the Project and the Political Players who feel that they have unrestricted access and are party to decision making on every Project under their jurisdiction by virtue of their appointment. The divergences in opinions is around miss understandings of what the mandate and objectives of the Project. Consequently has contributed substantially to the challenges affecting the implementation process. Moyo (2009) argues foreign aid has been ‘an unmitigated political, economic and humanitarian disaster. Moyo says that despite the fact over \$60 trillion of this aid been given to Africa in the past 60 years , there is an inverse correlation with actual results achieved by most African states as evidenced by the increase and rampant number of Africans who live on less than \$1 day has doubling in the last 20 years. In addition, most foreign government aid, she argues, has been pocketed by corrupt politicians.

The lack a consistence Technical Training Support and Capacity building was cited as a substantial contribution in the current performance of the PPCR Project. Although, there is little empirical evidence especially on the PPCR Project linking performance to training because it was observed that in certain districts, officials were thorough trained and exposed to exchange Project visits to Countries in Asia like Nepal and Tajikistan which are also piloting the Implementation of the PPCR Project with impressive results and Performance. A further review of such districts with regard to their Performance and contribution towards the overall PPCR Project Performance was however below par and could not show correlation between the training received and the results achieved on the ground. Despite training and capacity building being brought out as key among factors affecting the Project, it was noted that validation of the results proved otherwise. This finding led the researcher to probe the results further and it was also noted that issues of social and cultural set ups were as key in understanding the behavior of human beings as social players.

It was further noted that at community level, lack of training to enhance their skills in basic book keeping and Project Management has led to communities failing to retire funds for their initial grants as result of failure to file, document and report transactions on how they used the initial fifty percent grants as per grant agreement. The situation has led to failure to complete some Projects and subsequently loss of such investments as they are never realized to benefit the intended Communities of the Barotse Sub Basin. In a nutshell it is the synopsis of some of the identified key factors highlighted above which have been driving the current performance of the PPCR Project.

Brannelley (2006) point out that weak procurement systems lead to delay in disbursements of funds and project schedules in East and Central Africa especially in Ethiopia and Zambia. The PPCR Zambia Project in its design is supposed to be implementing large infrastructure related Projects such as Bridges, roads, Para vet and animal insemination centers , dams and fish ponds to name but a few under adaptation contingency fund sub component. However, results collected and observed on the ground revealed that most of these large Projects have delayed to take off or in cases where there is some notable progress, the procurement systems are very slow and renders the implementation obsolete in certain instances where certain Projects are tie or season bound. Detailed interviews with the District Planning Officers revealed that the Problem has been at Provincial level where a centralized Procurement process is conducted based on thresholds allocated at Ward and District Level

Projects. This has affected the project's absorption capacity which in turn results in slower than predicted uptake of financial resources based on the agreed disbursement guidelines with the World Bank.

Furthermore, the research noted that high rate of staff attrition or transfers in the local councils has had a significant impact on the business continuity process as it relates to the Project Implementation of the Project. It was discovered that un expected transfers of already trained staff at times across provinces leaving new members who are expected to hit the ground running because of the requirements from donors has had negative effects on the quality of sub Projects generated by the Project but also quality of the deliverables.

### **5.3 Chapter Summery**

This chapter provided a detailed drill down on the findings in chapter four by building on the narratives as found in the data analysis and presentation section. This chapter and the previous one do provide the crunch of this research by bringing out the actual issues at the heart of the current performance of the PPCR Project.



## **CHAPTER SIX: CONCLUSIONS AND RECOMMENDATIONS**

### **5.0 Introduction**

The previous chapter presented the discussion of the main findings of the study. This chapter presents the overall conclusion of the findings. It must be emphasized that the aim of this study was to gain a greater understanding of the Pilot Programme Project for Climate Resilience with special attention to identification of key factors which have been contributing to the current performance of the Project. The chapter ends with recommendations and suggestions for further research.

### **5.1 Conclusion**

This study has shed light on the factors and processes behind the relative performance of the PPCR Project under implementation in the Western Province of Zambia. As the study was unfolding at data collection stage some major themes were emerging to enable the researcher to have a clear understanding of the said factors. In order to determine the possible required changes to improve project implementation success, it was necessary to uncover the variables that drive performance in individual projects and the consequent outcomes such as improvement in Project effectiveness, quality, satisfaction and timeliness. This study identified seven key themes in addressing the current performance of the PPCR Project from a micro-view perspective as follows. First is the institutional environment where the Project is domiciled and implemented by a department (Local Government Commission) which is inadequately funded and poses operational risks to the overall implementation process of the PPCR through misapplication of Project Funds. This includes the implementing department has weak financial controls to guarantee safety of Project Funds as well as fragile accountability framework. Second is project Coordination which is largely affected by failure of leadership management both at Provincial and the PIU levels to infuse fresh ideas and life in the implementation process of the Project. The level of infighting between the Provincial office and the Project implementing unit over who should manage the Project has contributed to its inability to implement decisions timely. This relates to Clear Project design and an efficient Procurement system which are complex in nature and largely contribute towards inefficiencies in Project Implementation. The fourth relates to technical

support and Capacity building both at Community and District Level to enhance service delivery and address the knowledge gaps at both levels of decision making and implementation. The fifth points to funds disbursement procedures which are lengthy and complex in obtaining funds by Project Implementation Units (PIUs). The seventh aspect relates to a dynamic Monitoring and evaluation system which can effectively respond to the changes in the Project Implementation Process. The Project has weak outcome monitoring capacity. The final element includes level of Political Interest exhibited by the Politicians on the Project has been a source of concern to the donors.

The results of this study is similar with some of the findings and observations from three sets of comparable studies which were conducted elsewhere in Tanzania by Steven P. Mnyawi, in Sri Lanka by Sugath Yalegama as well as a publication from the World Bank Journal in relation to features which are key in successfully implemented community driven development Projects. Findings for this study brought out an apparent pattern of key factors which could spell success or failure for Projects of this nature. The starting point is to acknowledge that there is an urgent need to enhance the performance of the PPCR Project in many ways it is clearly showing deviations from the norm with regard to performance. It is also clear from the data collected and analyzed to note that the Project has scored some successes in certain areas but much still remains to be done. This research has been an imperative eye opener and provides a bird's eye view in to the Project's performance. This information will be very key to the implementers and decision makers in order to devise the essential remedies to enhance the performance of the Project.

## 5.2 Recommendations

Based on the research findings, below are recommended antidotes to the findings in chapter four above.

- i. **Project Design:** Project should consider to relook at the current implementation approach for possible changes which could bring new life and efficacy to the implementation process by a re-engagement process based on tangible performance and assessment of the Climate Risk Adaptation Facilitators (CRAFS) some of whom have not been very relevant in addressing performance issues related to the Project, as a matter of fact in certain instances, some CRAFS have been cited to collude and defraud Communities of funds meant for development Projects in their localities .i.e. in Sioma District at Mbeta Island

- ii. **Project Coordination:** The Project Management team at the National Implementing Unit in Lusaka should consider implementing performance contracts for the Project in Mongu in order to bind their performance to deliverables so that the Project could have meaningful changes in the implementation process.
- iii. **Project Appraisal Process:** The Project Management team in consultation with the World Bank Country Office Team leader should quickly reviewing the Process for appraising of projects as the current methodology is long, protracted and time consuming considering that Projects which are time bound. There is need to streamline and cut out certain unnecessary procedures in the appraisal process to make it quick and timely so that Projects can spend less time in feasibility and technical studies and be timely submitted for processing and funding.
- iv. **Training and Capacity Building:** There is need to properly and continually provide training through technical supports to the various players involved from the Community to District level. This will not only address the knowledge gaps but also provide a sustainable pool of valuable human resource for the Project in light of frequent staff transfers in the Local Government Service Commission
- v. **Monitoring & Evaluation:** The Project should consider investing more resources in a robust monitoring and evaluation system which could effectively address the deficiencies associated with failure by the Project in its core indicators tracking system.
- vi. **Institutional Environment:** The PPCR Project is implemented by a department which is inadequately funded by the Central Government, this state of affairs does subject Project funds to abuse of Project funds by the responsible staff in the Districts. The Project should consider enhancing financial monitoring regularly as well as strengthening the capacity of the internal audit department to effectively detect potential fraud related transactions and activities relating to the PPCR Project.
- vii. **Political Interest:** The Project should consider engaging the civic leadership at high level (Minister of National Planning and Development) so that an amicable way is found to resolve the current standoff between the offices of the District Commissioner (Political Office) and the office of the Council Secretary (Civil office). The two officers are key in the smooth implementation of the PPCR Project and any failures by the two offices to okay decision making has been a source of delayed authority in the swift delivery of the Project's outputs.

### **5.3 Suggestions for Further Research**

This research project was conducted by a lone researcher, who like many others found himself Confronted by challenges of time restrictions. As a result, it was essentially impossible for the study to have addressed all issues and problems related to the area of investigation. The following suggestion is therefore made regarding the way this study could be replicated (and possibly improved. Since this was a small-scale academic research, a similar one could be conducted at a national level, preferably drawing comparisons between ideal models of effective donor funded Projects versus sampled Projects with Poor performance. For purposes of statistical generalizations, a more quantitative study with sophisticated statistical techniques for data analysis would be most ideal. Secondly, future research might consider examining the relationships among the identified critical success factors and the relationships between the characteristics of projects, and project success

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## Appendix

### SURVEY QUESTIONNAIRE ON THE EVALUATION OF THE PILOT PROGRAM FOR CLIMATE RESILIENCE PROJECT

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#### Statement of Informed Consent

You are being requested to participate as a volunteer in a research study conducted by Mr. Peter Sinyangwe, a Masters Student at the University of Zambia - Graduate School of Business. This study is designed to gather information about the Performance of the PPCR Project vis-à-vis the Project's original Development objectives. The research is being conducted under the supervision of Dr. Jason Mwanza

You are one of the selected participants in this study by way of completing this questionnaire.

1. Your Participation in this Project is voluntary. You may withdraw from the study at any time without penalty or harm of any type. If you decline to participate, no foreseeable negative consequences will result.
2. Completing this questionnaire will require approximately **10** minutes. There are known risks associated with completing the questionnaire. If, however, you feel uncomfortable in anyway during this process, you may decline to answer any question, or not complete the questionnaire.
3. The researcher will not identify you by name in any report using information obtained from your questionnaire; your confidentiality as a participant in this study will remain secure. Subsequent uses of data generated by this questionnaire will protect the anonymity of all individuals.
4. This research effort and this questionnaire have been approved by the Dissertations Proposal Review Board as meeting the ethical requirement of this evaluation research. For research related problems or questions regarding ethical research practices.
5. Please email all responses to [mutukanjip@gmail.com](mailto:mutukanjip@gmail.com). For further, information including a copy of the results of this study, please contact Mr. Peter Sinyangwe - Mobile # +260977645486 (the researcher)

**NOTE:** By completing and submitting this questionnaire, you are indicating that you understand the statements above and consent to participate in this study. **Do not put your name on the questionnaire;** your signature acknowledging that you understand the information presented above is not required.

## PART A: GENERAL INFORMATION

(Please tick where applicable)

### Sex

- 1. female
- 2. male

### Age (Years)

- 1. 18-25
- 2. 26-35
- 3. 36-45
- 4. 46-50
- 5. Above 50

### Educational Qualification:

- 1. Certificate
- 2. Diploma
- 3. BA/BSc
- 4. MBA
- 5. MA/MSc
- 6. Ph.D.
- 7. Other (Specify) \_\_\_\_\_

### Work Experience with the Council

- 1. 0-10
- 2. 11-20
- 3. 20-30
- 4. Over 30

### Work Experience with the PPCR Project (Years)

- 1. 0-1
- 2. 2-3
- 3. 3-4

## PART A- QUANTITAVE QUESTIONS

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- 1. Bad
- 2. Fair
- 3. Good
- 4. Very Good

2. Briefly explain the reason for your rating above.

.....  
 .....

3. Describe for me key observable factors influencing the performance of the Project?

.....  
 .....

4. What has been the impact of these factors on the overall effectiveness of the Project?

.....  
 .....

5. What could be done in order to remedy or improve the performance of the PPCR Project?

.....  
 .....

6. Has the engagement of Local District Councils & NGO's yielded expected results on the Project's Performance? (***Please Circle relevant Number***)

Yes    No    Not Sure

1        2        3

Please briefly give reason for your answer above.....

.....  
 .....