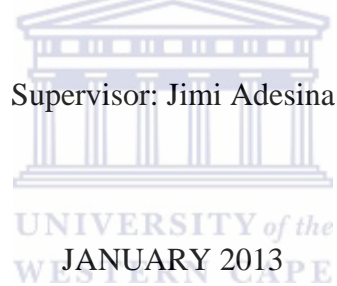


**The Constituency Development Fund as a tool for Community Development:
A case study of Katuba Constituency in Zambia.**

A Mini-Thesis Submitted to the Faculty of Arts, Institute for Social Development,
University of the Western Cape, in partial fulfilment of the requirements for the MA Degree
in Development Studies.

DOREEN NKOMBO CHIBOMBA



DECLARATION

I, Doreen Nkombo Chibomba, hereby declare that this Master Mini-Thesis is my own work and that it has not been submitted for any degree or examination in any other university and that all the sources I have used or quoted have been indicated and acknowledged by complete references.

Doreen Nkombo Chibomba

January 2013

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Signed

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Key Words: Constituency Development Fund, decentralisation, community, development, participation, government, project, Member of Parliament, Katuba, Zambia



ABSTRACT

The Constituency Development Fund (CDF) is a type of decentralised government funding that is supposed to deliver goods and services directly to constituents by providing additional funds for local community development, outside line ministries. It is predominantly a developing country policy that is intended to meet the immediate social needs of local communities. In countries where it is operational, CDF is appropriated by Parliament within a country's national budget.

CDF in Zambia was introduced in 1995 for the implementation of community based projects which would in the long term improve the socio-economic wellbeing of the constituents. The stated objective of the CDF in Zambia is to provide Members of Parliament and their constituent communities with the opportunity to make choices and implement (MPs) projects that maximise their welfare in line with their needs and preferences. However, questions have been raised over whether CDF actually represents efforts to spur local development and consequently national development, or whether it is primarily a political project aimed at benefitting MPs by providing them with the resources to help them gain popularity with the electorate.

The study aims to assess the effectiveness of CDF as a tool for community development. This has been done through a case study of Katuba Constituency in the Central Province of Zambia, using qualitative research methods. The study seeks to gain insight into of the impact of CDF projects in relation to the goals espoused by the CDF as laid down in Zambia's *Guidelines for the Utilisation and Management of the Constituency Development Fund*.

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ABBREVIATIONS AND ACRONYMS

ADC	Area Development Committee
CBO	Community Based Organisation
CDC	Constituency Development Committee
CDF	Constituency Development Fund
DDCC	District Development Coordinating Committee
GRZ	Government of the Republic of Zambia
MLGH	Ministry of Local Government and Housing
MP	Member of Parliament
NAZ	National Assembly of Zambia
NGO	Non-Governmental Organisation
RDC	Resident Development Committee
UNDP	United Nations Development Programme



CHAPTER 1: INTRODUCTION TO THE STUDY

1.0 Background to the Study

This study was conceived out of the idea that through proper formulation and correct implementation of public policy; and through correct utilisation of public finances, a country can make great progress in its development agenda. Many countries around the world have embarked on different kinds of policy reforms aimed at bringing about development. One such policy is decentralisation, which has been undertaken by many countries.

While different governments may have different reasons for embarking on decentralisation programmes, they all claim the desire to equitably distribute resources, ensure improvement in the delivery of services such as health and education, and empower local communities so as to ultimately attain development. According to Boex and Martinez-Vazquez (2006:1) “in many countries the emphasis has been on greater economic efficiency and growth, and even the need to fight poverty by providing rural households with access to basic services.” Smith (2007:102) points out that “decentralisation is designed to reflect local unique circumstances in development policy-making and implementation.” Various benefits of decentralisation have been identified and Smith (2007) illustrates a number of such benefits. He points out that decentralisation makes policies more responsive to local needs, provides a mechanism that is responsive to varying local circumstances thereby improving allocative efficiency and makes local politicians and bureaucrats more responsive and accountable to local communities. Decentralisation is also intended to aid poverty reduction through participation (Smith 2007:102-103). It should therefore, help spur development through decentralising decision making to local communities.

While the aspects of decentralisation as a form of government organisation and as a tool for development are intertwined, the focus of this study will be on decentralisation as a tool for development. This will be done by examining how CDF has been utilised in Zambia, in a bid to bring about development at the grassroots level so as to spur national development. The study was undertaken out of the recognition of the link between policy (in this case decentralisation) and use of public finances to bring about development. Through this recognition, the study considers how funds and decision making have been decentralised to the constituency level in Zambia through the CDF, with the aim of achieving community development.

The study explores decentralisation in Zambia. This is done through the examination of the CDF and how it fits into the wider decentralisation policy. The study focuses on the use of CDF in Katuba Constituency and how the fund has impacted on development in the area.

1.1 The Research Problem

1.1.1 Statement of the Problem

The concept of CDF has spread to a number of developing countries. It is a type of decentralised government funding that is supposed to deliver goods and services directly to constituents by providing additional funds for local community development, outside line ministries. CDF represents the tenets of decentralisation as an engine for community development in that it is about financing development initiatives at the community level through decentralisation of funds and decision making to the local level. However, CDF in Zambia faces the challenge of being taken seriously as a tool for community development. This problem stems from the fact that the successive governments have been advancing the decentralisation agenda since independence with little improvement in local government performance. As stated in Hampwaye (2008:350) “past decentralisation efforts in Zambia have achieved little progress as most powers and authority have remained vested in central government.” According to Chikulo (2009: 104) “The strength of the decentralised local government remains limited.” Further, many development initiatives that have been adopted by the government in the past have been mostly top-down and have failed to produce the desired results. There appears to have been little room for community participation in decision-making on local development activities and affairs (Chikulo 2009:104).

Added to the above is the view that it is a “pork barrel” venture by MPs. Pork barrel politics can be termed as spending by a legislator that is meant to benefit his/her constituents in return for their political support. According to Keefer & Khemani (2009:12)

“Central to the pork barrel literature is the idea that voters can be more certain of a legislator’s contribution to their welfare when it comes in the form of benefits that flow only to the legislator’s constituency...key to this rationale, is that constituency spending gives legislators an electoral advantage that challengers cannot match.”

Also, questions have been raised over whether CDF is primarily a political project or whether it actually represents efforts to spur locally based development (Baskin 2010). This argument

takes the view that government would do better to strengthen existing local government structures and funding in order to enhance development as opposed to giving money to politicians. Other concerns have arisen around issues of transparency and accountability and around monitoring of projects and use of funds (Centre for International Development 2009).

In Zambia, tangible results on how CDF has been utilised since its inception have not been well documented mainly because not much research has been carried out in the area of CDF. The development of the grassroots is important for the country because it has implications for poverty reduction and national development, which is the country's stated ultimate goal (GRZ 2011b: xiii). It is therefore necessary to critically examine how the CDF is being utilised and identify issues, which need to be addressed in order to improve its performance and to achieve its stated objectives. It is against this background that this research has been carried out so as to determine the effectiveness and sustainability of the CDF strategy as a tool for enhancing community development in Zambia.

1.2 Aims and Objectives of the Study

In the context of what has been discussed above, the fundamental aim of this research was to assess the effectiveness of CDF as a tool for community development. The objectives of the study are to:

- 1) Determine the level of local knowledge of the CDF in Katuba;
- 2) Examine the level of MP involvement in the utilisation of the fund;
- 3) Find out what projects have been done using CDF;
- 4) Examine the extent of community participation in the selection and implementation of projects on which CDF is utilised;
- 5) Assess whether CDF projects had benefited the local community in any way by comparing outputs against stated objectives;
- 6) Examine the administration, transparency and accountability mechanisms for CDF; and
- 7) Discuss the way forward.

1.3 Research Design

Mouton (2001:72) points out that the design of a social research study requires a researcher to map out strategies he/she will be using as a guiding tool to enable him or her to get the most

valid results for the problem under investigation. In the case of this research problem a case study design was adopted.

1.3.1 The Case Study Approach

The researcher used the case study to approach in order to collect more information and get a deeper understanding of CDF utilisation in Katuba. Case studies are detailed investigations of individuals, groups, institutions or other social units. Case study research is defined by Yin (1984:23) “as an empirical investigation that examines a contemporary phenomenon within its real-life context; when the margins between phenomenon and context are not evident; and in which multiple sources of evidence are used.”

For this study, Katuba Constituency was selected because CDF is released to constituencies and this method made it possible to study CDF vis-à-vis community development in a delimited area and allowed the researcher to develop in-depth and textured understanding of the research objectives. Although the research could have been conducted in the urban constituency in which the researcher resided, or in any other constituency in the country, Katuba was specifically chosen as the case study area because of its rural nature, considering that rural areas are the most underdeveloped in Zambia. This was done while taking into consideration that financing for the research was a limiting factor and because the researcher could easily travel to the constituency. The study sought to gain insight into of the impact of CDF projects in relation to the goals espoused by the CDF. Further, the researcher has family residing within the constituency and can speak the local language and as a result was able to gain easy access to the area and easily interact with respondents. Further information on Katuba Constituency is available in Chapter 3.

1.3.2 Methodological Approach

Qualitative Research

The study employed a number of research tools including qualitative research methods such as informal and semi-structured interviews and observation. Qualitative research allows a researcher closer involvement with study participants; it allows for small number of cases to be studied and openness to multi sources of data. It is also flexible as it allows for adjustments and necessary changes where need be (Babbie & Mouton, 2001). The use of qualitative methods helped the researcher to gain an in-depth understanding study as it allowed for more detailed discussion by and involvement of the respondents. The researcher

conducted semi structured interviews, focus group discussions and also carried out unobtrusive observation. Data was collected from both secondary and primary sources. Primary data was collected through focus group discussions, semi-structured interviews, and documents from the MLGH and the library of the National Assembly of Zambia as described below. Additional secondary data was collected from the National Assembly of Zambia Research Unit and the Katuba Constituency Office. The research was carried out over a ten weeks period from 15th April to 30th June 2012. The researcher spent a seven weeks in Katuba Constituency, from 29th April to 8th June 2012. Other interviews were conducted at the National Assembly of Zambia and at the Ministry of Local Government Headquarters in Lusaka.

The researcher also carried out secondary data analysis and literature review during the entire period of data collection and thesis writing.

1.3.3 Primary Data Sources

Primary data was collected through five focus group discussions, and semi-structured interviews. The study comprised a total of fifty eight respondents who included ordinary community members; traditional leaders; the Katuba Constituency MP and the immediate past MP for the area; the MP's assistant; twelve MPs representing other constituencies; four ward councillors; and members of staff of government institutions including two officials from the Ministry of Local Government and Housing (MLGH), teachers and nurses working in Katuba. These interactions were carried out using the tools described below.

Focus Group Discussion

Morgan (1996) pointed out that notes that focus group discussions provide the opportunity to observe a large amount of interaction on a topic in a limited period of time. Five focus group discussions were conducted. One comprised six headmen while the second was made up of seven civil servants working in the constituency. The third group comprised eight ordinary members of the constituency who did not have CDF projects in their vicinity, whilst the last two groups had eight members each who were CDF project beneficiaries. The discussions were held at different venues within Katuba including churches, a school hall and a community hall. Each discussion lasted an average of 90 minutes and was directed by the researcher who moderated the proceedings. The researcher took hand written notes and audio recordings of the proceedings. According to Morgan (1996:129) "The advantages of focus

groups can be maximised through careful attention to the research design issues at both the project and the group level.” Discussions focused on issues relating to the understanding of CDF and development needs of the community, and level of participation in selection and implementation of CDF projects.

Semi-structured Interviews

Semi-structured interviews were conducted with the Katuba constituency former MP, the current Katuba constituency MP, the MP’s assistant at the constituency office and four ward councillors and two MLGH officials. Twelve MPs representing other constituencies were also interviewed. The former MP was interviewed from his home in Katuba while the current MP and his assistant were interviewed at the Katuba Constituency Office. Interviews with the ward councillors were conducted at various locations within their respective wards. The MLGH officials were interviewed from their offices at the MLGH headquarters in Lusaka while the twelve MPs were interviewed at the National Assembly of Zambia Buildings. The interviews were conducted over a two week period, from 12th to 28th June, 2012.

Observation

Observation was done by visiting a number of projects and recording the state of the projects in terms of phases of implementation (ongoing or completed). Through observation, the researcher was able to determine whether project activities were implemented in line with the stated utilisation of funds.

1.3.4 Secondary Data Sources

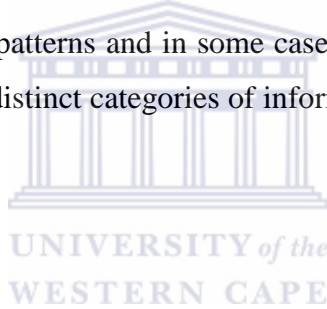
Document Analysis

Secondary data sources included the Guidelines on the Management and Utilisation of CDF, previous research reports on CDF, past parliamentary committee reports, parliamentary debates and annual CDF reports from the Ministry of Local Government and Housing. The researcher accessed parliamentary committee reports and parliamentary debates from the National Assembly of Zambia Library¹. The Guidelines on the Management and Utilisation of CDF and annual CDF reports were from the Ministry of Local Government and Housing Headquarters.

¹ These documents are also available on the National Assembly of Zambia website: www.parliament.gov.zm

1.3.5 Data Analysis and Presentation

Data was analysed through content analysis which was used to categorise information obtained. According to Hsieh and Shannon (2005: 1278) “Qualitative content analysis is one of numerous research methods used to analyse text data.” It is a research method used to interpret the content of data through the systematic classification process of coding and identifying themes or patterns (Hsieh and Shannon 2005). Placing data into themes “provides a flexible and useful research tool, which can potentially provide a rich and detailed, yet complex, account of data (Braun & Clarke 2006: 79). The researcher arranged the raw data into similar themes and categories in order to address the different research questions. Apart from ensuring that the different research questions were answered, this gave the researcher a chance to ensure that that there was a logical flow of data. In order to do this the researcher sorted through the data, separating information between that which was collected from interviews, from focus group discussions and from observation. This information was then grouped by identifying common patterns and in some cases by identifying sub groups. This helped the researcher to identify distinct categories of information which were given different headings.



1.3.6 Limitations of the Study

The main limitation of the study arose because Zambia held its Presidential and Parliamentary elections in September 2011 (seven months prior to when data collection was carried out). As a consequence of this, the newly elected MP and the ward councillors were still settling into their new offices. Apart from settling in, the newly elected officials either did not have much information about past projects or were not willing to give it out easily. However, the former MP for the constituency under study was a valuable source of information for the researcher. The MP’s assistant at the constituency office was also a source of information, because the newly elected MP had retained the assistant to the former MP as his assistant. Further, Katuba Constituency, like all other constituencies in Zambia, did not have a Constituency Development Committee (CDC) at the time of the study. This was due to the fact that the Minister of Local Government and Housing had not yet approved the names of CDC members in accordance with established procedure. However, the information collected from the previous MP, the MP’s assistant and the area councillors was valuable in addressing aspects that were related to the CDC. Also, a number of key officials

from the local council such as the Council Secretary and District Planning Officer did not make themselves available to the researcher. In an attempt to overcome this limitation, the researcher interviewed two officials from the Ministry of Local Government and Housing, which Ministry oversees the operations of the local council.

In addition to the above, the researcher could not easily access government reports on CDF due to government bureaucracy. There was also limited documented information in CDF and available data was mainly disaggregated along district and not constituency lines. The researcher therefore, relied on a number of documents collected from the National Assembly of Zambia Research Department, from Katuba Constituency Office and other public government publications.

A major limitation to the study was financing. The researcher had to solely fund the study from own resources and this proved a major setback especially in terms of transportation costs. Nevertheless, the researcher persevered, while observing the ethical requirements of the University of the Western Cape.

1.4 Literature Review

One of the key aspects of a research proposal is conducting an extensive literature survey, in order for the researcher to get acquainted with the selected research problem. For this study a review of existing literature on CDF was conducted. Further literature review was on the ideas of decentralisation and community development.

1.5 Organisation of the Study

This study is organised into six chapters as outlined below

Chapter One: Introduction to the Study

This chapter will present the introduction which discusses the background; research problem; objectives of the study; limitations of the study; and the method and sources of data. Chapter one also gives the structure of the study.

Chapter Two: Literature Review and Theoretical Framework

This chapter reviews the concepts of decentralisation and community development and provides a theoretical base for the study through analysing the participatory approach to

development. As pointed out by Kemoni (2008), a literature review assists the researcher achieve a critical analysis of the existing literature in the proposed research area and in clarifying and framing research questions because it discovers what has been done and not done prior to the proposed research. “Other purposes include the literature review being useful in discovering research findings and how they relate to the existing appropriate literature (Kemoni 2008:104).”

Chapter 3: The Case Study Area

This chapter gives an overview of the case study area. It gives a general overview and brief background of Zambia. The chapter also provides information on Katuba Constituency.

Chapter 4: Constituency Development Fund

Chapter 4 begins by discussing CDF in very general terms and then describes CDF in Zambia by providing its background and objectives. It also provides the operational structure of CDF in Zambia as stipulated in the Guidelines for the Utilisation and Management of CDF.

Chapter 5: Data Analysis and Presentation of Findings

This chapter presents the findings of the study whose main aim was to find out the effectiveness of CDF as a tool for community development.

Chapter 6: Conclusion and Way Forward

This is the final chapter of the study which draws conclusions based on the research findings. This chapter suggests some steps that could be adopted to improve the utilisation of CDF.

CHAPTER 2: LITERATURE REVIEW AND THEORETICAL FRAMEWORK

2.0 Introduction

This chapter will discuss the concept of community development and a look at how alternative development approaches came about after dissatisfaction with traditional classical development theories, with a focus on the participatory approach. The chapter will thereafter focus on the concept of decentralisation and will also discuss how the community development and decentralisation are couched in the policy of CDF.

2.1 Conceptualising Development

Development is different things to different groups and individuals and has been variously described by a range of authors. The concept has been ascribed many definitions over the past several decades. Robinson and Green (2011: 13) argue that the different definitions of development include “Modernisation, urbanisation, industrialisation, social or political transformation, technological improvement and economic growth. Implicit in all these is the idea that development involves change directed towards some particular social or economic goal.” The idea behind development suggests change directed toward some particular social or economic goal, a form of growth with structural transformation.

Sachs (1992:10) observes that “Development cannot delink itself from the words with which it was formed- growth, evolution, maturation...The word always implies favourable change, a step from simple to complex, inferior to superior, from better to worse.” This definition suggests that development is upward progression. However, development is not simply a concept defining progression and has evolved over time to include other facets as well. As Coetzee (2001: 120) points out, development refers to “a form of social change that will lead to progress, the process of enlarging people’s choices, acquiring knowledge and having access to resources for a decent standard of living, and a condition of moving from worse to better.” It can be defined as a process that increases choices and presents new options. It means diversification and anticipating change (Christenson & Robinson 1989). For some, the idea behind development suggests change directed toward some particular social or economic goal.

In the context of this study, development will fall within the description given by Green (2000:69), namely that “development is not then simply a process of directed change leading

to certain kinds of economic and social transformation, but depends on the accomplishment of a series of corresponding moral transformations in the consciousness of people participating, as change agents and changed, in the development process.” As pointed out by Cavaye (2006:1), “development involves change, improvement and vitality – a directed attempt to improve participation, flexibility, equity, attitudes, the function of institutions and the quality of life.” Further, development will be taken to be a multi-faceted concept driven by community involvement in partnership with other stakeholders and encompassing a number of values including empowerment, participation, sustainability, transparency and accountability among others. Furthermore, Jeppe (1985: 5) points out that an important prerequisite to development is that must be attractive to the participants in order to motivate them to accept the changes to their lives brought about by the development process.

The discussion below is intended to provide a historical perspective on how growing dissatisfaction with traditional theories of development led to the rise of alternative approaches.

2.2 Theories of Development

As the development discourse has been evolving, it has gone through numerous definitions and perspectives, including but not limited to “Modernisation, urbanisation, industrialisation, social or political transformation, technological improvement and economic growth (Robinson and Green 2011: 13).” It has gone “from ‘Modernisation to participation’, from ‘Dependency to empowerment’ and from top-down to bottom up’ Toomey (2008:8).” In order to establish a view of development that is relevant to the study the Modernisation and Dependency paradigms will be explored in order to provide a historical perspective on how growing dissatisfaction with these views led to the rise of alternative approaches that called for more people-centred development.

2.2.1 Traditional Theories

Various development theories and approaches have emerged over the years with the original ideas on what development entails having grown from what is viewed as a Western concept of development. Two of these theories are the Modernisation and Dependency theories and these will be discussed briefly below.

2.2.2 Modernisation Theory

The first theory to be discussed will be the Modernisation theory. The era of the late 1950s and the 1960s viewed development as a concept that was couched in terms of economic growth which depended on the use of technology. “Theorists of the 1950s and early 1960s viewed the process of development as a series of successive stages of economic growth through which all countries must pass” (Todaro & Smith 2008:111). Under Modernisation theory developed countries of the West are the models of modernised economies to which underdeveloped countries should aspire.

As propounded by Davids et al (2005:9) “the essence of Modernisation is that if ‘less-developed’ countries are to become ‘developed’, they should follow the path taken by developed countries over the past 100-200 years.” According to this theory, the values present in developed countries are lacking in societies that are not developed. In order for a society to modernise, it needs to let go of its values and embrace new technology and values. It emphasises the need for a country to change its traditions values, attitudes and institutions (Davids et al 2005, Andersen & Taylor 2008). “Modernisation theory sees economic development as a process by which traditional societies become more complex and differentiated (Andersen & Taylor 2008:252.)”

Modernisation theory assumes that development connotes linear progression. Under this theory, transformation takes place when a traditional or pre-modern society changes to such an extent that new characteristics of advanced society appear by passing through five distinct stages as propounded by American economic historian W.W. Rostow in his book *The Stages of Economic Growth*. These stages are (Matunhu 2011:66):

- i. *Primitive society: The stage is characterised by subsistence farming and barter trade.*
- ii. *Preparation for take-off: The characteristics of the stage are; specialisation, production of surplus goods and trade. Transport infrastructure is developed to support trade. The stage encourages savings and investment*
- iii. *Take-off: At this stage, industrialisation increases and the economy switches from agriculture to manufacturing.*
- iv. *Drive to maturity: At this stage the economy diversifies into new areas and there is less reliance on imports.*

- v. *Period of mass consumption: At this stage, the economy gears on mass production and the service sector becomes increasingly dominating.*

Modernisation theory however, met with a lot of criticism as disparities between societies continued. Criticism labelled at Modernisation theory included the fact that it saw development as a process to be imposed from outside. According to Matunhu (2011: 67) the theory “is based on deterministic reason which states that within the linear model of socio-economic development, changes are initiated externally. The determinist reason gives little room for the reciprocal relationship between causation from within the developing region and from outside the developing region” The theory failed to recognise the role of target communities and to appreciate the initiative and creativity of so called underdeveloped societies.

2.2.3 Dependency Theory

As a result of the perceived failure of Modernisation theory to explain the disparities between developed countries and developing countries, Dependency theory began to take root. It was the result of the failure of Modernisation theory to show the relationship between the developed world and the poor regions of the world (Matunhu 2011). Preeminent among Dependency theorists was Andre Gunder Frank who according to Ingle (2012:5469) began to take a close look at why some countries were poor. They began to “re-examine the notion of ‘underdevelopment’ and to conclude that it was something that contact with the capitalist world had done to these states.”

Dependency is an explanation of the economic development of a state in terms of the external influences such as political, economic, and cultural on national development policies (Sunkel 1969:23). The basis for Dependency theory is that resources flow from poor and underdeveloped countries which are considered to be the periphery to wealthy nations which are at the core. This outflow of resources, leads to the impoverishment of underdeveloped countries while developed ones are enriched. As a result of this relationship, satellite countries (at the periphery) become dependent on countries in the metropolis (at the core) (Slattery 2003). Dependency theory premises are that there is a world system in which underdeveloped nations are the source of natural resources, cheap labour and markets for developed nations while being a destination for obsolete technology from countries in the metropolis (Slattery 2003:92-93). Andre Gunder Frank and other development theorists view

development and underdevelopment as two opposite sides of a world system in which developed countries develop at the expense of underdeveloped countries. These theorists argued that Modernisation theory failed to recognise that underdeveloped countries existed in a world economic structure that was dominated by developed capitalist countries thus hampering their development efforts (Kirby et al 2000:460-461). A result of this relationship is the failure by poor third world countries to escape this system and they are therefore kept dependent on developed first world countries.

Criticisms of Dependency theory began to arise because like Modernisation theory, it failed to identify social factors that could help bring about development.

2.2.4 Alternative Approaches

The starting point for a discussion of alternative theories will be the idea that although economic growth is a necessary ingredient, it is not on its own sufficient to bring about a desired state of development. Other factors are also necessary for a society to develop and these will unfold as the discussion advances. While Modernisation and Dependency also share this view, the focus of alternative approaches to development is bottom up, participatory and people centred development which is inclusive of all stakeholders.

During the 1970s, development began to be viewed as much more than just economic growth and this led to a rise in the dissatisfaction with classical theories. "...a new model or ideology emerged in the late 1960's as a counter point of mainstream development practices. As a result, social movements began to appear, new concepts of participation, environment, empowerment started to come into sight, claims for rights, inclusion for all these aspects began to appear as central points of discussion in development agendas around the world." Classical theories were unable to explain continued economic imbalances and what role people played in their own development. This gave prominence to the support for an alternative development paradigm. "Mainstream development has gradually been moving away from the preoccupation with economic growth toward a people-centred definition of development" (Pieterse 1998:343). Davids *et al* (2005) enunciate this view by stating that to reflect the "new human orientation of development, the late 1980s saw a shift from the macro-theories of Modernisation and Dependency to a micro-approach focused on people and the community."

Pieterse (1998) stated that alternative approaches are about development from below and about employing practices that involve the community; they are people-centred and participatory. Alternative development promotes collective action and the involvement of various actors including government; non-governmental organisations and community based organisations; donors; beneficiary communities; and others in the development process. This is as opposed to classical development theories that are based on a top-down approach to development with development being imposed from external sources. According to Binswanger-Mkhize (1990:39) “economic failure and rural neglect in many countries were attributed to excessive centralisation and top-down approaches.” The growing disappointment with centralised development models saw the growth of approaches that focussed on local grassroots people as the being at the centre of development initiatives, hence alternative approaches.

As further noted by (Binswanger-Mkhize et al 2010:39), “top-down, often patronising approaches viewed communities as passive recipients to be led, not economic actors whose energies could be harnessed through empowerment. Such approaches viewed central experts as the most knowledgeable; in fact, only local people could know the precise nature of their key problems and possible solutions.” Worth noting however is that in adopting a top-down approach to development, it should not be assumed that giving local people complete say in what they want will produce desired benefits of development. Therefore, people-centred development should take into account the intrinsic value of a democratic approach, and the inter-dependence that should be developed between planners and local people.

Thus bottom up development which puts people at the centre of development has taken root as an approach, offering a departure from traditional approaches. This alternative development model has a number of aliases including appropriate development, participatory development, people-centred development and holistic development among others. It involves many aspects such as participation, participatory action research, grassroots movements, empowerment, democratisation, citizenship, human rights, and so forth (Pieterse 1998:352).

In relating the alternative approach to this study, it can be argued that CDF as a tool for development focuses on people as being active in their own development as can be evidenced from its stated objective which is to enhance people’s participation in achieving development

in their communities. In order to guide the study, the participatory approach as part of the alternative approaches paradigm will be the focus.

2.2.5 The Participatory Approach

As pointed out by Green (2000:69) “Since the mid-1980s the notion of ‘participation’ has become virtually synonymous with ‘development’”. According to the International Foundation for Alternative Development quoted in Gonzalez (2008:17) the way to achieve alternative development is through “new development strategies which cannot be conceived and carried out without the participation of social actors in all phases. Its validity will stem only from genuine participation of people in the identification of issues, in the formulation of recommendations and in their implementation.” The basis for the participatory approach is that people have the ability to mould their own future. It encourages the use of local decision making and capacities to steer and define the nature of an intervention.

Chinsinga (2003), opines that the participatory approach asks development planners, practitioners and researchers to give up what was emphasised by traditional top-down approaches, that is, an erroneous view that it was their fundamental prerogative to define problems and to solve them on behalf of the target community. All stakeholders, including government and civil society, collaborate with the local community in development activities from the very beginning of project identification, prioritisation, planning, implementing, evaluation and monitoring. The rationale behind the participatory approach is that it can lead to greater acceptance of development activities as it gives people the feeling that they belong to development initiatives and programmes. This can allow members of the community to develop a sense of ownership which motivates people to accept responsibility and promote sustainable development (Davids *et al* 2005).

This approach is one that promotes the community’s involvement in their own development. “It takes the stand that people have a fundamental right to participate fully and effectively in the making the decisions which affect their lives at all levels and at all times (Chinsinga 2003:133).” The main focus of the participatory approach is to allow people at grassroots level to make decisions about their own development. The rationale behind the participatory development approach is that the participation and involvement of beneficiary groups will develop and strengthen their capability in development initiatives (Davids *et al* 2005, Swanepoel and de Beer 2000, Craig & Mayo 1995, Burkey 1993). According to proponents

of this approach, the development process will only be successful with the free and active participation of people in the community who are to be beneficiaries of the outcomes of the said development process. People's participation is seen as essential to their development (Bessette 2004). Midgley *et al* (1986:3) point out that "development is facilitated if people participate fully in making decisions that affect their welfare and in implementing these decisions".

Similar to the tenets of the participatory approach, the objectives of CDF are based on the participation of people in the community or at the grassroots as essential to the development of a society. The approach therefore, is appropriate in guiding the study.

2.3 Conceptualising Community Development

Community development is an area that has been dominated more by practice than by theory. For purposes of this discussion, the term will be severally used interchangeably with grassroots development as both concepts look at development from a similar perspective. There are a number of principles that have guided the area of community development and these to an extent form the basis for a theory of community development (Green and Robinson 2011). In this regard community development falls under the framework of alternative approaches to development as has been discussed above. This section however, is about community development as it is practiced by development practitioners; it provides clarity regarding how CDF is intended as a practical tool for developing the community.

Community has a multitude of meanings including people who live in the same geographical location and people who interact not only based on their physical location but by their common interests (Robinson & Green 2011: 13). Simply defined, a community is a group of people with shared interests living in a delimited area. "The community may be an urban neighbourhood, town, city, county region, or any other combination of resources and population that makes up a viable unit (Cary 1970:2)."

Community development combines the ideas of 'community' and 'development' as they have been separately defined above. It is the interaction between people and joint action as opposed to individual activity. It is concerned with promoting community participation as a means of enhancing the development process. Community development is concerned with self-sustaining development directed by the community (Davids *et al* 2005:107).

Contemporary thinking on community development is influenced by the participatory approach. Failure of externally driven projects, lack of project sustainability and resource constraints popularised this shift in development thinking towards community or participatory approaches (Streeten 1995).

The participation of the community in the development process does not ignore the existence of actors outside the confines of the community. Even though community development involves giving communities decision making powers and making them major players in the development process, community members do not work in a vacuum but instead collaborate with various external stakeholders. Swanepoel (2006:18) identifies public sector stakeholders including national government, provincial government, local government and parastatals; private stakeholders such as industries and commerce; non-governmental and civil society stakeholders and community based stakeholders including clubs, political associations, schools and traditional structures. Community development does not ignore the existence of development partners in the development process. One of the tenets of community development is that all the stakeholders share an interest in the outcome of the development process. Bessette (2004:9) describes stakeholders as “community members, active community groups, local and regional authorities, NGOs, government technical services or other institutions working at the community level, policy makers who are involved with a given development initiative.” The involvement of all relevant stakeholders will make the development process a truly wholesome one as the community alone may not have all the resources necessary to achieve desired results.

This study supports the position that various stakeholders, both internal and external are necessary to steer development. The community development process should be one in which members of the community are united with the government and other actors to improve the economic and social conditions of their community as this will contribute to national development.

A question that begs answering is how to ensure successful community development and consequently how a community development programme such as CDF can achieve the desired results. Cavaye (2006:6) states that there is no recipe for the community development process to work but lists a number of principles that can be followed to guide the process. Some of those principles are outlined below.

- *Start where rural people are – the existing concerns and situation of people is the starting point of community development.*
- *Community development creates a vehicle for people to act on existing concerns.*
- *The passion and enthusiasm of local people drives action.*
- *Belief, motivation and commitment are the fuel in the tank of community development.*
- *Community ownership/involvement – the community makes and implements decisions, and the community's initiative and leadership is the source of change,*
- *People build motivation and community capacity through participation and active involvement in decision-making and implementation.*
- *Inclusiveness – all citizens should be given an equal opportunity to be involved.*

The principles listed above all point to the importance of involving the community in decisions about their own development. Therefore, it is imperative for government and other stakeholders to have this in mind as they are implementing development programmes.

However, Cavaye (2006) gives caution as to what community development is not. He states that it is not merely service delivery because if it was, it would do little to stimulate the rethinking, social networks or leadership that builds the ability of communities to manage change. He also states that the community development process is not a social welfare program but rather “a self-directed process aimed at a broad range of economic, social and environmental community benefits.” Cavaye further points out that it is not a ‘feel good’ exercise but a process that produces tangible outcomes through cooperative action, rethinking and organisation and involves a lot of action and work.

2.4 The Concept of Decentralisation

In discussing decentralisation, it should be pointed out from the outset that this study is more concerned with the role of decentralisation as a tool for development and not necessarily as a type of government structure. However, in order to give a definition of the concept, it will be

necessary to discuss decentralisation as a tool that has been adopted by many countries as a system of government.

Decentralisation is a concept that is wide in scope and has been used in a variety of ways and in many significantly different contexts. Simply put, decentralisation is as defined by Crook & Manor (1998:6) the planned transfer of power away from a central authority to lower levels. In defining it as a system of governance, Crook & Manor (2000:1) describe decentralisation as “the transfer of powers and resources from higher to lower levels in a political system”. The authors point out that since the mid-1980s more than sixty governments, mainly in developing countries, have experimented with some form of decentralisation.

There are various types of decentralisation falling under devolution, de-concentration and delegation. De-concentration is defined as the transfer of administrative responsibilities from the central government to local governments within a central government ministry or agency while delegation is the transfer of managerial and administrative responsibilities of central ministries for specifically defined functions to organisations that are external to the regular bureaucratic structure. Devolution involves the substantial transfer of power and authority from central government to local government structures subsequently giving these local structures significant and autonomous financial and legal powers to function without reference to central government (Muriisa 2008, Crook & Manor 1998, Litvack et al 1998). Other types of decentralisation that more or less fall into the one or other of the categories defined above are political, fiscal, administrative and economic.

Decentralisation is founded upon a critique of central state planning which puts forward the argument that centrally administered governments can be an inefficient means of allocating resources within society (Lal 2000). Decentralising government is meant to improve service delivery and increase the efficiency of local government structures. In putting forward the case for decentralisation, proponents assert that “a more decentralised state apparatus will be more exposed and therefore more responsive to local needs and aspirations” (Crook and Sverrisson 2001). Crook and Manor (1998) support this view by arguing that decentralisation can produce systems of governance that are more effective and accountable to local people. According to the UNDP (1997:4) “Decentralisation, or decentralising governance, refers to the restructuring or reorganisation of authority so that there is a system of co-responsibility

between institutions of governance at the central, regional and local levels according to the principle of subsidiarity, thus increasing the overall quality and effectiveness of the system of governance, while increasing the authority and capacities of sub-national levels.”

Countries began to implement decentralisation policies because of a perceived failure of centralised government systems to address the needs of citizens. According to Riruako (2007), top down centralised approaches that were previously adopted did not promote development nor reduce poverty. “This was especially true of rural development programmes. These programmes, even though they were meant for local communities, did not address their needs and aspirations (Riruako 2007:25-26).” As a result, governments turned to decentralising some of the decision-making responsibilities of central government to local government, with some responsibilities being passed on to local communities. During the 1970s many of developing countries began to embark on decentralisation programmes “out of the dissatisfaction with the centralised systems of national planning and administration that were the by-products of former colonial systems (Muriisa 2008:86).”

According to the UNDP (1997) decentralisation can contribute to key elements of good governance, such as increasing people's opportunities for participation in economic, social and political decisions; assisting in developing people's capacities; and enhancing government responsiveness, transparency and accountability. As a result, decentralisation has continued to be implemented through varying programmes and policies by governments around the world although there is no standard model that has been adopted by all governments, so that forms differ from country to country.

Having defined decentralisation, the discussion will focus on how decentralisation programmes have been considered by countries that have implemented them as tools for enhancing development and increasing people’s participation in the development process. Conyers (1984) points out that decentralisation has been regarded as a tool for national development and has been seen as a means of achieving a variety of different development objectives ranging from popular participation to better management of rural development. The author states that “more recent decentralisation programmes have been designed by independent governments, which have emphasised the role of decentralisation as a means of national development (Conyers 1984:188-1890)”. In furthering this opinion, Chweya (2006) posits that decentralisation should enhance the grassroots participation and allay possible

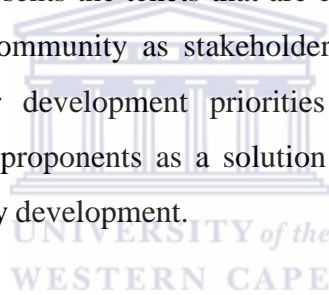
local belief that the government and development are imposed from above. He states that decentralisation “...aims to boost the morale of local officials and community members to the extent that they are accorded opportunity to exercise their competence, knowledge and experience rather than be implementers of decisions from above.” Muriisa (2008) also points out that one of the aims of decentralisation is to address people’s needs at the grassroots. According to Binswanger-Mkhize et al (2010:48) decentralisation is about “bringing government decision making to the lowest possible level because that is the level where the most knowledge is available about local circumstances”.

Decentralisation as a means for fostering development has been a focus of intense academic, policy and even popular debate in many developing countries including those in Africa. In keeping with this theme, many developing countries have embarked on various forms of decentralisation programmes aimed at bringing about development and these have thus far produced cases of both success and failure. These programmes have been known by many different names but are all in essence public spending programmes aimed at bringing about development. Examples include the County Development Fund -Liberia, General Allocation Fund - Indonesia, Shared Revenue Fund - Indonesia (Fedelino & Ter-Minassain, 2010). Others include the Constituency Development Grant - Jamaica, Member of Parliament Local Area Development Scheme - India, and the Electoral Development Funds - Papua New Guinea (Baskin 2010). The Constituency Development Fund that is being examined in this study is also a decentralisation programme that has been introduced by a number of developing countries.

Critics of decentralisation caution that it is not a panacea for achieving development as it can lead to allocative inefficiencies, poor management and poor accountability of public funds (Azfar et al 2004). It can enhance or reduce the efficiency of resources depending on the ability of those charged with the responsibility of utilising funds. Therefore, in embarking on decentralisation programmes, countries should ensure that factors that are specific to their needs are carefully considered if programmes are to achieve intended results.

2.5 Conclusion: Participation and Decentralisation as Objectives of CDF aimed at Community Development

From the discussion above, decentralisation and participation appear to be central to today's development agenda and this is particularly so for grassroots development. In linking decentralisation and participation to development, Chinsinga (2003:131) argues that "in contemporary development debate, participatory local planning has assumed central importance, following the recognition that decentralised government is a necessary framework for sustainable rural development efforts and good local governance." Close scrutiny of the stated objectives of CDF reveals that participation of local people is considered as necessary in bringing about community development while representing a departure from centralised development planning in which the government is the primary agent of development (GRZ 2006a). Implementation of CDF represents "proximal governance and policy making within the framework of decentralised development (Caritas Zambia 2011:11)." CDF by design is intended to decentralise resource allocation by channelling resources directly to community level so as to enable the participation of the local community in development projects. It represents the tenets that are central to community development in which the members of the community as stakeholders are allowed the opportunity to participate and determine their development priorities and allocate availed resources accordingly. It is viewed by its proponents as a solution to the provision of decentralised financial resources for community development.



CHAPTER 3: THE CASE STUDY AREA: KATUBA CONSTITUENCY

3.0 Introduction

This chapter will give a brief synopsis of Zambia and Katuba Constituency. It will begin by giving a general overview of Zambia and will pay particular attention to how the decentralisation process has evolved in since the country attained her independence 1964. The discussion will finally focus on a profile of Katuba Constituency.

3.1 General Overview of Zambia

The Republic of Zambia is a landlocked sub-Saharan country which covers an area of 752,612 square kilometres (GRZ 2007:1). The country's population was estimated at 13,046,508 million in the year 2010 with a growth rate of 2.8% per annum (GRZ 2011a). Zambia gained independence from the British in 1964 and until 1991 was a one party state. In 1991, the country held elections that saw a peaceful transition to a multi-party state (GRZ 2007:1). The country continues to enjoy political stability.

Administratively, the government of Zambia is headed by a President who is the head of the executive branch of government and is elected for a 5-year term. The country is divided into 10 provinces and 72 districts.² It is further subdivided into 150 parliamentary constituencies and has a unicameral Parliament represented by 150 elected and 8 nominated Members of Parliament. The constituencies are subdivided into wards that are represented by elected councillors. The districts are governed to a limited extent, by elected municipal councils which are responsible for the provision of services such as roads, water, health, hygiene, markets and trading licences (Holmes & Wong 2009: 38). Though the councils receive a statutory funding from the national budget, they are expected to supplement this with revenue from licences and rates. However, very few are able to do so and therefore, rely heavily on funding from central government.

Although poverty continues to be a significant problem in Zambia, the country's economy has stabilised. Zambia experienced positive economic growth in 2011, with a real growth rate

² Worth noting is that at the time the field work was carried out, Zambia had 72 districts. However, the President of Zambia, as part of the decentralisation programme, has embarked on a robust programme and has declared a number of new districts in the country. Most official publications still show 72 districts although this number is increasing at a rapid rate with new districts being introduced almost every month.

of 6.8%. The end of year rate of inflation dropped from 30% in 2000 to 7.2% by December 2011 (GRZ 2011a). This growth has been attributed to an increase in foreign investment in Zambia's mining sector and higher copper prices on the world market. In a bid to reap the benefits of the country's rich resource base, the Zambian Government has been pursuing an economic diversification program. The aim is to reduce the country's reliance on the copper industry through promoting agriculture, tourism, gemstone mining, and hydropower. The government is also seeking to create an environment that encourages entrepreneurship and private-sector led growth (GRZ 2006a).

In spite of strides that are being made, the country is still beset with high poverty levels and other major challenges such as HIV/AIDS and unemployment. In a bid to address these challenges, the government has adopted a number of long, medium and short-term development policies. One such policy, which is aimed at resource distribution and allocation with the aim of poverty reduction, is the Constituency Development Fund (CDF) which is the focus of this study.

3.2 Brief History of Decentralisation in Zambia

Since attaining her independence in 1964, Zambia has undertaken what may be construed as decentralisation programmes, all aimed at bringing about development. Dresang (1975:92) points out that at independence Zambia inherited a fragmented administrative structure comprising a "diffuse collection of government departments enjoying a large measure of autonomy and only loosely controlled by any central, coordinating body, whether bureaucratic or political." The government was faced with the challenge of transforming the inherited structure "into a dynamic local governance framework that could facilitate sustainable public participation" (Chikulo 2009:98).

After independence, the government began to carry out reforms aimed at transforming the inherited government structures so as to enhance local government and public participation in development initiatives. According to Hampway (2008:348), "Since independence in 1964 the Zambian government has made various efforts to decentralise. The decentralisation efforts have included a mixture of the major types of decentralisation, namely de-concentration, delegation and devolution." The first major decentralisation initiative was unveiled in 1968 when the government announced reforms that can be interpreted as the first step towards decentralisation. The reforms involved decentralisation within a centralised

system through which the state would decentralise most party and government activities while maintaining control of state machinery at the centre (Chikulo 2009:99).

Subsequent to the 1968 reforms, the Zambian government in 1971 introduced reforms aimed at enhancing grassroots participation. Through the Village Registration and Development Act (No. 30) of 1971, village committees were established through which the development needs of the community were identified and sent up to higher government structures for consideration and possible implementation. “This network of committees was supposed to provide the basis for decentralised local governance” (Chikulo 2009:100).

In 1972 a working party was appointed by the government to review the system of decentralised administration. One of its terms of reference was to “analyse the possible advantages of more radical decentralisation of administrative, financial authority and senior supporting staff from Lusaka to both the provincial and the district level” (GRZ 1972: 25). The working party explored how decentralisation in Zambia could be achieved through the creation of institutions outside the ministries which could be legally vested with responsibilities of defined functions within the totality of government. The working party noted that decentralisation meant much more than the simple devolution of authority down the administrative hierarchy but nonetheless examined ways in which authority could be transferred within the bureaucratic hierarchy (GRZ 1972).

In 1980, the Local Administration Act was enacted. It created an integrated structure composed of party, central government and local government officials. Through this Act, the ruling party “sought to realise greater centralisation of power and authority over the provincial administration as well as the ruling party’s community level structures (Saasa & Carlsson 2002:117).” This to a great extent served to encumber local government. The centralised system of government continued until 1991 when Zambia became a multi-party state. Elections were held that ushered in a new democratic government. The Local Government Act of 1991 was enacted through which party and local government structures were divorced (Saasa & Carlsson 2002). The 1991 Act gave local authorities the power to raise and utilise revenue in addition to funds from central government.

To further augment decentralisation efforts, a Public Service Reform Programme (PRSP) was launched in 1993. Through the PSRP “the Government re-affirmed its commitment to the

decentralisation process by pledging to strengthen the management of local authorities (GRZ 2006a:243).” This was done by the inclusion of decentralisation and local government strengthening strategies. In 1999 the government released the Public Service Reform Programme 2000: Strategy and Action Plan, 2000 to 2002. In this paper, government set out to reinforce decentralisation efforts. Against this background Zambia adopted the National Decentralisation Policy (DP) in 2002. The policy provides the vision of “a fully decentralised and democratically elected system of governance characterised by open, predictable and transparent policy making and implementation process, effective community participation in decision making, development and administration of their local affairs while maintaining sufficient linkages between the central and local government (GRZ 2002: i).”

The objectives of the DP are to:

- a) *Empower local communities by devolving decision-making authority, functions, and resources from the centre to the lowest level with matching resources in order to improve efficiency and effectiveness in the delivery of services;*
- b) *Design and implement mechanisms to ensure a “bottom-up” flow of integrated development planning and budgeting from the district to the central government;*
- c) *Enhance political and administrative authority in order to effectively and efficiently deliver services to the lowest level;*
- d) *Promote accountability and transparency in the management and utilisation of resources;*
- e) *Develop the capacity of councils and communities in development planning, financing, coordinating, and managing the delivery of services in their areas;*
- f) *Build capacity for development and maintenance of infrastructure at local level;*
- g) *Introduce an integrated budget for district development and management; and*
- h) *Provide a legal and institutional framework to promote autonomy in decision-making at local level (GRZ 2002).*

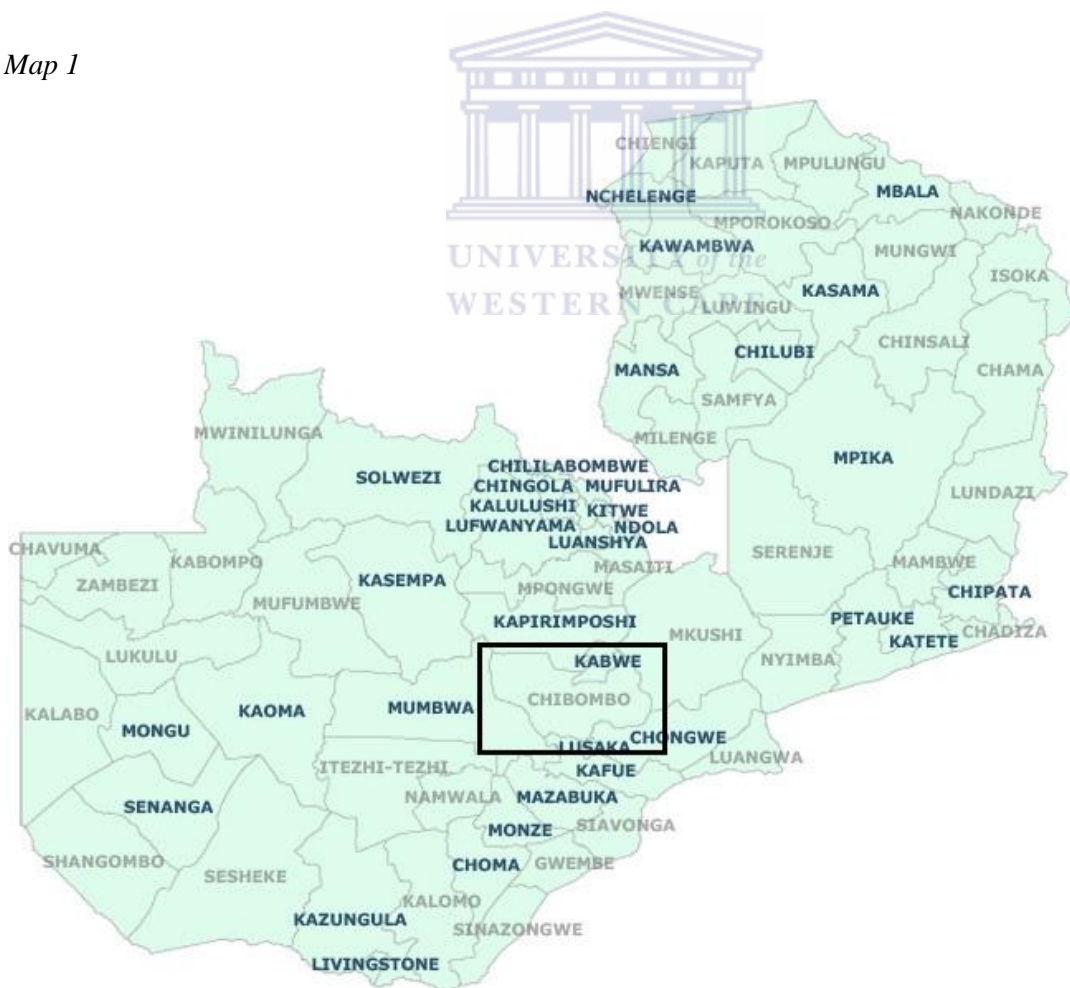
A Decentralisation Implementation Plan (DIP) was developed as a roadmap for the implementation of the DP. The DIP was to be carried out in three phases over a ten-year period (2002 to 2012). The implementation of the DP is still on-going. In Zambia’s Sixth National Development Plan (SNDP) 2011 – 2015, it is stated that there will be a “focus on full implementation of the DIP to ensure that the Councils become the focal point of national development and service delivery at the local level. (GRZ 2011b: 168).”

3.3 Katuba Constituency

Background

Katuba constituency is located in the both rural and peri-urban Chibombo district in the Central Province of Zambia. It is one of three constituencies in the district and is located north of the capital city of Lusaka

Map 1



Map of Zambia depicting the various districts in the country.³

³ Study site highlighted in box.

Map 2



Map of Central province of Zambia depicting constituencies

The constituency of Katuba is divided into six wards namely Katuba, Chunga, Kabile, Mungule, Muchenje and Chilo Chabalenje. Each ward is represented by a ward councillor. Katuba, despite being located within a few kilometres of the capital city, faces a myriad of development challenges, including poor access to facilities and a high incidence of poverty.

Socio-economic Structure

Katuba constituency has a population of 76,675 (NAZ, 2011). Agriculture is the main economic activity of the constituency with over 75 % of household income derived from agriculture related ventures including gardening and fishing. Other economic activities include sand mining and charcoal burning (NAZ 2011).

Infrastructure

Like many rural constituencies in Zambia, Katuba is lagging behind in terms of infrastructure development. The constituency's economic and social infrastructure pose a challenge to the development of the constituency which has a poor road network, poor education facilities, and poor health care delivery, among others. The road network in Katuba comprises community roads and paths, feeder roads and one main road, the Great North Road, which

connects it to the capital city. Most of these feeder roads require major works to be done on them to bring them to good standards (NAZ 2011).

Education

The constituency has a total of 57 schools, including government-run, community-run and privately owned schools. Most government and community schools generally have poor teaching and learning facilities and a shortage of qualified teachers, lack of access to desks, chairs and books; and absence of libraries and science laboratories (NAZ 2011).

Health and Sanitation

Katuba has 9 health centres (NAZ 2011). These centres lack modern health facilities and adequate manpower. In terms of sanitation facilities, the majority of people in the constituency do not have access to running water.

Community Based Organisations

The constituency is host to a number of community based organisations and local community clubs (NAZ 2011). These are involved in a variety of activities such as helping farmers with small loans and implements; providing support to schools and health centres; providing nutrition supplements to vulnerable groups; and carrying out sensitisation on issues such as HIV/AIDS among others (NAZ 2011). There are also a number of local clubs that have been formed by men and women in the constituency in a bid to improve their standard of living. These clubs are involved in activities such as cattle, goat and chicken rearing, gardening, fishing, farming and knitting (NAZ 2011).

3.4 Conclusion

This Chapter profiled Katuba Constituency. It also gave a general overview of Zambia, including a brief history of the decentralisation process in the country. The profile of Katuba is in many ways similar to the profile of other constituencies in Zambia. The following chapter outlines CDF in Zambia, which was introduced as a programme within the country's decentralisation drive to address some of the problems faced by the Katuba and other constituencies.

CHAPTER 4: CONSTITUENCY DEVELOPMENT FUND

4.0 Introduction

This chapter aims to give a brief explanation of what the CDF is and also looks at how the CDF operates in Zambia.

The Constituency Development Fund (CDF) is an initiative based on direct transfers of budgeted funds from central government to parliamentary constituencies for financing local development (Barkan 2008: 131). According to Caritas Zambia (2011:11) “CDFs represent a form of proximal governance and policy making within a framework of decentralised development.” There are currently 23 countries around the world in which CDFs are operational and these are Bhutan, Ghana, Honduras, India, Jamaica, Kenya, Liberia, Malawi, Malaysia, Mongolia, Namibia, Nepal, Nigeria, Pakistan, Papua New Guinea, Philippines, Rwanda, Solomon Islands, Southern Sudan, Tanzania, Uganda, Zambia and Zimbabwe (van Zyl 2010).

The CDF was introduced as an innovative method “to tackle poverty at the grassroots through financing development at constituency level through elected Members of Parliament” (Kaduuli 2008). Chinsinga (2009:10-11) points out that “CDF is entrenching the salience of the constituency service function role of parliamentarians because they are able to conform to community’s developmental expectations since they are now able to implement small-scale patronage driven developments in their respective constituencies”. As espoused by (Francis *et al* 2009: 5), CDF is meant to provide resources to be used in the development of communities to give them a choice to maximise their welfare in line with their needs and preferences. The fund aims to redistribute national resources to the community so as to alleviate poverty; bring facilities and services closer to the people; and raise the standard of living of local communities. It seeks to avail resources to local communities to fund development projects at constituency level and to ultimately achieve bottom up development. Apart from the objective of poverty reduction CDF is also aimed at enhancing people’s participation in decision making processes; promoting good governance; and promoting transparency and accountability (Francis *et al* 2009: 11).

The way in which CDF is allocated and disbursed differs from one country to another. In Zambia, Malawi and Uganda for example, equal amounts are allocated to all the

constituencies, whereas in Kenya and Tanzania, funds are allocated using an equity and redistribution system that favours poorer constituencies. (van Zyl 2010). In terms of disbursement, some countries, including Papua New Guinea, Uganda and the Solomon Islands, have direct disbursements to MPs bank accounts while other countries such as Bhutan, Ghana, India and Kenya disburse funds indirectly through local government channels (Caritas Zambia 2011).

4.1 Constituency Development Fund in Zambia

4.1.1 Background

In February 1994, Mr N I Ng'uni, MP moved a motion on the floor of the Zambian Parliament regarding budgetary allocation for constituency projects,. The motion called for “a provision of not less than “K500, 000,000, (US\$ 100,000) in real terms, for development projects directly decided upon by the people in each constituency and that such funds be disbursed through district councils (NAZ 1994:1053).” The CDF in Zambia was approved by Parliament in 1995 for the implementation of community based projects which would in the long term improve the socio-economic wellbeing of the constituents (GRZ 2006b:1). It was introduced within Zambia’s wider decentralisation drive as a public fund to target development projects at the grassroots level. It is situated within the local government framework and was set up by the government to mitigate poverty and to harmonise the spread of development throughout the country, with the aim of ensuring that a portion of the annual government revenue is earmarked for constituencies to finance development projects on a priority basis arrived at by members of a constituency. According to Chileshe (2011), CDF is one of the most significant transfers disbursed annually to the 150 constituencies. In 2006, the budgetary allocation for CDF was approximately US\$ 13,000 per constituency and has risen to approximately US\$ 200,000 per constituency in 2012 (NAZ 2012).

Table 1: Annual CDF Allocations

Year	Amount in Zambian Kwacha	Amount in US Dollars
1995/1996	K10,000,000	\$2,200
2002	K30,000,000	6,500
2004	K30,000,000	6,500
2005	K60,000,000	13,000
2006	K60,000,000	13,000
2007	K60,000,000	13,000
2010	K666,666,666	134,000
2011	K720,000,000	148,000
2012	K1,000,000,000	220,000

Source: National Assembly of Zambia Research Unit 2011

The table above shows annual CDF allocations to Zambia's 150 constituencies, which are over and above budgetary allocations to the country's 72 local councils. The table below show total grants disbursed to all local councils. The figures depicted are in Zambian Kwacha.

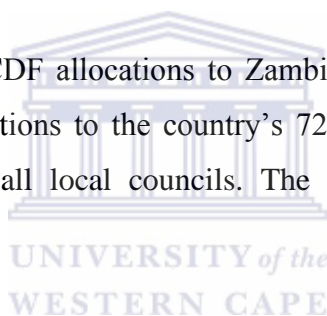


Table 2: Annual Council Grants

Year	Grant in lieu of rates	Restructuring grant	Recurrent grant	Capital grant	Total	Total in USS\$
2006	0.00	11,686,128,242	7,173,372,002	0.00	18,859,500,244	3,771,900
2007	18,392,930,000	14,723,390,665	15,909,109,448	13,759,871,586	81,644,801,994	16,328,960
2008	0.00	10,869,664,788	22,722,381,090	220,000,000	33,812,045,878	6,762,409
2009	18,300,000,000	18,158,577,550	43,725,283,414	10,000,000,000	90,183,860,964	18,036,772
2010	18,361,827,778	18,971,111,111	60,727,603,047	12,000,000,000	98,060,541,937	19,612,108

Source: MLGH Allocation of Grants 2011

While the table shows that allocations to local councils have risen steadily over the years, they are generally insufficiently funded and are failing to deliver quality services to the communities they serve and are unable to embark on capital projects. This raises the question of whether CDF should be given to local councils to enable them improve service delivery, particularly considering that CDF may be a pork barrel venture.

4.1.2 Objective of Constituency Development Fund in Zambia

The stated objective of the CDF in Zambia is to provide MPs and their constituent communities with the opportunity to make choices and implement projects that maximise their welfare in line with their needs and preferences. It was established in order to assist MPs in implementing development projects so that they can financially contribute to development projects as they have no finances to do so. The incumbent MP is empowered to manage the CDF within the framework of some guidelines. The Guidelines on the Utilisation and Management of the Constituency Development Fund were introduced by the Ministry of Local Government and Housing in the absence of specific legislation to guide the use of CDF (GRZ 2006b).

4.1.3 Legal Framework, Management and Administration of Constituency Development Fund

Unlike other countries such as Kenya which enacted a CDF Act in 2003, Zambia has not enacted a specific law that guides the CDF (Government of Kenya 2003). However, its administration, utilisation and management are superintended over by the Ministry of Local Government and Housing (MLGH) in accordance with the Local Government Act Cap 281 of the Laws of Zambia. The CDF Guidelines state that “The authority to decide on the utilisation of the Constituency Development Fund shall be vested in the Council in accordance with section 45 (1) of the Local Government Act (GRZ 2006b: 2).” The Guidelines further state that “In accordance with the Local Government Act Cap 281 of the Laws of Zambia and the Local Authorities Financial Regulations, auditing of the Constituency Development Fund shall be carried out by local government auditors of the Ministry of Local Government and Housing (GRZ 2006b: 5).”

CDF is appropriated by Parliament in the national budget. As provided for in the CDF Guidelines, each local council is mandated to include CDF budget lines in their capital budgets and is responsible for administering and channelling of funds. “Allocation and disbursement to the 150 constituencies is done equally upon receipt of funds from the Ministry of Finance and National Planning (Caritas 2011:16).” The MLGH disburses funds to CDF accounts which are maintained by local councils. The local council has the responsibility of accounting for the funds as stipulated in the law. CDF is meant to be used exclusively for financing community based projects. It is stipulated in the CDF Guidelines

that beneficiaries such as clubs, associations and societies must be registered with the local council in order to be able to benefit from the Fund (GRZ 2006b:3).

4.1.4 Project Identification, Selection and Implementation

As a way of ensuring that there is an organised structure through which projects in the constituency are identified and funds for implementation are released, a Constituency Development Committee (CDC) is established in each constituency after approval by the Minister of Local Government and Housing. The CDC is comprised of nine members namely: the area Member of Parliament, two councillors nominated by all councillors in the constituency, one chiefs' representative, one local council representative and four community leaders from any community based organisations, nongovernmental organisations or churches in the constituency identified by the area MP (GRZ 2006b).

According to the CDF Guidelines, the local council invites project proposals during the first quarter of the year. Project proposals are identified by communities through sub-district development structures such as Area Development Committees (ADCs), Resident Development Committees (RDCs) and representatives of stakeholders in the community. These are received by the CDC, which is tasked with the responsibility of compiling the identified projects and submitting these to higher organs. These proposals are then forwarded to the planning sub-committee of the District Development Co-ordinating Committee (DDCC) for appraisal before recommendations are made to the local council for adoption of selected projects (GRZ 2006b: 3).

Projects that have been appraised and approved by the council receive funding and should be implemented within one year. Implementation should involve community participation in the form of labour and use of locally available materials, as much as possible. Exceptions are however made for specialised works, which are subjected to the local government tender, and procurement processes. The types of community projects that are eligible for CDF in Zambia are stipulated in the CDF Guidelines (Appendix I). According to the Guidelines, these should be community-based projects whose outcomes should benefit the local community and enhance development. They generally include projects related to education, health, water, sanitation, recreation, agriculture and economic ventures

4.1.5 Constituency Development Fund Accountability Measures

CDF in Zambia is subject to accountability and transparency mechanisms as stipulated in the CDF Guidelines. As earlier stated, CDF is audited regularly by local government auditors in line with the Local Government Act. Further, every local council is mandated to maintain separate books of account for each CDF and to prepare monthly statements for submission to the MLGH. The local council is also mandated to maintain records of proceedings of all CDF meetings. Noteworthy is that the District Planning Unit of the local council is the secretary to all such meetings. This ensures that the local council has representation at every CDF meeting. Quarterly copies of such proceedings are submitted to the MLGH.

In accordance with the Guidelines, the local council is supposed to carry out regular audit inspections of projects and to monitor project implementation as often as necessary depending on the nature and stage of projects. The local council has the responsibility to prepare progress reports on behalf of the community and to submit these reports to the MLGH. Evaluation of projects is done hand in hand with officers from the appropriate line ministries and government departments upon completion of projects (GRZ 2006b:7). After projects have been completed, the MLGH is supposed to carry out regular audits and physical verification of all completed projects in the country in accordance with the Local Government Act and the CDF Guidelines. This verification has to take place before disbursement of the following year's CDF. The Ministry then produces an annual report on the performance of CDF for submission to Cabinet and Parliament.

The Guidelines provide that any abuse of CDF through misapplication or misappropriation by the local council may result in the suspension of the council or the forfeiture of council grants. Any abuse by members of the CDC or community or any council official will result into legal action (GRZ 2006b).

4.2 Conclusion

Using the information presented in the preceding chapters as a background, the study findings with regard to the effectiveness and sustainability of CDF as a tool for community development, using Katuba constituency as a case study will be discussed in the following chapter. The findings are based on qualitative research. They show an analysis of the research as a whole and present data collected from Katuba constituency and from interviews

conducted with MLGH officials and twelve MPs representing constituencies other than Katuba.



CHAPTER 5: METHODOLOGICAL APPROACH: AN IMPACT ASSESSMENT OF CDF AS A TOOL FOR COMMUNITY DEVELOPMENT

5.0 Introduction

As has been discussed earlier, CDF in Zambia falls within the country's wider decentralisation policy. Decentralisation is aimed at bringing about community participation in decision-making and resource allocation; transparency and accountability; equitable and fair access to essential services. CDF has similar aims and its success in bringing about community development depends on whether its stated objectives and whether the modalities for its management and administration have been adhered to.

The purpose of this chapter is to present the results of the empirical study undertaken on the effectiveness of CDF as a tool for community development. As discussed in the first chapter, Katuba Constituency was used as the case study area. The chapter analyses and presents the findings of the study which focussed on the utilisation of the CDF in the constituency. This is with a view to examining whether it has achieved the stated objective of CDF in Zambia of providing MPs and their constituent communities with the opportunity to make choices and implement projects that maximise their welfare in line with their needs and preferences (GRZ 2006b). The study was done using qualitative research methods including focus group discussions, unobtrusive observation and semi-structured interviews.

The researcher visited four of the six wards in Katuba Constituency, namely, Katuba, Mungule, Muchenje and Chilo Chabalenje. Data was collected from responses obtained through five focus group discussions as outlined in Chapter 1 and twenty-one semi-structured interviews involving members of the constituency. In addition, site visits to CDF projects at different phases of implementation were conducted. A total of fifty eight respondents were used and a total of twelve projects were visited. The projects visited will be outlined later in the chapter. As earlier pointed out, funding for the research was the sole responsibility of the researcher and this was a major limitation in terms of the extent of the community that the researcher visited. Individuals with valuable information on CDF including the area MP, the MPs assistant, a former MP, ward councillors, headmen, teachers and nurses were deliberately targeted by the researcher. Ordinary residents of the community who lived close proximity to CDF projects were also targeted for focus group discussions, while other locals

who had not benefited from CDF projects were also included in the study. ⁴The results obtained were organised into carefully devised themes and analysed using content analysis. Worth noting is that apart from being a valuable source of information throughout the research, the ward councillors also greatly assisted the researcher in terms of organising communicating with members of the constituency, organising focus group discussions and facilitating travel around the constituency

5.1 Focus Group Discussions

As pointed out earlier, a total of five focus group discussions were conducted in Katuba. These were conducted between 30th April and 30th May 2012 and were held at different venues within Katuba including churches, a school hall and a community hall. Each discussion lasted an average of 90 minutes and was directed by the researcher who moderated the proceedings. The researcher took hand written notes and voice recordings of the proceedings. They are outlined below.

Group 1

The first group comprised eight ordinary members of the constituency who were project beneficiaries. The members of the group had access to a CDF borehole, a dip tank and women's project which was involved in income generating ventures such as sewing clothing for resale. The discussion was held in a church building in Muchenje ward on Wednesday 8th May, 2012 from 9:00 to 10:30 hours.

Group 2

The second group comprised eight ordinary members of the constituency who did not have CDF projects in their vicinity. The discussion was held in a church building in Muchenje ward on Thursday 9th May, 2012 from 9:00 to 10:45 hours.

Group 3

⁴ Other respondents that were interviewed during the study as pointed out in Chapter 1 were twelve MPs representing other constituencies and two MLGH officials. These interviews were not conducted in Katuba.

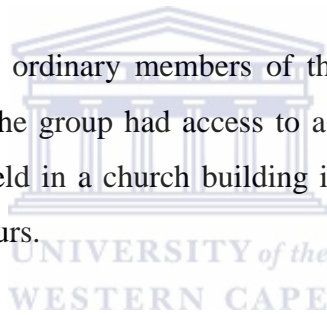
The third group comprised six headmen representing different villages from around Katuba namely Kayosha, Chombela, Mbosha, Chilo, Kapopola, Kamaila. The discussion was held at a community hall in Mungule ward. This was the most difficult group to organise as the headmen had to cycle from various villages to the community hall. The discussion was held on Saturday 18th May, 2012 from 11:05 to 12:15 hours.

Group 4

The fourth was made up of seven civil servants working in the constituency. It was held at Mutakwa Basic School hall. This group comprised three nurses and four school teachers. This group was the easiest to handle for the researcher, as less explanation was needed for the group members in terms of the reasons for the gathering, as compared to the other groups. The discussion was held on Saturday 25th May 2012 from 10:00 to 11:45 hours.

Group 5

The fifth group comprised eight ordinary members of the constituency who were project beneficiaries. The members of the group had access to a CDF clinic, a market shed and a borehole. The discussion was held in a church building in Mungule ward on Tuesday 28th May, 2012 from 9:00 to 10:15 hours.



5.2 Semi-Structured Interviews

As part of the data collection in Katuba, interviews were held with the four ward councillors representing the wards that were visited by the researcher.

The former MP was interviewed from his home in Katuba while the interviews with the current MP and the MP's Assistant were conducted from the Katuba Constituency Office. At Appendix III is a sample of the questions that were asked during all semi-structured interviews that were conducted during the research.

5.3 Constituency Development Fund in Katuba

In order to assess the effectiveness of CDF as a tool for community development, the study examined the extent to which the stated objectives had been achieved or were likely to be achieved. This was done by examining a number of projects that were implemented using CDF and assessing the impact that the projects had on the lives of beneficiary communities. Further, an assessment of the sustainability and maintenance of CDF projects was done to

find out whether they have had an impact on the community. An assessment of the level of community involvement in CDF projects was also carried out.

5.3.1 Local Community Knowledge of CDF

In order for the researcher to establish whether a study into CDF would draw meaningful conclusions, it was important to discover what knowledge, if any, existed in Katuba of the concept under investigation. To achieve this, respondents were asked whether they had ever heard of CDF and if they knew what it was intended for. They were also asked to give the channels through which they accessed information on CDF.

The responses that were given on CDF differed, depending on the background of the respondents. Knowledge of the existence of the fund was widespread to very minimal. There was a clear contrast in the knowledge of CDF among the various groups.

Local Community Members

Information gathered via focus group discussions revealed that most of the ordinary members of the community had heard of CDF even though they did not know the intricate details surrounding its source, management and utilisation. This includes both communities that had access to CDF projects and those who did not. The respondents from the local community stated that they did not know how much the Fund was, nor did they have any knowledge of how it was appropriated and disbursed. These respondents referred to CDF as ‘MP’s money’ and associated it to either personal funding from the MP or money that had been sourced from government or other donors by the MP. Members of the local community stated that they had heard about CDF through politicians during campaigns for election into political office. It was reported that during the campaign period, politicians made it seem that the money was either sourced by them, or that they would be the ones lobbying the government to make available the CDF.

A concern arose from the headmen and community members (during the focus group discussion) that councillors and the MP were not doing enough to educate the community on where the MP’s money came from and what its objectives were. Some respondents contended that councillors as representatives of the people needed to be more proactive in CDF sensitisation because they were present in every ward as compared to the MP who was alone. One member of the community in a focus group discussion stated as follows:

“I have heard of CDF and it is a good thing but it is not doing enough. I don’t know where the money comes from but the MP brings it here to help the people and uplift their living standards.”(View expressed by a participant in a focus group discussion held in Mungule ward on Tuesday 28th 2012)

Local community members who had benefited from CDF viewed it as money that the local MP brought into the community to use on small community projects that would help improve their lives. This category of respondents had a higher level knowledge of the objectives of CDF than members of the community who had not had any CDF projects in their vicinity. Those who had not benefitted from the fund responded that although they had heard about MP’s money, they thought that it was for use on projects that were decided by the MP, councillors, chiefs or headmen. These respondents who had benefitted from CDF were of the opinion that CDF projects like many other developmental projects had nothing to do with the needs identified by the local community.

Headmen

The focus group discussion comprising headmen revealed that they knew about CDF and what its objectives were. This set of respondents, however, had little knowledge of how much CDF was available to Katuba Constituency. They were unaware of the channels of disbursement of the fund. The general consensus among this group was that not enough information was available to members of the local community about CDF. They stated that what information they had on CDF was mostly given to them during political campaign rallies. They pointed out that as leaders of the people and representatives of the chief, deliberate programmes such as workshops should be organised to equip them with more knowledge on CDF for forward dissemination to their subjects. They also suggested that more information dissemination should be done through community meetings and posters at community centres such as schools, clinics, churches and water collection points (such as water pumps and wells).

As reported by one headman:

“Yes I know about CDF but it is not well handled and not well utilised. Introducing CDF was a good idea but it seems to depend on the MP in power. The MP is usually useless even though CDF is supposed to be useful. It should not be delivered by politicians as they do not respect the views of the people but only put their personal interests forward. There is no line

of distinction between CDF and other funds or resources. There should be civic education and sensitisation about CDF led by MPs and councillors and should involve headmen and other community leaders.” (View expressed by a headman during a focus group discussion on Saturday 18th May, 2012.)

Civil Servants

The civil servants working at government schools and clinics in the community had varying levels of knowledge on CDF and its objectives. While they all agreed that they knew what the Fund’s objectives were, some of them (3) did not know how much the CDF allocation was for the constituency. However, most civil servants stated that CDF was part of the government’s efforts to decentralise development and observed that if properly utilised, the Fund could have a major positive impact on the lives of local communities. This group responded that not enough was being done to sensitise the community on CDF and proposed that given their position in the community, they could also be used as sources of information. The civil servants stated that most of the information they had was through the media. The head teacher for Mutakwa Basic School explained that:

‘CDF is good as it helps develop the community. However, more needs to be done to sensitise the local community. As teachers and nurses, we have an influential position in the community and those charged with the responsibility of overseeing CDF should use us to help carry out sensitisation drives. CDF can be a very good tool for genuine development. However, politicking intrudes the process. Although as civil servants in the community we are not fully aware of the release mechanism of the Fund, I for one know that it involves the CDC and the district council,’

Councillors and MP and former MP

The councillors and the MPs responded that they had a good understanding of CDF. This group of respondents exhibited high levels of knowledge as regards the Fund and its objectives, management, utilisation and accountability. They stated that a lot of effort was being put into disseminating information to all parts of the constituency as regards CDF. The councillors and MPs stated that information was readily available at the constituency office in the form of CDF reports, information fliers and other documents. According to one councillor:

“CDF helps people benefit from national resources. It reduces poverty. It is appropriated in Parliament as part of the national budget and is released through the Ministry of Local

Government and Housing. It is channelled through the local council to the constituency account. It is used for genuine development although politicking by those who lose elections paints it as a political tool. As a councillor, I am involved in civic awareness in order to educate the community on what CDF is and to advise people on which projects CDF should be spent.”(Interview with Muchenje ward councillor).

The area MP stated that although he was fairly new in office, had information that previous office holders (both councillors and MP) periodically held field visits to educate the community on CDF, in collaboration with the MLGH and that such exercises would continue.

“As an MP, I have been elected for a period of five years. I will ensure that during my tenure of office I do the best I can to ensure that my constituents understand what CDF is all about. CDF will provide me with some of the resources that are needed to bring about development in my constituency. I will continue with the work started by my predecessors and endeavour to work even harder to ensure that CDF resources are correctly utilised. Unfortunately, even seven months after elections, the CDC has not been constituted. I hope this will not delay the identification of projects and the release of funds for this year so that work can get started. In the meantime however, sensitisation works on what CDF is will continue.” (Interview with Katuba MP.)

MP’s Assistant

A visit to the constituency office revealed a number of documents on CDF from the MLGH and from the National Assembly of Zambia Research Unit. The MP’s assistant explained that members of the constituency took very little to no interest in the available documents. She attributed this to the rural nature of the constituency and explained that there were low literacy levels among the constituents. The assistant pointed out that the constituency office was available to answer any questions on CDF but did not go out into the community to sensitise people on the intricacies of the Fund. According to the MP’s assistant:

“I was the assistant to the previous MP and have been retained by the current MP. This office collaborates closely with Ministry of Local Government and with Parliament. Both institutions provide us with a lot of information for sensitising members of the constituency on CDF. However, apart from a few people, this information is not read as most people who come here from within the constituency say that they cannot read.”

From the above, it can be observed that although, most people in Katuba are aware of CDF, there are varying levels of knowledge as regards the objectives of the Fund, depending on the position held by the respondents in the community. It is apparent that most members of the community do not have access to CDF documents and other information. It can also be discerned that politicians use CDF to gain mileage and in the process mislead their constituents into believing that the Fund would not be available without intervention from the MP thus pointing to the fact that instead of being a tool for development, as per the stated objectives of CDF in the CDF Guidelines, it is a pork barrel venture. A lot needs to be done to educate the local community on what the Fund is and what its objectives are so that they can fully participate in the implementation of projects as is the intention of the government. Without proper knowledge of CDF, members of the constituency will not be able to fully participate in the decision making processes surrounding the funds and will also not fully participate in monitoring, evaluation and accountability processes. MPs and councillors have a big role to play in information dissemination as regards CDF. However, it would appear as though they have more to gain from the perceptions that exist of CDF as MPs money as this helps to increase their levels of popularity.

If the local community does not have enough information about CDF, they will not have the strength to oppose undue influence over decisions regarding its utilisation. Without enough information on CDF in terms of its objectives and its source, members of the local community will not be able to ensure that they are part of the process of project identification and selection. This has the potential of breeding corruption as there will be low levels of vigilance among community members, thereby weakening monitoring and accountability mechanisms.

5.3.2 Perceptions of CDF

Having determined whether the community had knowledge of the concept under investigation, the study endeavoured to determine whether CDF was viewed as a tool that could bring about change. This was done in order to establish whether people's perceptions on CDF were dependent on what benefits they had derived from it or whether their perceptions were derived from the knowledge they had of CDF based on its stated objective of being a tool that could enhance community development.

In order to establish this, the major question that was asked of the respondents was whether CDF was a good tool for enhancing grassroots development. While as reported above most members of the local community had heard about MP's money, responses regarding its perceived benefits varied between people who had benefitted from CDF projects and those who had not. Most respondents from the local community, including the headmen, viewed CDF as a tool for politicians to use to win votes and stated that it had been a major campaign issue during recent elections. One headman explained as follows:

“CDF should not be delivered by politicians because they only used it for their benefit. It is supposed to respond to the needs of the people but instead only responds to the needs of politicians who are only after votes and safeguarding their personal interests.”

CDF Beneficiary Communities

Respondents who lived in close proximity to CDF projects viewed it as a very good tool for alleviating the suffering of members of the community. Both focus groups which were beneficiaries cited examples such as reduced walking distances to schools, health centres and water sources; reduction in the incidence of livestock death due to the construction of dip tanks; and improvements in household incomes due to formation of income generating projects and clubs. This group of respondents, however, pointed out that members of the CDC, particularly the MP and councillors, had the most influence on how the Fund was utilised. A member of focus group five pointed out that:

“CDF started in order to help us as local people. We are very fortunate because we now have a market shed, a water source and a clinic very nearby and do not have to walk long distances anymore. But more needs to be done and we as local people should be the ones to decide, not the politicians and the people who are on the Committee because they are close to the MP who influences their decisions.”

Non Beneficiary Communities

Members of this focus group revealed that they had heard of CDF projects in other parts Katuba constituency and saw it as a tool that benefitted only those groups of people that were close to the area MP in one way or another. This group were reluctant to accept the idea that funding for CDF projects would eventually target their immediate community and saw it merely as a dishonest campaign promise that had been used to win their votes.

“I think CDF was brought for development but only works for politicians and favours those who are in their good books. All the benefits of CDF are for politicians because as local people we have little education and little say on how it is utilised.”

Councillors

All the councillors viewed CDF as a good tool for grassroots development and cited various projects in their wards that had improved the lives of the community. They suggested that what needed to be strengthened were the CDF Guidelines and the mechanisms for its management and accountability. There was an observation that wards that fell under the incumbent MP’s party appeared to be more highly favoured than those wards where the councillor came from an opposing party. This suggested excessive influence of the MP over CDF.

Members of Parliament

An interview with the immediate former MP for Katuba revealed that he saw CDF as an appropriate tool for community development. He stated that unlike other development initiatives and other local government funding, CDF was targeted directly at local communities and was used with direct input from beneficiaries. This meant that the community could participate in decisions about their own development and would therefore take care to ensure that projects that were implemented would answer specific and pressing needs. He however stated that given the size of the constituency, CDF was not enough as it had to be shared among all six wards. He said as a result of this, CDF had the potential to make the MP unpopular among communities that had not benefitted from it.

The sitting MP in the constituency also saw CDF as a very good tool for community development. He however stated that the only way it could achieve this is if the amount was increased as it was not sufficient to carry out the desired number of projects in the constituency.

Both MPs lamented over the CDF allocation system in Zambia by which all constituencies whether rural or urban, big or small get the same amount of funding. They saw this as an unfavourable state of affairs pointing out that a rural constituency such as Katuba had more problems to grapple with and had more developmental challenges than urban constituencies.

“There are many competing needs within the constituency and in order for most these to be met, the Fund needs to be increased at least twofold. Apart from this, there is need for the enactment of a separate law that will be tailored specifically to the management and utilisation of CDF. This will make it more efficient and will strengthen accountability for the Fund. Once CDF legislation is enacted, it should address the allocation formula for the Fund.” (Interview with Katuba MP).

Civil Servants

Civil servants responded that they perceived CDF as a mechanism that had great potential to enhance grassroots development and in the long term spur national development. Responses from among this group centred around issues of tightening controls on the management and utilisation of the Fund and enhancing accountability measures through enacting a CDF Act as opposed to managing it through the Local Government Act. A teacher working in Katuba during focus group 4 aired the following view.

“CDF is a good tool but I am unaware of what measures are in place to ensure accountability. I have not heard of a CDF law so I think it would be good for Parliament to enact one so as to avoid abuse of the fund and corruption. This will ensure that the fund is utilised for what it is supposed to be utilised.”

An examination of the findings on the community’s perceptions of CDF points to the conclusion that ordinary members of the constituency view CDF as a political tool that is used to win votes. This perception was apparent in responses from both beneficiary and non-beneficiary communities. Beneficiary communities, however, have a greater appreciation of the stated objective of CDF as a tool for improving the lives of the community. The failure by ordinary community members to fully understand CDF and share the government’s vision of CDF as a tool for grassroots development can be attributed to poor information dissemination on the Fund. It can also be attributed to the perceived high levels of influence that the MP has over the Fund.

The consistency in the responses from both the former and current MPs regarding the amount of CDF could suggest that allocation mechanisms for CDF still need to be examined.

5.3.3 Community Participation in CDF Projects

As pointed out by Craig & Mayo (1995), development can only be meaningful if it involves the participation of beneficiary communities. This participation is at all levels from project identification, selection right through to implementation. One of the aims of the study was to examine the extent of community participation in the selection and implementation of projects on which CDF is utilised. It was therefore important to carry out such an assessment given that CDF projects are supposed to reflect the priority needs of the local people and community participation in project implementation is one of the characteristics of CDF. In order to do this, respondents who were beneficiaries of CDF projects were asked whether they had been involved in the selection and implementation of projects. Respondents were also asked the extent to which projects that had been implemented reflected their needs as members of the community. The responses from the five focus group discussions and from semi-structured interviews are discussed below.

MP's Assistant⁵

The MP's Assistant explained that the project selection process was done in line with CDF Guidelines; through Ward Development Committees (WDCs) and Area Development Committees (ADCs). She stated that the process was highly consultative and each year communities that had not benefitted from previous funding were deliberately prioritised.

CDF Project Beneficiaries

Respondents stated that they were invited to open meetings at the beginning of every year through chiefs and headmen and through adverts at schools churches and health centres to give their views on what CDF projects should be carried out. It was revealed that decisions were usually reached through consensus and sometimes through open votes. Respondents however stated that although such meetings were held, there was a lot of influence from councillors and the MP regarding what was identified as community needs. A major concern was raised regarding partisan influences. Some respondents observed that communities that were seen to belong to the area MP's political party were given priority in project approval. This was attributed to the perception of CDF as 'MP's money' meaning that because the MP

⁵ Although the MP has a say in who is appointed as assistant, at the time of the research, the former MP's assistant was still in office. The new MP was still settling into office.

brought the money into the community he could influence decisions regarding what projects were done and where they were located. A respondent from focus group 1 stated that:

“We are not fully involved in the final say of what projects are developed. Although we are invited for meetings to discuss projects, these meetings are fruitless and are just formalities because what comes out in the end is different from the consensus that was reached during the meeting. It appears as though the MP and the councillor change things during the CDC meetings to decide projects that suit them.”

Another respondent from focus group one stated as follows:

“As local people we just get surprised that the projects we chose in the past are not the ones that have been done. Only the borehole was chosen by us but the other projects such as a clinic and lighting for the school have not been implemented for two years.”

Some respondents stated that there had been many instances where projects that were implemented were different from those that had been identified by the community, pointing to high influence from elected officials in the project selection process. There was general consensus among the respondents that this happened because after the open meeting to identify projects, no further consultation was held with the community before projects were approved. Added to this was the observation that projects tended to be located in places where the area MP and the ward councillors had more popularity.

Apart from taking part in the identification of projects, respondents stated that as members of the community, they also provided the labour for implementation of projects and contributed materials such as sand and stones to be used in the projects. Respondents stated that there was a high level of community participation in the implementation phase and reported that this brought them much satisfaction and gave them a feeling of ownership of the projects.

As Katuba is a rural constituency, there are high levels of illiteracy and the majority of the members of the community. Therefore, respondents stated that awarding of contracts and decisions on budgets were left to members of the CDC and to councillors and the MP.

Based on the information, above CDF has not done enough in terms of community participation and has failed to give the people of Katuba a sense of empowerment and a feeling that they are fully sharing in its benefits and taking the development of their community in their own hands. This has the danger of resulting in the implementation of projects that are not appreciated by the community and could lead to projects being neglected or vandalised, thereby negating grassroots development efforts. The findings suggest that although community participation is present in project selection, it appears to be inconsistent and has not been institutionalised in the entire CDF process.

Added to the above is the amount of influence that the MP has in the process. This can be attributed to the low levels of literacy and the continued perception of CDF as ‘MPs money’ which makes it easy for elected officials to manipulate the system. This can also be attributed to the large influence that the MP and councillors have over the selection of CDC members. Although the researcher did not have a chance to interact with members of the CDC, this is apparent from the CDF Guidelines which state that while the MP and two councillors form part of the CDC, they also nominate four members of the CDC to represent civil society.

The findings point to the fact that the level of community participation is highly diluted, giving the most influence to elected representatives. This is in contrast with the stated objectives of CDF and in contrast with the tenets of participatory approach to development that CDF represents. According to Chinsinga (2003:132) the “involvement of the local people throughout all the important junctures of the project cycle makes it possible to utilise their knowledge about local conditions to solve local problems more efficiently and effectively.” Through sufficient levels of community participation CDF can be an effective tool for achieving community development. However, as things stand, findings CDF appear to perpetuate the notion that CDF is a pork barrel venture that is only there to improve the political standing of elected officials.

5.3.4 CDF Projects in Katuba

The Guidelines on the Management and Utilisation of CDF clearly stipulate the kind of projects that can be carried out using CDF (Appendix I). An examination CDF projects in Katuba revealed that the Fund has been used on a myriad of projects in the constituency. Projects fall within six broad categories namely water and sanitation; roads; agriculture, and

other economic activities; sports and recreation; other social amenities. Projects include the construction and rehabilitation of classroom blocks, roads, rural health centres and markets, among others. CDF has also been used to sink boreholes and to provide funding to clubs and groups for income generating activities. This information was obtained by scrutinising the documents at the constituency office on projects carried out, and through site visits to selected projects. A list of some of the CDF projects and their costs done between 2007 and 2011 in Katuba is shown at Appendix II.

Site visits to selected projects revealed that CDF is to some extent providing communities with the opportunity to have access to facilities and services which have not in the past been provided by the government. The researcher visited twelve projects. However, Appendix II has a compilation of other projects carried out in the constituency from 2007 to 2011.⁶ The twelve projects that the researcher visited were:

- Muchenje Dip Tank
- Katulumba Muchenje Women's Project
- Katuba Market Shed
- Katuba Basic School
- Kabangwe Poultry Project
- Mungule Clinic
- Mungule Road (Lubobo to Chombola stretch)
- Mungule Market Shed
- Mutakwa Basic School
- Borehole in Katuba Ward
- Borehole in Chilo Chabalenje Ward
- Mboshya Clinic



The quality of most CDF-funded projects leaves much to be desired. Out of the twelve randomly selected the researcher saw only two projects that can be termed as good quality. The infrastructure of the rest of the projects was of extremely poor quality. This can be

⁶ Data on the projects was not easily accessible from the MLGH. The researcher faced a lot of resistance in trying to access this data. Information given at Appendix II was collected from the Katuba Constituency Office and was incomplete.

attributed to a number of factors. According to information obtained from the area MP, the former MP and the councillors that were interviewed, some of these factors are directly related to the provisions of the CDF Guidelines. They identified these factors as:

- The number of projects across which the CDF has to be spread. The Fund is used to carry out what can be termed as too many projects within the constituency in each given year. As a result projects are poorly funded because resources have to be spread thinly across the myriad of projects.
- The requirement that as part of community participation, community members should be involved in the provision of materials such as sand and stones, and moulding of bricks. The respondents stated that this had a negative impact on project quality as community members were not alive to matters of quality control and therefore provided substandard materials.
- The requirement that local unskilled and/or semi-skilled labour should be used. This requirement greatly undermines the quality of projects. The CDF guidelines, among other things, recommend the use of both skilled and unskilled community labour in the implementation of CDF projects. In practice, however, there seems to be preference for unskilled and semi-skilled labour in the implementation of most projects.

Other factors that were identified include the lack of expert advice; poor planning and absence of bills of quantity; and lack of coordination with government officials from the MLGH and other relevant government ministries.

Members of the community on the other hand attributed the poor quality of the projects to abuse of resources by those charged with the responsibility of handling funds.

The study noted that CDF had been used on a wide range of projects, all within the areas stipulated by the Fund's Guidelines. Although these projects have to some extent answered a need in beneficiary communities, the quality of the projects raises questions of how long these projects will serve their purpose. Findings raise questions of sustainability of CDF

projects and also point to a lack of expert advice, use of unskilled labour and the absence of proper monitoring mechanisms by relevant line ministries and local government officials charged with the responsibility of monitoring CDF projects. The findings also point to inadequate funding in some instances and abuse of funds in other instances.

The CDF Guidelines are silent on the number of projects that a constituency can implement each year. This could be the reason for the many poorly implemented projects each year (Appendix II) as opposed to a smaller number of projects but at a much better level of quality. The Guidelines give too much flexibility in terms of quality and number of projects and this is open to abuse by politicians. This raises the pork barrel issue in that MPs will influence the implementation of as many projects in as many parts of the constituency as possible so that they are seen to be working by the electorate. This scenario is at odds with the stated objective of CDF as laid down in the CDF Guidelines. Findings raise the question of the need for more stringent guidelines which could be in the form of a well thought out CDF Act. Findings also point to weak oversight by the MLGH, which is charged with the responsibility of monitoring the use of CDF.

5.3.5 Maintenance of CDF Projects

In view of the findings regarding the CDF projects in Katuba, it is imperative to point out what maintenance and sustainability measures are in place vis à vis these projects. This is necessary in order to ascertain whether the benefits that have accrued to the community as a result of CDF will continue for a long period of time. The study endeavoured to find out what mechanisms were in place to ensure that the CDF projects would continue to accrue to the community in the long term. Responses are discussed below.

Information gathered from all the focus group discussions revealed respondents were not aware of any clear or laid down mechanisms for the maintenance of projects once they were completed.

Project beneficiaries were asked whether they were imparted with any skills to help them carry out routine maintenance. Responses to this gathered during FGD 1 and 5 were in the negative. Respondents explained that they would rely on skills that were already present in the community as they had done during project implementation. One respondent explained that:

“I was appointed as the community pump minder and am supposed to receive training on how to do simple maintenance and repair but still waiting for the training. I am supposed to report major problems to the constituency office.” (Respondent from focus group 5).

It was, however, interesting to note that project beneficiaries felt that it was incumbent upon them to look after the projects as they had been involved in the implementation, meaning that the projects belonged to them. Project beneficiaries stated that if they took responsibility to look after the projects, the benefits would continue to accrue to them for a long time.

“As members of the community, we are grateful for what CDF projects have brought to us and we are committed to looking after them. Whenever there is a problem we try our best to sort it out but we do not receive support from the government.” (Respondent from focus group 1).

Discussions with the area MP and councillors revealed that the members of the community were charged with the responsibility of taking care of the projects once they were completed. The MP also pointed out that projects such as health centres and schools were looked after in collaboration with the local council and relevant line ministries. He explained that members of the community were advised to report any major problems to the constituency office, through their community leaders and, funds permitting from subsequent CDF allocations, repairs would be carried out.

These findings point to the fact that there is an absence of proper laid down procedures to ensure that once a project was completed and handed over, it would continue to serve the community for the long-term. Findings also point to the absence of capacity building for members of the community to equip them with knowledge and skills on how to look after and maintain completed projects. There appears to be a deflection of responsibility in terms of maintenance of infrastructure, especially in light of the fact that residents of Katuba have little or no skill to enable them look after the infrastructure. This again brings in the need for more stringent guidelines stipulating the proper procedure. Projects that were visited were in very poor condition and revealed that they had been poorly implemented and that little or no maintenance had been carried out. Although the MP stated that there was collaboration with the MLGH and other government ministries in terms of maintenance, this collaboration is clearly absent. It can be said that if this state of affairs continues, in a few years to come,

CDF infrastructure will be standing in a state of utter disrepair meaning wastage of resources that could have been utilised on other projects.

5.3.6 Assessing the Effectiveness of CDF in Katuba

In a bid to assess the effectiveness of CDF as a tool for community development, the study focussed on the impact that the CDF projects had made on beneficiary communities. In order to do this, respondents living in close proximity were targeted.

Project beneficiaries were in agreement that they were happy with the development that had been brought to their communities because of the MPs money. It was discernible from the field visits to selected projects that a number of benefits had accrued to the beneficiary communities. Members of these communities expressed satisfaction at having participated in the implementation of projects. For example, a visit to a borehole in Katuba ward revealed that the community previously had to walk four kilometres to the nearest water source but now had their own source and could therefore provide water to their families and livestock and grow vegetables for consumption and as an income generating venture.

“Now that we have a borehole in the village I don’t have to wake up early in the morning to walk a long distance to go and line up at a well for water and the nave to carry a heavy bucket on my head all the way back. It has saved me time to do other household chores I in the morning. I can even attend meetings at the women’s club trough which we are growing vegetables for sale.”(Female respondent from focus group 1).

Other projects such as electrification of schools, repair of roads and construction and improvement of rural health centres received much acclaim with respondents stating that such facilities had eased their burdens and were providing big savings in terms of time and money as they did not have to travel long distances in search of education and health facilities. One respondent pointed out that she was very happy that CDF had been used to include a maternity wing at Mboshya Clinic and as a result of this women in the area did not have to travel the long distance to the city to deliver when they were heavily pregnant.⁷

⁷ The government, through the Ministry of Health, has trained a lot of midwives (including rural women) as midwives all around the country. These have been sent to rural health centres around the country. Some of these are traditional midwives who assist with home deliveries.. In cases where surgical intervention is needed, as is the case in all rural health centres and small government clinics patients are referred to other hospitals as the need arises. Other personnel such as clinical officer and nurses were already working at Mboshya to which the maternity wing was included.

It was evident from the responses collected that CDF had made a positive impact on the lives of beneficiaries and with proper coordination and correct utilisation CDF has the potential to achieve its objective of being a tool for spurring grassroots development. Table 3 below illustrates some of the impacts that respondents brought out during the two focus group discussions with beneficiaries.

Table 3: Impact of CDF Projects

TYPE OF PROJECT	IMPACT
Sinking of boreholes	Improved water supply for use in the home and in other activities such as drinking water for animals. Has also reduced walking distance to water source, thereby freeing up time to be used on other productive areas.
Construction and improvement of health centres	Reduced distances to medical services and thereby improving quality of life.
Construction of market sheds	Provided shelter for marketers against weather elements such as extreme heat and rain. Also provided an opportunity for more people to improve their livelihood
Purchase of desks and chairs for schools	Eased the burden of pupils who previously sat on the floor during lessons.
Construction of community schools	Improved access to education
Poultry rearing	Increased food security and youth employment

5.4 Accountability and Transparency

According to the CDF Guidelines, the MLGH is responsible for auditing of CDF in accordance with the Local Government Act CAP 281 of the Laws of Zambia and the Local Authorities Financial Regulations (Government of the Republic of Zambia, 2006). The CDF Guidelines stipulate the following:

Any abuse of the funds under the Constituency Development Fund by way of misapplication or misappropriation by the council shall result in the suspension of the council or the forfeiture of council grants until the reimbursement of affected Constituency Development Fund is effected. Further, any abuse of the Constituency Development Fund by any member of the Constituency Development Committee or community based organisation shall result in legal action against the culprit. Any council official involved in abusing, mismanaging, defrauding or stealing any money from the Fund shall be prosecuted (GRZ 2006b:6).

In spite the above, a perusal of reports of the Parliamentary Committee on Local Governance, Housing and Chiefs' Affairs from 2007 to 2011 revealed a number of audit queries directly related to the use of CDF as shown in the table below.

Table 4: CDF Audit queries

Year	Council	Audit Query
2007	Kawambwa District Council	<ul style="list-style-type: none"> • Unsupported payment vouchers • Missing payment vouchers
	Petauke District Council	<ul style="list-style-type: none"> • Unaccounted for funds • Unsupported payment vouchers
	Chinsali District Council	<ul style="list-style-type: none"> • Unrecovered advances
	Kaputa District Council	<ul style="list-style-type: none"> • Misapplication of funds
	Samfya District Council	<ul style="list-style-type: none"> • Irregular payment of allowances to members of CDC
2008	Monze District Council	<ul style="list-style-type: none"> • Irregular payment from CDF
	Kasama Municipal Council	<ul style="list-style-type: none"> • Non preparation of CDF monitoring report
	Mbala District Council	<ul style="list-style-type: none"> • Non preparation of CDF monitoring report
	Mpulungu District Council	<ul style="list-style-type: none"> • Diversion of funds
	Mungwi District Council	<ul style="list-style-type: none"> • Non preparation of project appraisal report
	Chadiza District Council	<ul style="list-style-type: none"> • Misapplication of funds • Wasteful expenditure • Non preparation of annual and monitoring reports
	Kasempa District Council	<ul style="list-style-type: none"> • Payment without supporting documents
	Kalabo District Council	<ul style="list-style-type: none"> • Irregular expenditure
	Kaoma District Council	<ul style="list-style-type: none"> • Irregular expenditure • Unaccounted for expenditure • Payment without supporting documents

	Mpongwe District Council	<ul style="list-style-type: none"> • Failure to prepare evaluation and monitoring reports
	Mongu District Council	<ul style="list-style-type: none"> • Non preparation of bank reconciliation statements • Irregular payments from CDF • Payment without supporting vouchers
	Gwembe District Council	<ul style="list-style-type: none"> • Irregular borrowing form CDF • Irregular transfer of CDF administrative costs to district fund account
	Milenge District Council	<ul style="list-style-type: none"> • Misapplication of CDF to council activities.
2009	Mungwi District Council	<ul style="list-style-type: none"> • Failure to account for CDF
2011	Lukulu District Council	<ul style="list-style-type: none"> • Missing payment vouchers • Abuse of office in administration of CDF by Council Secretary

Source: Reports of the Parliamentary Committee on Local Governance, Housing and Chiefs' Affairs from 2007 to 2011

Table 4 shows some of the CDF financial irregularities that are reported to the Parliamentary Committee on Local Governance, Housing and Chiefs' Affairs by the MLGH. The MLGH raises audit queries to local councils during annual audits. Notwithstanding the provisions of the CDF Guidelines, there appears to be very little punitive action taken against erring councils. In most cases, councils are given the option of regularising audit queries. An interview with officials from the MLGH revealed that a number of councils had in the past had their grants or CDF withheld or delayed as a result of failure to submit CDF returns of constituencies under their care. However, once either audit queries were answered or returns submitted, grants and CDF would be released with no further punitive action against erring officers. These officials revealed that the ministry constantly received reports from around the country of misuse of the Fund by council officers and politicians. This was attributed to the weakness of the CDF Guidelines and the absence of proper legislation guiding CDF.

According to research carried out by Caritas Zambia in the period 2006 to 2010, a total of forty four CDF related corruption cases were investigated by the Anti-Corruption Commission (Caritas, 2011:29) as per the table below.

Table 5: Annual CDF Corruption Cases

Year	Number of Cases	Open	Referred	Closed	No further action
2006	5	3	0	1	1
2007	8	6	1	1	0
2008	16	11	3	2	0
2009	7	3	4	0	0
2010	8	4	3	0	1
Total	44	27	11	4	2

Source: Caritas Zambia, 2011

The findings above indicate that there are a number of loopholes in the use of CDF which need to be sealed through closer monitoring of the Fund by those charged with this responsibility in order to avoid abuse and wastage of resources and in order to enhance its effectiveness and contribution to the development process. There is an apparent failure to adhere to the CDF Guidelines which have clearly proved to be too weak to provide oversight. If the CDF is to operate as per its CDF objective and achieve what it was established to do, the government should as a matter of urgency consider a CDF Act which will clearly spell out operational, oversight and punitive mechanisms.

5.5 Other Findings from MPs and MLGH Officials

The study examined whether the amount of money given to the 150 Zambian constituencies was viewed as adequate to meet the stated objectives of CDF. This information was collected through semi-structured interviews with MPs and officials from the MLGH conducted at the National Assembly of Zambia and MLGH headquarters in Lusaka respectively.

Members of Parliament

Through purposive sampling, the study interviewed six MPs from the opposition and six MPs from the ruling party, plus the area MP for the case study constituency, Katuba (who is an opposition MP). Regarding the amount of CDF, all the MPs that were interviewed stated that CDF was a very important tool for community development as it provided supplementary funding to address immediate community needs that may have been overlooked or neglected by central government. This group of respondents pointed out that the government had many

competing needs and, as a result of this, had failed to deliver basic services based on local communities' identified needs. They stated that CDF provided additional decentralised funding for development through the local government system. MPs pointed out that through CDF, they were able to enhance their role as representatives of the people and produce what their constituents viewed as tangible results through CDF projects. These projects had, in their view, to a reasonable extent eased the suffering of people in their constituencies and helped provide a number of goods and services that the government had failed to provide since the country gained its independence in 1964.

The MPs however, lamented that the amount given to each constituency annually as CDF was not sufficient to finance the many developmental needs in the constituency. This group of respondents called for the need to increase the CDF and floated the figure of ZMK5 billion (US\$ 1million) annually. They explained that given the large number of communities in each of their constituencies, this figure would have a more meaningful impact in terms of meeting the needs of the local community and subsequently contribute to national development. One MP stated that:

“CDF is a very important fund which helps meet the development challenges that are faced by constituencies. However, at the moment it is not enough and as a result does not cover as much as I would like to as MP. I think it should be significantly increased and as MPs we have been discussing a figure of five billion kwacha.”

In answering the question of the allocation of CDF without taking into account size (in terms of area and population) and type (whether rural or urban) of constituency, all the MPs expressed the opinion that, as things stood, a uniform allocation would suffice, although the MLGH could in future look into working out modalities for changing the system of allocation.

According to one MP:

“The government should first look into the issue of increasing the fund. An allocation formula is not a pressing matter at the moment. That can be considered at another juncture, perhaps when the issue of a CDF Act begins to be considered.”

From the findings above it is clear that CDF is greatly appreciated by MPs, both from the ruling and opposition parties, all of whom view it as a good tool for community development. Worth noting however is that all the MPs interviewed were not willing to delve into the subject of abuse of the Fund by MPs and all of them denied having undue influence over its use. The view regarding the allocation of CDF as a uniform figure, regardless of the size and type of constituency, raised questions of the reasons behind the MPs calling for a blanket increase in the size of the fund and pointed towards fears raised earlier in the research that MPs were involved in abusing the Fund. This buttresses the view that CDF is a pork barrel venture, only there to serve the interests of MPs and to hoodwink constituents into giving votes to politicians during elections. MPs appear to have a vested interest of looking good to the electorate at the expense of actual development.

Further to the above, MPs seem to ignore that they are charged with the responsibility of passing the country's annual budget every year and could use this position to call for better funding to local councils which have well established structures to drive development but are crippled by inadequate funding.

MLGH Officials

The two MLGH officials interviewed provided interesting insight into the issue of CDF. These officials brought out the issue of CDF versus the need to improve funding to local councils for developmental projects. While both officials saw CDF as a good initiative, they pointed out that although local councils were the custodians of the Fund, they were very poorly funded and most could not sustain themselves from the small government grants and other depleted sources of revenue.⁸ As a result of this, local councils were unable to efficiently provide the goods and services that they were supposed to. This therefore, meant that from the local council point of view there were two sides to the CDF story. One side was

⁸ Over the years central government has taken away some of the traditional sources of local revenue from local authorities. Various policy changes and pronouncements have also had a diminishing impact on local authorities' potential to raise sufficient finances to execute their functions. For example, in 1996 government directed local councils to sell their houses to sitting tenants and local councils which had a big pool of houses lost a sure revenue source in form of rentals. Further, the Rating Act of 1997 reduced the categories of ratable properties because exemptions were given to many institutions. These are just two among many examples of sources of funding that have been taken away from councils.

that CDF provided a sure and complementary source of revenue for developmental projects which would otherwise be the responsibility of the local council. The other side of the story was that the local councils had established planning structures and better equipped personnel and therefore funding to these councils should be increased. One of the officials stated that:

Over the years, the revenue base for local councils has been greatly depleted. While CDF is a noble initiative, it should not be the main source of development for constituencies but should instead provide a small complement the efforts of local councils through the MLGH. The Ministry does not want CDF to be scrapped. What is needed is an overhaul of the CDF Guidelines and the introduction of strong legislation, coupled with an increase in the revenue to councils.

The second official observed that:

The MLGH continues to face problems as regards management of CDF. While it is a good initiative, it remains open to abuse by MPs and in some cases council officials. Strict legislation which will deal with loopholes in the guidelines and abusers should be introduced. Apart from this, there is weak collaboration with local councils in the implementation of projects. It should be recognised that council's each year come up with district development plans. However, because of poor funding, the councils are most of the time unable to implement these plans and as a result they are viewed as failures in terms of service delivery.

These findings brought in an angle to the study that in the researcher's point of view, opened up a new area of study. However, it may be argued that increasing the allocation to local councils as opposed to CDF could mean overlooking the immediate needs of local communities as identified by them in preference for plans of central and local government, particularly in view of the fact that the Decentralisation Policy in Zambia has not yet been fully implemented. These findings point to the fact that CDF is a source of complementary funding to the local councils for developmental projects identified by the local community.

5.6 Conclusion

Chapter 5 presented the data that was collected over a ten year period that was spent in the field by the researcher. Findings during the research show that while CDF is appreciated by those who have benefitted from it a lot of questions need to be answered as regards whether it

is actually providing sustainable benefits in line with the tenets of community development. What is discernible is that politicians stand to gain a lot from CDF as opposed to any other group in society. This is because they appear to wield large influence over the use of the fund and can manipulate constituents, particularly in a rural constituency such as Katuba into believing they are responsible for raising the Fund. This serves to gain them popularity and votes pointing to the direction that it is a pork barrel venture.

However, information gathered for the MLGH shows that CDF can be a source of community development, but as a complement to the efforts of the Ministry and its organs in the form of local councils, and under stricter regulation and legislation. The absence proper guidelines has resulted in poor monitoring mechanisms and left the Fund open to manipulation and abuse.

The following chapter presents a conclusion and recommendations of the findings of the study.



CHAPTER 6: CONCLUSION AND RECOMMENDATIONS

6.0 Introduction

The idea of development has evolved over a long period of time from an era when it was thought of simply as being progress associated with the economic improvement of an individual or a society, to a time when it is not just growth but a process through which the economic, social, cultural and environmental situation of a community is improved (Christenson & Robinson, 1989). Traditional top down theories of development focussed on the imposition of development from outside without the involvement of the people or community to who the development was being delivered. However, more recent approaches of development view it as a process that should be driven by the people whom it will benefit. Community development is about a community's participation in its own destiny. This participation is not in isolation of actors and should not occur in a haphazard manner. Binswanger-Mkhize et al (2010:4), propound that community development "entails a deep transformation of political and administrative structures that aims to empower communities and local governments with powers, resources, and the authority to use these flexibly and sustainably, thus enabling them to take control of their development." The development of smaller communities subsequently leads to national development.

The research was conducted in order to answer the question as to whether Zambia's CDF initiative, which is couched in the country's Decentralisation Policy, is a tool for community development. The findings of the research point to the fact that CDF can indeed and can be a positive means for enhancing community development and subsequently national development by supplementing the development efforts of local councils. In order for this to be achieved, a number of concerns have to be addressed and factors in terms of the administration, management and implementation of the Fund need to be looked at again. The need exists to strengthen and streamline the processes of identifying and implementing CDF projects by clearly defining the roles of all concerned players including MPs the MLGH, local leaders and community members. .

6.1 Summary of Findings

In the constituency where the research was conducted, project beneficiaries generally indicated that they were satisfied with the changes to their lives that were brought about as a result of the CDF projects in their communities. Research findings show that as a result of

CDF, communities were able to identify their most pressing problems which have in some cases been eased with the participation of the members of the community. Some of the solutions provided by CDF include improved water supply and reduced walking distance to water sources; improved quality of life through reduced distances to medical services; improved livelihood and economic empowerment as a result of construction of shelter for marketers; improved access to education as a result of construction of classrooms and purchase of books, desks and chairs; and empowerment through youth and women's groups. However, a, there is a lot of manipulation by politicians as regards what projects are actually implemented .This is at variance with what is stipulated in the CDF Guidelines and with the tenets of community development.

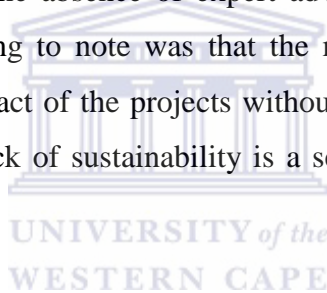
In terms of levels of knowledge on CDF, it is apparent from the research that a lot needs to be done in order to improve the understanding of members of the community as regards what the Fund is and where it comes from. Low levels of understanding among those for whom CDF is intended leaves it open to abuse by people in positions of influence, including MPs and councillors.

With regard to the level of influence and involvement that politicians have in the administration, management and utilisation of the Fund, research findings show that the MP has been given a lot of power. This is apparent from the widely held view of CDF as MP's money, sourced by the MP. The research reveals that MPs and councillors use this view to enhance their popularity as opposed to enhancing their constituents' understanding of the objectives of CDF. Further, the role played by the MP on the CDC provides for increased influence because apart from being a member of the CDC which is responsible for coordinating project identification and implementation, the MP nominates four of the nine members of the CDC.

The research revealed that the consultation process in terms of project selection is not stringent enough. Complaints that came up in focus group discussions of project beneficiaries were that problems that were identified by the community were most times at variance with actual implemented projects. The research also revealed the absence of a coordinated needs assessment process for the identification of projects. The dissatisfaction in the project selection process can be attributed to a number of factors including, but not limited to, low literacy levels in the rural constituency under study and the limited timeframe

available for CDF projects to be approved (considering that CDF is released annually and projects have to be implemented and returns submitted before the next allocation). In terms of community participation in the implementation, the research findings showed that there were high levels of participation. Community members provided labour and materials (sand, stones, bricks etc.). Therefore, though the participation is present in actual implementation, it is minimal at the decision making level. However, community development denotes participation at all levels from decision making to project implementation (Davids, *et al* 2005). This gives a greater sense of ownership of projects and allows for sustainability as the community will closely guard what is theirs.

With regard to CDF projects that have been implemented, the research findings revealed that these were diverse but all aimed at improving the day to day lives of the members of the community. However, project quality is generally poor, as a result of use of poor quality materials, unskilled labour and the absence of expert advice. This brings in questions of sustainability. Further, interesting to note was that the members of the community were satisfied with the immediate impact of the projects without necessarily considering the long term life of the community. Lack of sustainability is a separation from the main tenets of community development.



In terms of transparency and accountability mechanisms for CDF, the research findings reveal many shortcomings that need to be addressed in order to improve the performance of the Fund and to avoid wastage of resources. There appear to be too many loose ends in terms of the CDF Guidelines and in the actual utilisation of the Fund. Further to this, punitive measures against those who abuse or misappropriate the Fund do not act as a deterrent to future offenders as they are not effectively enforced. The continued appearance of CDF audit queries in the reports of the parliamentary Committee on Local Governance, Housing and Chiefs' Affairs is one testimony to this.

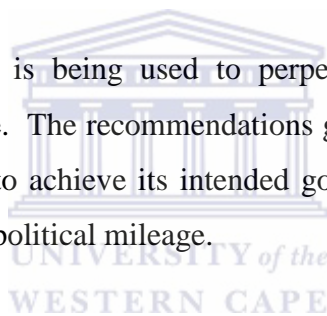
6.2 Conclusion

Going by the stated objective of CDF in Zambia and based on research findings, CDF has the potential to be an effective tool for community development. The Fund can help to improve access to services to local communities by channelling public funds directly to local communities to be utilised on projects identified by the community. In order to grow the potential of CDF and achieve holistic long term development, there is need for stricter

adherence to the provisions of the CDF Guidelines accompanied with increasing the knowledge levels of the owners of the Fund, that is, the members of the community for whom development is intended.

While it is understood that CDF is only one Fund with many competing needs from the many communities within the constituencies, proper management and better coordination between constituency, local government and line ministry structures can lead to greater effectiveness. According to Biggs quoted in Cavaye (2006), community development is a process in which efforts of people in the community are united with governmental authorities to improve the economic, social and cultural conditions of communities. Through this, communities are integrated into the life of the nation thus enabling them to contribute fully to national progress. This type of development is what is envisioned in Zambia's Decentralisation Policy and in the objectives of the CDF.

As things stand however, CDF is being used to perpetuate the interests of MPs, thus operating as a pork barrel venture. The recommendations given below suggest ways through which CDF can be transformed to achieve its intended goal of being a tool for community development and not for gaining political mileage.



6.3 Recommendations

In view of the research findings, the major recommendation is that CDF as a tool to finance micro community development should continue. However, a number of aspects of the Fund should be either changed or improved as presented below. The recommendations given below are made bearing in mind that if CDF is to continue to be pursued as a government policy, it should be a tool for enhancing the tenets of decentralisation, community development and participation.

- i) The Zambian government should institute legislation to superintend over CDF. The CDF Guidelines that are presently in use have too many loopholes and do not provide for proper utilisation and management of the Fund. The legislation should promulgate the rules, regulations and mechanisms for the administration, management, utilisation, monitoring, evaluation, transparency, accountability and auditing of CDF. It should also clearly stipulate the roles of various individuals groups and institutions.

- ii) CDF legislation once enacted should be clear on the quality of projects by specifying minimum quality of materials to be used. It should be clear on the procurement procedures and explicitly stipulate requirements for bills of quantity and on use of expert advice.
- iii) Further, to ensure that projects are being implemented properly, the CDF should provide adequate resources for project evaluation and monitoring throughout the entire project life.
- iv) CDF should not be allocated as a one size fits all Fund. A formula for the allocation of CDF should be established as opposed to allocating a uniform amount for all constituencies in the country. The formula should take into account factors such as size of the constituency in terms of population and physical size; type (whether rural or urban); levels of poverty, and level of development.
- v) Mechanisms for information dissemination to educate communities on what CDF is and what its intentions are should be set up. This will bring an end to the view held by some that CDF is 'MPs' money. This will allow people to have confidence in bringing out community needs as they will have a clearer understanding of CDF objectives.
- vi) According to the objectives of CDF, it is intended to deliver development to the community. In order to ensure full participation of the community, there should be capacity building, awareness and sensitisation programmes, tailored towards transforming the mind-set of communities so that they are directed towards more sustainable projects.
- vii) In order to reduce the influence of politicians on the CDC, a different mechanism should be used for the selection of the four CDC members from civil society, churches, NGOs and CBOs who are nominated by MPs and councillors. Instead, these institutions should nominate representatives from among themselves.
- viii) A systematic needs assessment strategy should be establishment to ensure that project plans reflect the true needs of the community. There is need to improve co-ordination

between the CDC, DDCC and MLGH as regards identification of projects. Improved co-ordination will provide for alignment of community projects with those of the local council and those intended for implementation by central government. This will ensure that the desired impact on the local community is achieved. It will also avoid skewed development, neglecting of certain essential areas of need and replication of efforts.

- ix) Annual audit of the CDF should be carried out by the Office of the Auditor General. This audit should focus on CDF disbursements, efficiency, effectiveness and accountability. Sanctions as provided for in the legislation should be applied to those found abusing or misappropriating the Fund.
- x) Apart from annual audit of the CDF, there is need for periodic monitoring and evaluation of CDF projects, which is lacking in the CDF process in Zambia. This will provide a basis for accountability in the use of development resources and strengthen transparency. It will also help to strengthen project design and implementation so as to ensure project sustainability and achievement of CDF objectives.

Of grave importance is the issue CDF versus improved funding to the local government system. As pointed out by the MLGH officials, CDF should provide a minor source of complementary funding to the efforts of local government. Although this study did not explore this issue in detail, which in the researcher's view is an area for further study, the Zambian government should strongly consider the possibility that CDF is diverting much needed funds away from local councils which have well established structures, skilled labour and well devised plans to drive the development agenda forward. Therefore, this study recommends improved funding to the local government system.

6.4 Areas for Further Research

Given the absence of CDF legislation in Zambia, there is need to explore the provisions to be included in a CDF Act that will ensure all inclusive and holistic development. Research into an allocation formula based on accurate information for the 150 constituencies should also be carried out. Further, research into how CDF project plans fit into district and national plans can also be carried out in order to establish whether CDF fits into Zambia's Decentralisation

Policy. Furthermore, the issue of continuing with CDF as a government policy for bringing about development versus improving funding to local councils can be conducted.



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APPENDICES

Appendix I: Guidelines on the Utilisation and Management of Constituency Development Funds



REPUBLIC OF ZAMBIA

MINISTRY OF LOCAL GOVERNMENT AND HOUSING



GUIDELINES ON THE MANAGEMENT AND UTILISATION
OF CONSTITUENCY DEVELOPMENT FUNDS

DECEMBER 2006



REPUBLIC OF ZAMBIA
MINISTRY OF LOCAL GOVERNMENT AND HOUSING

MLGH/102/28/1

26 December, 2006

P.O. BOX 50027
15101 RIDGEWAY
LUSAKA

MINISTERIAL CIRCULAR OF DECEMBER, 2006

All Town Clerks/Council Secretaries
REPUBLIC OF ZAMBIA

Dear Sirs/Madams,

**GUIDELINES ON THE MANAGEMENT AND UTILISATION OF
CONSTITUENCY DEVELOPMENT FUND**

1. The Ministry has revised the Constituency Development Fund (CDF) Guidelines in order to make them more effective and efficient, and to tighten the weaknesses in the utilisation of the funds. The following changes have been made:
 - i) Composition of membership of the Constituency Development Committee (CDC);
 - ii) Notification for submission of project proposals;
 - iii) Project implementation;
 - iv) Release of funds for approved projects.
2. The projects to be funded by the CDF in the communities must be in line with the projects prioritised in the district development plans approved by the councils and must be within available resources.
3. Projects should be completed within a period of twelve (12) months.
4. This circular supersedes Circular MLGH/102/28/1 dated 10th September, 2003.

Yours faithfully

Maswabi M. Maimbolwa

Permanent Secretary

MINISTRY OF LOCAL GOVERNMENT AND HOUSING

- Cc. Hon. Minister of Local Government and Housing, **Lusaka**
- Cc. Hon. Deputy Minister of Local Government & Housing, **Lusaka**
- Cc. Secretary to the Cabinet, Cabinet Office, **Lusaka**
- Cc. All Members of Parliament
- Cc. Principal Private Secretary, State House, **Lusaka**
- Cc. Permanent Secretary, (Administration) Office of the Vice President, Cabinet Office, **Lusaka**
- Cc. All Provincial Permanent Secretaries, **Republic of Zambia**
- Cc. All Provincial Local Government Officers, **Republic of Zambia**
- Cc. All District Commissioners, **Republic of Zambia**



REVISED GUIDELINES ON THE MANAGEMENT AND UTILISATION OF THE CONSTITUENCY DEVELOPMENT FUND (CDF)

1. INTRODUCTION

The Constituency Development Fund (CDF) was approved by Parliament in 1995 to finance micro-community projects for poverty reduction. As part of their annual capital programmes, each Council is mandated to include Constituency Development Funds for community based projects in the Capital Budgets. The Council shall be required to account for the funds in accordance with the law. The Constituency Development Committee (CDC) shall receive project proposals from sub-district development structures such as Area Development Committees (ADCs), Resident Development Committees (RDCs) and representatives of stakeholders from the townships on behalf of communities as the case may be and refer them to the Planning Sub Committee of the District Development Coordinating Committee (DDCC) for appraisal before recommending to the Council for adoption.

2. MEMBERSHIP OF THE CONSTITUENCY DEVELOPMENT COMMITTEE AND TERM OF OFFICE.

The proposed membership of the CDC shall be nine (9) and shall comprise the following:

Number	Committee Membership
a) 1	Area Member of Parliament
b) 2	Councillors nominated by all Councillors in the Constituency
c) 1	Chiefs representative nominated by all Chiefs in the Constituency
d) 1	Director of Works in the case of a District Council or Director of Engineering Services in the case of Municipal and City Councils
e) 4	Community Leaders from Civil Society and NGOs, Churches, Community Based Organisations (CBOs) identified by the Area

Member of Parliament and Councillors in the Constituency.

The Council shall submit the names of the above nominees together with their CVs and record of their participation in community development work to the Minister of Local Government and Housing for approval within 60 days of submission.

After approval the members of the Constituency Development Committee (CDC) will elect their Chairperson and the Vice Chairperson annually on a rotational basis limited to one year. The area MP and the Councillors shall not be eligible to be Chairperson or Secretary to the CDC. In the absence of the Chairperson, the Vice Chairperson shall preside over the meeting of the CDC. However, in the absence of both, the members shall select amongst themselves a person to preside over the meeting.

The Secretariat for the CDC shall be provided by the Council which shall prepare notices and minutes of the CDC proceedings. These shall be submitted on a quarterly basis to the Provincial Local Government Officer and to the Ministry.

The tenure of office for the members of the CDC shall be **three years**, unless removed by the Council in Consultation with the **Provincial Local Government Officer** and subject to ratification by the Minister of Local Government and Housing.

3. MODALITIES AND ADMINISTRATION OF THE CONSTITUENCY DEVELOPMENT FUND

- a) The Council (Local Authority) shall administer the channelling and utilisation of the Constituency Development Fund.
- b) The authority to decide on the utilisation of the Constituency Development Fund (CDF) shall be vested in the Council in accordance with Section 45(1) of the Local Government Act Chapter 281 of the Laws of Zambia. The District Development Coordinating Committee (DDCC) through the Planning Sub Committee shall receive project proposals from the CDC and advise the Council on their suitability for funding. The purpose of submitting project proposals to the Planning Sub Committee is to avoid duplication of funding the same project from other sources.
- c) All payments to Contractors executing constituency projects shall be paid by Bank Cheques and no payments in cash shall be allowed.

- d) Duties performed in connection with the administration of the Constituency Development Fund *by members* shall be part of community contribution. No allowances whatsoever shall be paid from the Constituency Development Fund.

4. BENEFICIARIES

Beneficiaries such as Clubs, Associations and Societies must be registered with the Local Council within their Constituency to benefit from the Fund.

5. TYPES OF PROJECTS

The types of projects to be financed under Constituency Development Fund *shall* be developmental in nature and be beneficial to various stakeholders in the Community (Appendix A).

6. NOTIFICATION FOR SUBMISSION OF PROJECT PROPOSALS

The Council shall invite project proposals from the communities during the first quarter of every year by way of *advertisements*, open meetings and fixing of posters in conspicuous locations such as Notice Boards of schools, clinics, and churches including notifications through letters to Chiefs and Village Headmen.

7. PROJECT IDENTIFICATION AND SELECTION

- a) Project proposals shall be identified and prepared for submission by Communities to the Constituency Development Committee (CDC) before receipt of the funds.
- b) These projects shall be reconciled with those already received by the District Development Coordinating Committee to avoid duplication of efforts.
- c) The CDC shall within two weeks make its decision on the approved project proposals.
- d) In the next two weeks of receipt of these project proposals the Planning Sub Committee of the District Development Coordinating Committee shall submit its appraisal report to the District Development Coordinating Committee (DDCC) for onward submission to the Council

for approval and implementation.

Only projects which have been appraised and approved by the Council shall be funded. The Council shall inform the CDC of its decision.

Implementation of Projects shall be completed within one year.

8. NOTIFICATION OF APPROVED PROJECTS BY THE COUNCIL

The Town Clerk/Council Secretary shall notify the Constituency Development Committee (CDC) on which projects have been approved by the Council for funding and implementation.

9. PROJECT IMPLEMENTATION

The implementation of the projects shall involve community participation in form of labour, both skilled and unskilled, and use locally available materials (stones, sand etc.) as much as possible.

For specialised works, the ***Tender Committee at District Level*** shall use flexible tender system in the invitation of tender offers from eligible contractors/suppliers. The District ***Tender Committee*** shall evaluate the bids and recommend to the Council for award of contracts which shall be communicated to the successful contractor/supplier. Preference shall be given to local contractors and suppliers.

The Chairperson of the Community Based Organisation Project Committee and the Town Clerk/Council Secretary shall be signatories to all Contract Agreements. All contracts shall be in writing and sealed as prescribed in the Contract Agreement Form (Appendix B).

10. DISBURSEMENT OF CONSTITUENCY DEVELOPMENT FUNDS

The Ministry of Local Government and Housing (MLGH) shall disburse the funds either by Bank Transfer or by Cheques to Constituency Development Fund Accounts maintained by Councils accompanied by a list of beneficiary constituencies and reflecting the allocation to each

Constituency in the District.

11. BANK ACCOUNTS AND SIGNATORIES

The Council shall open Special Bank Accounts in the name of each Constituency and shall immediately inform sub-district structures such as Area Development Committees (ADCs), Resident Development Committees (RDCs) and Community Based Organisations CBOs, representatives as the case may be in each Constituency, and bank such funds on receipt in such Accounts.

There shall be four signatories to the Constituency Development Fund Bank Account. The following shall form the panel of bank signatories on the Constituency Development Fund Account:

Panel A

- i) The Town Clerk/Council District Council Secretary
- ii) The Director of Finance/District Treasurer

Panel B

- i) Chairperson of Constituency Development Committee
- ii) One member of the CDC at 2(e)

A Cheque drawn of the Constituency Development Fund Account or any instructions to the Bank shall be signed by two (2) Bank signatories ***comprising one signatory from Panel (A) and one from Panel (B).***

12. RELEASE OF FUNDS FOR APPROVED PROJECTS (SPECIALISED WORKS)

a) Advance Payment

The advance payment shall be a maximum of 15% of the Contract sum and shall be paid to the Contractor within 30 days after award of Contract.

b) Mode of Payment

Payment for certified work shall be in Zambian Kwacha only.

The client shall pay the Contractor the certified sum within 30 days of receipt of the Progress Payment Certificate (PPC) by the Council's Works Department. The evaluations shall take place at the end of each month by both the Contractor and Council. However, the minimum claim for any interim certificate by the Contractor shall be set at 10% of the contract sum.

c) Liquidated Damages

In the event of the Contract not being completed by the completion date, liquidated damages shall be applied up to a maximum of 15% of the contract sum. This amount shall be deducted from the final account. If the overrun is due to unforeseeable or unpredictable events beyond the control of the Contractor, then a reasonable extension of time may be granted on application by the Contractor. These shall be included in the Contract.

d) Valuation of Works Done

At the time of evaluation for Progress Payment Certificate claims, the percentage of each activity completed is to be assessed and agreed between the supervisor/Council and the Contractor. This percentage shall be used to calculate the amount due for that activity. If liquidated damages are due, then these should be deducted from the total sum.

All payments due shall be sanctioned by the Council and shall be payable by cheque in the name of the authorised contractor or supplier and NOT a third party or individual.

13. ACCOUNTABILITY AND TRANSPARENCY

In accordance with the Local Government Act Cap 281 of the Laws of Zambia and the Local Authorities Financial Regulations (Statutory Instrument No. 125 of 1992) auditing of Constituency Development Fund shall be carried out regularly by the Local Government Auditors of the Ministry of Local Government and Housing. The District Treasurer/Director of Finance of the Council shall

maintain separate books of accounts for the Constituency Development Fund in each district. They shall prepare monthly receipts and payments accounts supported by bank reconciliation statements for each account to be submitted to the Office of the Provincial Local Government Officer with copies to the Permanent Secretary, Ministry of Local Government and Housing.

14. PENALTY

Any abuse of the funds under the Constituency Development Fund by way of misapplication or misappropriation by the Council shall result in the suspension of the council or in the forfeiture of council grants until the reimbursement of the affected Constituency Development Fund is effected. Further, any abuse of Constituency Development Fund by any member of the Constituency Development Committee or community based organisation shall result in legal action against the culprit. Any council official involved in abusing, mismanaging, defrauding or stealing any money from this Fund shall be prosecuted.

15. MINUTES

The Council shall cause to be maintained records of the proceedings of all CDF meetings prepared by an officer from the District Planning Unit of the Council who shall be the secretary to the Committee. Quarterly copies of such minutes shall be submitted to the Minister of Local Government and Housing without fail and progress reports shall be availed to the community. Subsequent funding of CDF shall be withheld for constituencies which do not comply with these guidelines.

16. REPORTING AND MONITORING

The council through the Director of Works/ Director of Engineering Services or District Planning Officer/Directors of Social Planning Offices from relevant government line ministries and the beneficiary community shall monitor project implementation monthly or as often as necessary depending on the nature and stage of the project. The community shall be involved during monitoring. The monitoring team shall prepare progress reports on behalf of the community supported by the accounts for the quarter and submit through the Provincial Local Government Officer to the Minister of Local Government and Housing who shall analyse the reports and advise the government on the progress achieved in the implementation of micro-community projects and programmes in constituencies.

17. ADMINISTRATIVE COSTS

Ten per cent (10%) of the Constituency Development Fund shall be retained in the account of the constituency to meet administrative costs of administering the Constituency Development Committee (CDC) auditing, monitoring and evaluation by District Development Coordinating Committee (DDCC). These costs will include transport, stationery, per diem to cover food and accommodation for the technical staff and committee members.

18. PROJECT EVALUATION

The evaluation of the project shall be carried out by the council's the Director of Works/ Director of Engineering Services, District Planning Officer and officers from appropriate government line departments. The evaluation exercise shall be done upon completion of the project but before the disbursement of the following year's Constituency Development Fund. The evaluation team shall prepare a report of submission to the community, DDCC and council for action, if any.

19. FUNDING FOR PRODUCTION OF ANNUAL REPORT ON THE CONSTITUENCY DEVELOPMENT FUND

The Ministry of Local Government and Housing carry out regular audit inspections in accordance with the Local Government Act Chapter 281 of the Laws of Zambia, Guidelines on the Management and Utilisation of Constituency Development Fund and physical verification of completed projects in all 150 constituencies in Zambia. This is for the production of an annual report on the performance of the Constituency Development Fund for submission to Cabinet Office and Parliament.

20. ANNUAL REPORT TO CABINET AND PARLIAMENT

The Minister of Local Government and Housing shall submit to Cabinet and subsequently to Parliament an annual report on the operations of the Constituency Development Fund.

Appendix 'A'

Examples of Projects eligible for Constituency Development Fund

Water Supply and Sanitation

- i) Construction and rehabilitation of wells
- ii) Construction and rehabilitation of small scale dams
- iii) Construction and rehabilitation of boreholes
- iv) Piped water supply systems
- v) Construction and rehabilitation of pit latrines, toilets or water borne sanitation system
- vi) Drainage systems

Roads

- i) Construction, rehabilitation and maintenance of roads (feeder and community roads inclusive) especially by labour-based methods
- ii) Bridge construction and maintenance
- iii) Culvert installation
- iv) Causeway construction
- v) Canals, waterways embankments

Agriculture Projects

- i) Livestock and poultry rearing, piggeries
- ii) Irrigation
- iii) Marketing activities
- iv) Basic farming Machinery.
- v) Agricultural inputs seeds, fertilizers, pesticides etc.

Other Social Amenities

Markets and Bus shelters;

- i) Construction and rehabilitation of markets
- ii) Construction and rehabilitation of bus shelters

Education and Health Programmes

- i) Rehabilitation of Education facilities, desks inclusive
- ii) Rehabilitation of Health facilities
- iii) Health programmes such as nutrition etc.
- iv) Education programmes such as literacy programmes

- v) Educational Sponsorship for the vulnerable

Sport and Recreation

Rehabilitation and construction of:

- i) Community halls, nurseries and gardens
- ii) Recreational facilities, e.g. parks, playgrounds and play fields
- iii) Indoor recreational facilities, e.g. welfare halls

Other Economic Activities

- i) Income generating (carpentry, tailoring and designing, etc.)



CONTRACT AGREEMENT FORM

THIS AGREEMENT is made on theday of.....20...between the Council of P.O. Boxon behalf of the Government of the Republic of Zambia (hereinafter called the “Employer”) on one part andof (addresses) (hereinafter called “the Contractor”) on the other. Whereas the Employer is desirous that certain works should be executed, Vis: the (project title).....a nd has accepted a tender by the Contractor for the execution of such works.

NOW THIS AGREEMENT WITNESSETH as follows:

1. In this Agreement, words and expressions shall have the same meaning as are respectively assigned to them in the Conditions of Tender hereinafter referred to.
2. The following documents shall be deemed to form and be read an be construed as part of this Agreement, vis:
 - a) this Form Agreement
 - b) the letter of acceptance from the Contractor
 - c) the said Tender
 - d) the tender notices, documents and correspondence
 - e) the conditions of the Tender
 - f) the specifications of a particular application
 - g) the standard specifications
 - h) the priced Bill of quantities
3. The aforesaid documents shall be taken as complementary and mutually explanatory of one another, but in the case of conflict or inconsistency, precedence shall take the order set out above.
4. The consideration of the payment to be made by the Employer to the Contractor as hereinafter mentioned, the Contractor hereby, covenants with the Employer to execute, complete and maintain the works in conformity in all respect with provision of the contract.

5. The Employer hereby covenants to pay the Contractor in consideration of the execution, completion and maintenance of works, the contract price at the times and in the manner prescribed by the contract.

IN WITNESS WHEREOF to the parties hereto have caused their respective common seals to be hereunto set their respective hands and seals the date first above written.

SIGNED AND DELIVERED

EMPLOYER

Name..... (Town Clerk/Council Secretary)

Signature.....

WITNESS

Name..... (Project Chairperson)

Signature.....



CONTRACTOR/SUPPLIER

Name.....

Title.....

Signature.....

On behalf of the Contractor

WITNESS

Name.....

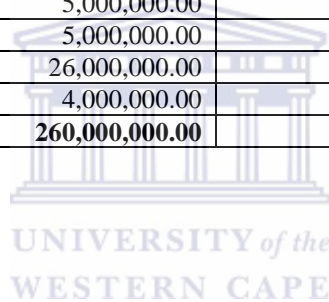
Title.....

Signature.....

Appendix II: Katuba Constituency Development Fund Projects 2007 to 2011

Katuba 2007 CDF

NAME OF PROJECT	AMOUNT FUNDED ZMK	AMOUNT PAID ZMK	BALANCE ZMK
Shifwankula School	20,000,000.00	20,000,000.00	
Namununga Basic School	20,000,000.00	19,995,000.00	5,000.00
Chilochabalenge School	25,000,000.00	25,000,000.00	
Mboshya Basic School	25,000,000.00	25,000,000.00	
Kapila Basic School	20,000,000.00	20,000,000.00	
Katuba Basic School	20,000,000.00	20,000,000.00	
Chombela Basic School	5,000,000.00	5,000,000.00	
Katuba Constituency	10,000,000.00	10,000,000.00	
Shifwankula Clinic	10,000,000.00	10,000,000.00	
Kabangalala	25,000,000.00	24,763,000.00	237,000.00
Mutakwa	5,000,000.00	5,000,000.00	
Mungule Market Shelter	15,000,000.00	15,000,000.00	
Twatambula Women's Group	5,000,000.00	5,000,000.00	
Kasangwa/Chitendele	5,000,000.00	5,000,000.00	
Borehole at Playground	10,000,000.00	10,000,000.00	
Chilikwela Women's Group	5,000,000.00	5,000,000.00	
Bal In A/C	5,000,000.00	5,000,000.00	
Admin	26,000,000.00	26,000,000.00	
	4,000,000.00	4,000,000.00	
TOTAL	260,000,000.00	259,000,000.00	242,000.00



Katuba 2008 CDF

NAME OF PROJECT	AMOUNT FUNDED ZMK	AMOUNT PAID ZMK	BALANCE ZMK
Musopelo Basic School	20,000,000.00	20,000,000.00	
Namununga Farming Project	6,000,000.00	6,000,000.00	
Katole School	15,000,000.00	15,000,000.00	
Mboshya Basic School	7,000,000.00	6,999,921.00	79.00
Kabile Basic School	10,000,000.00	10,000,000.00	
Kamukwesukwenu	10,000,000.00	10,000,000.00	
Shibwalala Community School	15,000,000.00	15,000,000.00	
Shamasasonm Culture Group	5,000,000.00	5,000,000.00	
Sakonzeka Women's Club	3,500,000.00	2,510,000.00	990,000.00
Katete Basic School	15,000,000.00	14,918,000.00	82,000.00
Kabangwe Market	10,000,000.00	10,000,000.00	
Shangala Cooperative Society	10,000,000.00	9,969,700.00	30,300.00
Kabila Road Rehab	10,000,000.00		10,000,000.00
10 Boreholes	200,000,000.00	199,410,000.00	590,000.00
Chilo Basic School	15,000,000.00	14,885,000.00	115,000.00
Mbongolo Community School	3,000,000.00	3,000,000.00	
Chipwili Project	5,000,000.00	4,500,000.00	500,000.00
Admin Cost	20,000,000.00	19,136,892.00	863,108.00
Not Allocated	20,000,000.00	20,000,000.00	
Not Allocated	5,000,000.00	5,000,000.00	
TOTAL	400,000,000.00	386,829,513.00	13,170,487.00

UNIVERSITY of the
WESTERN CAPE

Katuba 2009 CDF

NAME OF PROJECT	AMOUNT FUNDED ZMK	AMOUNT PAID ZMK	BALANCE ZMK
Boreholes	200,000,000.00	200,000,000.00	
Kabile Situmbeko Road	35,000,000.00	35,000,000.00	
Muchenje High School	50,000,000.00	50,000,000.00	
Women & Youth Club	100,000,000.00	99,310,000.00	690,000.00
Mboshya Rural Health Centre	20,000,000.00	20,000,000.00	
10 Miles Police Post	20,000,000.00	13,991,013.52	6,008,986.48
Chombela Basic School	15,000,000.00	15,000,000.00	
Kabulemba Community School	10,000,000.00	10,000,000.00	
Malundu Community School	5,000,000.00	4,981,000.00	19,000.00
Lubinga Community School	10,000,000.00	9,788,000.00	212,000.00
Chitendela Community School	5,000,000.00	5,000,000.00	
Upeme Community School	15,000,000.00	12,000,000.00	3,000,000.00
Kasalu Community School	10,000,000.00	10,000,000.00	
Muchenje Basic School	10,000,000.00	10,000,000.00	
Mbongolo Community School	10,000,000.00	10,000,000.00	
Mutakwa Basic School	5,000,000.00	5,000,000.00	
Sports Promotion	30,000,000.00	29,896,600.00	103,400.00
Kapopo Basic School	10,000,000.00	9,719,000.00	280,500.00
Not Allocated	40,000,000.00	40,000,000.00	
Admin	20,000,000.00	19,544,655.00	455,345.00
TOTAL	620,000,000.00	597,230,768.52	22,769,231.48

UNIVERSITY of the
WESTERN CAPE

Katuba 2010 CDF

NAME OF PROJECT	AMOUNT FUNDED ZMK	AMOUNT PAID ZMK	BALANCE ZMK
Mwanjuni Rural Health Clinic	10,000,000.00	10,000,000.00	
Water Points	32,000,000.00	32,000,000.00	
Ntampwika Community School	10,000,000.00	10,000,000.00	
Malundu Community School	5,000,000.00	5,000,000.00	
Namayani Basic School	10,000,000.00	10,000,000.00	
Malichashi	10,000,000.00	10,000,000.00	
Chombela Basic School	10,000,000.00	10,000,000.00	
Musopelo Clinic	5,000,000.00	2,000,000.00	3,000,000.00
Sanitation Sensitisation	15,000,000.00		15,000,000.00
Chipeso Womens Club	18,000,000.00	17,950,000.00	50,000.00
Muchenje High School	40,000,000.00	38,000,000.00	2,000,000.00
Naluyanda Road	18,000,000.00	18,000,000.00	
Lupani Basic School	15,000,000.00	15,000,000.00	
Empowerment Momba Womens	5,000,000.00	4,920,000.00	80,000.00
Sililo Community School	15,000,000.00	14,529,000.00	471,000.00
Lwewe Community School	15,000,000.00	14,775,000.00	225,000.00
Namununga Community School	15,000,000.00	14,525,000.00	475,000.00
Kapopola Basic School	20,000,000.00	14,200,000.00	5,800,000.00
Lubinga Kabangalala Road	20,000,000.00	20,000,000.00	
Mutakwa Basic School	25,000,000.00	25,000,000.00	
Mungule Road	100,000,000.00	100,000,000.00	
Mwanjuni Rural Health Centre	5,000,000.00	5,000,000.00	
Mauzu Road	10,000,000.00	9,750,000.00	250,000.00
Zani Muone Market	10,000,000.00	9,214,000.00	786,000.00
Kabangwe Market	10,000,000.00	9,348,000.00	652,000.00
Kabulembe Community School	5,000,000.00		5,000,000.00
Katuba Basic School	10,000,000.00	10,000,000.00	
Mungule Clinic	7,000,000.00	7,000,000.00	
Katete Basic School	10,000,000.00	10,000,000.00	
Mungule Market	15,000,000.00	14,000,000.00	1,000,000.00
Namununga Kayosha Road	10,000,000.00	9,963,000.00	36,500.00
Kalala Basic School	20,000,000.00	18,552,000.00	1,448,000.00
Lubobo Community School	10,000,000.00	9,296,000.00	704,000.00
Chikumbi Basic School	10,000,000.00	10,000,000.00	
Njanji Road	10,000,000.00	10,000,000.00	
10 Miles-Chombola Road	10,000,000.00		10,000,000.00
Lubobo- Chombela Road	10,000,000.00	9,915,000.00	85,000.00
Mbosha Road	15,000,000.00		15,000,000.00
Chilochabelenga School	25,000,000.00	24,920,000.00	80,000.00
Kawanjiba School	15,000,000.00	15,000,000.00	
Mbongolo Community School	15,000,000.00		15,000,000.00
Administration Cost	20,000,000.00	17,342,000.00	2,658,000.00
TOTAL	665,000,000.00	585,199,500.00	79,800,500.00

Katuba 2011 CDF

NAME OF PROJECT	AMOUNT FUNDED ZMK	AMOUNT PAID ZMK	BALANCE ZMK
Chilo Dip Tank	15,000,000.00		15,000,000.00
Muchenje Dip Tank	15,000,000.00	15,000,000.00	
Mupwaya Dip Tank	15,000,000.00	12,286,758.00	2,713,242.00
Kabile School Borehole	20,000,000.00	20,000,000.00	
Kapopola Clinic	20,000,000.00	12,183,000.00	7,817,000.00
Katuba Market Shade	15,000,000.00	14,660,000.00	340,000.00
Katuba Basic School	10,000,000.00	10,000,000.00	
Mutakwa Basic School	15,000,000.00	13,500,000.00	15,000,000
Mungule Clinic	20,000,000.00	20,000,000.00	
Nam Kayosha Road	40,000,000.00	27,378,830.51	12,621,169.49
Cholokelo	10,000,000.00	8,950,000.00	1,050,000.00
Kapopo Clinic	15,000,000.00		15,000,000.00
Chibebe Clinic	15,000,000.00	15,000,000.00	
Chiyaba Village	20,000,000.00	20,000,000.00	
Watunyama Village	20,000,000.00	20,000,000.00	
Mwanzuni Basic School	20,000,000.00		20,000,000.00
Mauzu Community School	10,000,000.00	10,000,000.00	
Chikwili Community School	10,000,000.00	9,308,000.00	692,000.00
Mulundu Water	25,000,000.00	25,000,000.00	
Mwachindalo V	15,000,000.00	5,955,000.00	9,045,000.00
Kamukwesukwenu	15,000,000.00	14,787,000.00	213,000.00
Muchenje Basic School	15,000,000.00	15,000,000.00	
Muchenje High School	30,000,000.00	15,000,000.00	15,000,000.00
Chipeso Basic School	15,000,000.00	15,000,000.00	
Malaila Village	15,000,000.00	15,000,000.00	
Twapenga Poultry	7,000,000.00	6,985,000.00	15,000.00
Kabangwe Poultry	10,000,000.00	9,127,000.00	873,000.00
Mbakani Community Group	10,000,000.00	8,085,000.00	1,915,000.00
Changamukani	5,000,000.00	5,000,000.00	
Kamaila Basic School	20,000,000.00	20,000,000	
Situbemko Market	10,000,000.00		10,000,000.00
Mungule Project	7,700,000.00		7,700,000.00
Musopelo Clinic	20,000,000.00	20,000,000.00	
Chikumbi Community School	10,000,000.00		10,000,000.00
Mungule Market	15,000,000.00		15,000,000.00
Liteta VII Dip Tank	15,000,000.00		15,000,000.00
Lupani Basic School	15,000,000.00		15,000,000.00
Chilo Basic School	15,000,000.00		15,000,000.00
Shampande Group	3,000,000.00		3,000,000.00
Fumpa Market	10,000,000.00		10,000,000.00
Mbosha Basic School	15,000,000.00		15,000,000.00
22 Miles Market Shed	15,000,000.00		15,000,000.00
Lwembo Women's Club	7,300,000.00	5,595,000.00	1,705,000.00
Mulonda Community School	15,000,000.00	9,034,000.00	5,966,000.00
Kabangwe Market	10,000,000.00		10,000,000.00
Zani Muone Market	10,000,000.00	9,975,000.00	25,000.00

Mungule Cultural Group	5,000,000.00	5,000,000.00	
Situmbeko Farmers	5,000,000.00	5,000,000.00	
Kanwanjiba Community	10,000,000.00	11,708,000.00	1,708,000.00
Administration Cost	20,000,000.00	15,617,490.00	4,382,510.00
TOTAL	720,000,000.00	465,135,078.51	254,864,921.49



Appendix III: Sample Research Questions

1. Have you ever heard of a fund for the development of their constituencies called Constituency Development Fund (CDF)?
2. Do you know the current policy and guidelines for CDF?
3. Is it a good policy for development and poverty reduction?
4. Do you know where the fund comes from and what the release mechanism is?
5. Is CDF adequate? If yes, how? If no, what should be done?
6. Is CDF well utilised and does CDF work for the community?
7. Is CDF used for gaining political mileage or for genuine development?
8. What do you know of that has been funded using CDF?
9. What structures are in place for selection and implementation of projects?
10. What role does the MP play in selection of CDF projects or disbursement of funds?
11. Are the local people involved in the selection and prioritisation of the CDF projects?
12. What role does your community play in the identification or selection of CDF projects?
13. Are CDF projects based on the needs of your community?
14. How many projects have been constructed under the CDF Programme in the constituency?
15. Does CDF have any effect or impact?
16. Are the activities and the outputs of the CDF consistent with its intended objectives?
17. Are there any monitoring and evaluation mechanisms for CDF and its projects?
18. Are local community members in a position to monitor how CDF is spent?
19. Once CDF facilities have been completed, who is responsible for their maintenance?
20. Is there a relationship between CDF and community development?
21. How can the implementation of CDF be improved to ensure its effectiveness and sustainability and how best can CDF to work for the people?