

**DECENTRALIZATION POLICY OF ZAMBIA: AN  
INVESTIGATION OF EFFORTAND CONSTRAINTS IN ITS  
EMPLEMENTATION IN MAMBWE DISTRICT**

**BY**

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## **DECLARATION**

I, DANIEL CHULU, declare that this dissertation represents my own work and that it has not been previously submitted for a degree, diploma or other qualifications at this or another university.

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This dissertation of DANIEL CHULU has been approved as partial fulfillment of the requirement for the award of the Degree of Master of Public Administration by the University of Zambia.

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Date

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## **ABSTRACT**

The study investigated effort and constraints in the full implementation of the 2002 (revised 2013) national decentralization policy of Zambia. Mambwe District Township was used as a case for the study. In the background, consequences of delays in implementing the policy formed the problem situation. The overall research problem was the unwarranted delays in the full implementation of the policy whose implementation was scheduled to end in 2010 from the time of its launch in 2002. This problem was tackled through identifying measures taken and constraints being faced in implementing the policy. The effort and constraints formed independent variables. These were measured to determine their relationship to the dependent variable which was full implementation of the decentralization policy. The study is significant in that it provides in depth knowledge on policy implementation, which may be useful in ensuring that policies are implemented fully and timely. To establish a base for the study, related works done by scholars and organizations within Zambia, in other African countries and beyond, were reviewed.

The study sample included 115 respondents and 15 key informants, making a total of 130 subjects. Probability sampling methods used in selecting respondents included stratified random sampling and lottery methods. A non-probability sampling method used in selecting key informants was purposive or judgmental. The study adopted descriptive and explanatory study designs within a case study approach. This is because both qualitative and quantitative data were collected. Qualitative data were collected by desk research and oral, recorded interviews. It was analyzed manually by using narrative methods of deductive and inductive. Quantitative data were collected by self-administered semi-structured questionnaires and interview guides. It was analyzed by using the Statistical Package for Social Sciences and Microsoft excel soft wares

The study shows that very little effort is being made to counter the constraints in implementing the policy. This is due to lack of central government commitment to provide resources to local institutions. Failure to follow the implementation process

as out-lined in the Decentralization Implementation Plan and weak political will towards implementation of the policy, among others. Measures taken include putting in place an implementation plan and relevant institutions.

The study results also show that, there is lack of knowledge about policy contents and a weak legal framework. Furthermore, institutions are ill equipped and are therefore non-operational. There is a negative attitude by implementers (local government practitioners) towards the policy. These are the major constraints in the implementation of the policy.

From the above findings, the study recommends that central government should provide adequate information to all stakeholders on the implementation of the policy. Use of major local languages in information dissemination on decentralization processes should be considered. Government should strengthen the legal framework that supports implementation of the policy. Adequate resources, human, financial and material should be provided to institutions involved in the implementation process to make them operational. The ministry of local government and housing should motivate, educate and train local government practitioners to make their attitude towards implementation of the policy positive. The decentralization implementation plan needs to be followed strictly by all stakeholders.

## **DEDICATION**

To the memory of my late parents, Fanny ZuluChulu and Abel SailesiChulu, my brother, Grandson Chulu, and my sister Lydia Chulu, who committed their lives to my education.

## **ACKNOWLEDGEMENT**

Credit is given to all who contributed to the production of this work. Particular mention of the following individuals is worthy making;

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## **LIST OF ABBREVIATIONS AND ACRONYMS**

D.A.O	District Administrative Officer
D.C.	District Commissioner
D.D.C.C	District Development Coordinating Committee
D.D.T.F	District Devolution Task Force
D.I.P	Decentralization Implementation Plan
DEBS	District Education Board Secretary
D.S	Decentralization Secretariat
F.B.O	Faith Based Organization
GRZ	Government of the Republic of Zambia
LGA	Local Government Act
LGP	Local Government Practitioner
MMD	Movement for Multiparty Democracy
M.P	Member of Parliament
M.L.G.H	Ministry of Local Government and Housing
M.D.C	Mambwe District Council
N.D.P	National Decentralization Policy
MESVTEE:	Ministry Of Education, Science, Vocational Training and Early Education
N.D.C.C	National Development Coordinating Committee
N.G.O	Nongovernmental Organization
P.S.R.P	Public Service Reform Program

P.F	Patriotic Front
P.S	Permanent Secretary
P.D.T.F	Provincial Devolution Task Force
PSMD	Public Service Management Division
P.D.C.C	Provincial Development Coordinating Committee
UNIP	United National Independence Party
W.B	World Bank
ZULAWU	Zambia United Local Authority Workers' Union
Z.N.D.P	Zambia National Decentralization Policy
Z.A.W.A	Zambia Wildlife Authority

## **CHAPTER ONE**

### **1.0 Introduction**

This chapter endeavored to give a base to the study. It includes the background, study objectives, conceptual framework, and literature review and study methodology. In the background, consequences of delays in the implementation of the national decentralization policy have been outlined. Origins of the Zambia national decentralization policy are traced; reasons for attempts at devolving government and objectives for decentralization are given. In the conceptual framework, the study is integrated into the elitist approach to policy making and implementation. In addition, terms and concepts such as decentralization, policy, implementation, constraints, effort and evaluation are clarified operationally. In reviewing literature, works by Sinjwala and Malupande, Kasoma A. and Katemwe M. were cited within Zambia and works by Dulani B, Bashaashaa, Shivji and Peters constituted studies from other African countries. Experiences from other continents of the world were drawn from works by Craig J., UNESCAP and United Nations Development Plan.

### **1.1 Background to the study**

Since attainment of self-rule in 1964 and before, Zambia has been striving to institute measures that would culminate into a government that is decentralized to the level of devolution. This is evidenced by several local government and administration Acts of 1965, 1980, 1991 etc. Several reforms such as the Public Service Reform Programme (RSRP) of 1993, culminated into the conception and adoption of the Zambia national decentralization policy in 2002. It is hoped that the subsequent implementation of the decentralization policy would promote good governance and social economic development in the country. This is because the policy provides vision and objectives for a well and fully decentralized system of governance. This is why the delays in implementing the policy are worrying. As a result of these delays, there is uncertainty in local authorities and sector ministries and government departments concerning what will be done in regard to decentralization in Zambia.



There are doubts as to whether it is feasible that local authorities could assume functions of several central government ministries amid existing capacity challenges in almost all local government institutions in the country.

Local government officials are anxious about what will happen to their portfolios upon full implementation of the policy. The delays in implementing the policy are worsening these doubts and anxieties. Consequently, smooth delivery of services to local communities is negatively affected.

The delays in implementing the policy have caused other stakeholders such as Parliamentarians, NGOs, FBOs and other Civil Society Organizations to direct their efforts towards the decentralization implementation agenda, as opposed to their mandate of lobbying government to promote social economic development of the people. Indeed, many citizens who hold positions of influence are being attracted to the debates around implementation of devolution in Zambia, as opposed to advocating for socio economic empowerment, poverty reduction, good governance and other issues of national development. It is clear that delays in implementing the policy are misdirecting stakeholders' time and energy from issues of national development to endless debates on decentralization. Timely implementation of the policy could save the country time and energy. It would help to redirect the nation's focus towards more pressing demands and challenges that the country is facing. The delays in implementing the policy have also meant that more resources are being spent on sustaining ad hoc institutions created to spearhead the implementation of the decentralization policy such as the Decentralization Secretariat at the Ministry of local government and housing. This may reduce the capacity of the ministry to perform its more important functions, as priority is given to issues of decentralization. Already, the ministry has been preoccupied with issues of decentralization for close to 15 years now since 2002 when the policy was conceived.

Origins of the decentralization policy of Zambia can be traced from 1980 when the local government Act was enacted, Caritas-Zambia(2011). This Act gave powers to the party in power, UNIP, to run councils. District governors, appointed by the President, took over the functions of mayors and council chairpersons.

The Chief executive of the council was the district executive secretary. By this Act, councils throughout the country came to be known as district councils. In 1991, the 1980 decentralization Act was amended. The Movement for Multiparty Democracy (MMD) government wanted to give more autonomy to councils so that there would be less dependence on central government for funds.

As Caritas-Zambia (2011) notes, the 1991 local government act made councils operate more freely from political interference since all councilors were elected by the people.

Among others, the reasons for attempts at implementing the decentralization policy in Zambia include: reducing delays in decision making, as most decisions would be made at the point of implementation other than referring to headquarters, making plans and programmes more relevant to local needs and conditions, improving coordination among different government agencies in an area and reducing the burden on senior staff at national level in order to improve their performance, Appendix A, NDP(2002).

In addition, the policy has objectives which, if met, would enhance economic development of the nation. These include, empowering local communities, ensuring bottom up planning / budgeting, promoting accountability / transparency and developing the capacity of local authorities in services delivery, among others, (ibid).

From the vision, reasons and objectives of the decentralization policy, there is no doubt that the policy conceivers meant well. The clarity in the contents of the policy gives hope that if it is handled properly during the implementation stage, there could be a well decentralized system of governance in Zambia.

### 1.3 **Problem statement**

Zambia conceived and adopted a decentralization policy in 2002. The policy is aimed at decentralizing governance to the level of devolution, thereby, promoting good governance, empowerment of the local people and social economic development. It is a framework within which decentralization is to be conducted in the country for national development, NDP(2002).

However, there have been delays in implementing the policy fully, which have caused uncertainty, anxiety and doubts, misdirection of financial, human, time and energy resources in local authorities and sector ministries, DIP(2009). Delays in public decisions making, lack of co-ordination among government agencies, over burdening of staff at national level have continued, despite revising and re-launching the policy in July 2013, at the eve of 100 years of Lusaka city.

Furthermore, local people remain un-empowered, national decision making, planning and budgeting is still top-down. The constraints that stakeholders are facing in implementing the policy are not well known and measures being taken to ensure full implementation of the policy are not well established.

## **1.4 Study objectives**

### **➤ General objective**

To investigate constraints and effort made in the implementation of the national decentralization policy in Mambwe district.

### **➤ Specific objectives**

- i. To identify measures taken to ensure full implementation of the decentralization policy in Mambwe district.
- ii. To determine constraints faced in implementing the decentralization policy fully in Mambwe district.

## **1.5 Research questions**

To investigate this problem, the study was guided by the following questions which mirror the objectives:

1. What measures are in place to ensure full implementation of the decentralization policy of Zambia in Mambwe district
2. What are the difficulties causing delays in implementing the decentralization policy of Zambia in Mambwe district

### **1.6 (i) Significance of the study**

The study helped the researcher, who is a student of public administration, to gain an in depth knowledge in public policy conception and implementation. In addition, the study was done as a requirement for the award of a Master of Public Administration degree.

Above all, findings of this study will help policy conceivers and implementers or policy analysts to understand why policies are easily conceived but eventually remain unimplemented. This is, as the case is, with many policies in Zambia. The insights into reasons for policy implementation delays or failure provided in this study may help to minimize wastage of resources by ensuring timely implementation of policies.

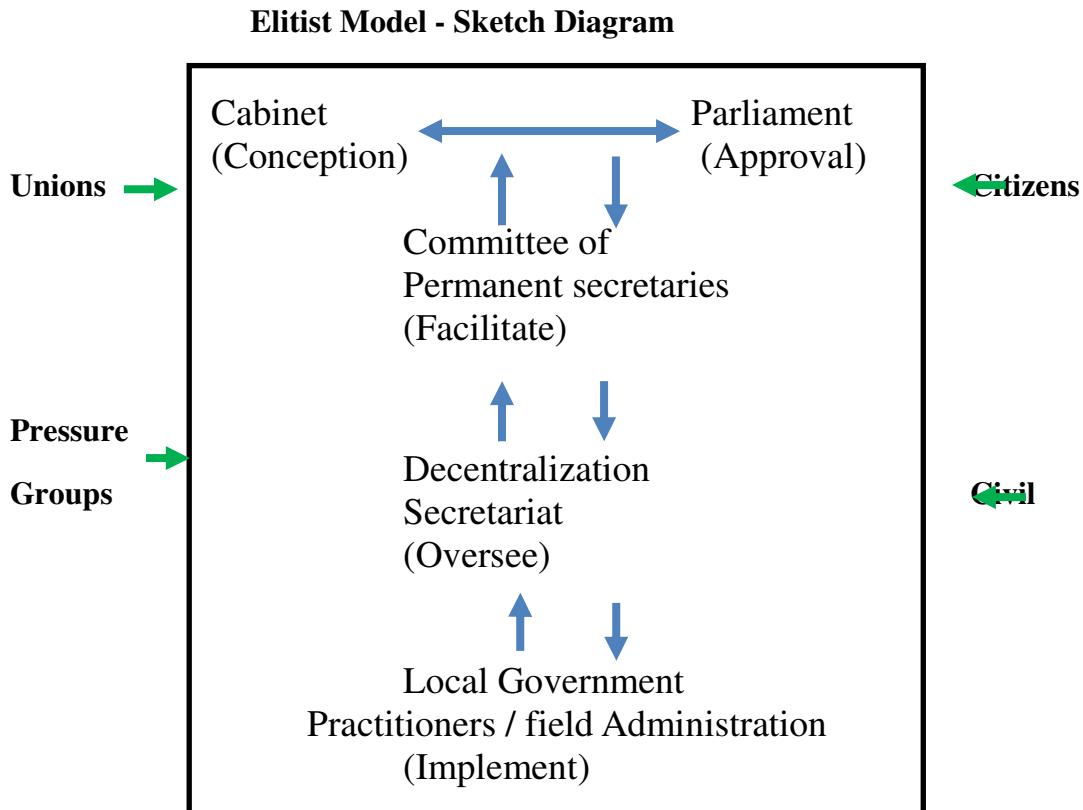
### **1.6 (ii) Justification for the case**

MambweTownship is among the areas inhabited by a sizeable population of civil servants, private sector employees, entrepreneurs and other enlightened settlers. These were thought to be conversant with the research content. Furthermore, MambweTownship has several government, civil society and private departments or institutions. The study site has a smaller number of households and a lower adult population compared to most township in the province. The sample size drawn was, therefore, more representative of the population within the district.

Mambwe district was part of Chipata district until it was made a district in 1994. It will, therefore, represent several districts formed in the spirit of decentralization in Zambia. The district was selected in order to give a balanced view of the study. This is because Mambwe is one of the districts in the province with features of peri-urban, rural and remote. Furthermore, the researcher is based within the district township. This eased the tasks of data collection, as all places and cultural values of the people within the district were familiar.

## 1.7 Theoretical framework

There are two main approaches to public policy conception and implementation. These are elitist and pluralist models. The elitist approach, is what the study on implementation of the decentralization policy is premised on, (Sketch diagram):



(Source: DIP, 2009)

According to Haralambos and Holborn (2007), the Elite theory sees power in society as being monopolized by a small minority (elite). It sees society as divided into the ruling minority who exercise power through the state and the majority ruled. There are a number of ways in which elite theorists differ. They do not agree as to whether elite rule is desirable or beneficial for society; they differ in their conclusions about the inevitability of elite rule and they do not agree about exactly who constitutes the elites. However, elite theorists agree that elites can be political, civil and economic.

Haralambos M and Holborn M (2007) state that, classical elite theory was first developed by two Italian sociologists, namely, Vilfredo Pareto (1848-1923) and Gaetano Mosca (1858-1911).

They both saw elite rule as inevitable and dismissed the possibility of a proletarian revolution, leading to the establishment of a communist society. They were arguing against Marx's view of power and the state. Pareto believed that elites poses more cunning or intelligence, while Mosca saw them as having more organizational ability. He attributed this to social inequality; those with more ability than others occupy elite positions in society. They take major decisions affecting society. Pareto believed another; a process he called circulation of elites. In this cycle of elites, he identified two types of elites; the cunning foxes and the strong and decisive lions. Each type would be superseded by the other. Despite criticism, the general view held by the two proponents through organizational ability and hold positions of power, remaining influential to modern scholars. It is influential to this research work.

The main thrust of the contemporary elitist model is that policies should be planned, formulated and implemented by a small group of individuals on behalf of everyone. This small group of individuals, who by virtue of the positions they occupy in certain organizations, wield a lot of power and authority, are called the elite. In the conception, formulation and implementation of the national decentralization policy in Zambia, two types of elite people exist; political and civil elites. The political elite are individuals who occupy elective positions such as the President, Cabinet Ministers, Members of Parliament and Ward Councilors or Mayors. On the other hand, civil elites are unelected officials who are recruited or appointed on the basis of their educational and professional attainments. They have conditions of service which are different from those of the Political elite, Mafuleka, (2005). These include secretary to the Cabinet, permanent Secretaries, and their assistants, all civil and public servants concerned.

In integrating the elitist approach into our study, the concern is what these key players, the elite, are doing to ensure full implementation of the decentralization policy and make devolution a reality in Zambia. As such constraints and, the activities or actions that constitute effort in the implementing the policy were the independent variable. These were measured to determine their relationship to the dependent variable, which is, full implementation of the decentralization policy, Bless and Achola (2001).

In the conception and implementation of the decentralization policy in Zambia, the political and civil elite work as integral partners (see sketch diagram on page 7). Cabinet headed by the President conceived the decentralization policy through reviews of several Acts on governance. Cabinet then came up with a committee of permanent secretaries from all sector ministries. Cabinet represents political elites whereas permanent secretaries represent the civil elite. The committee of permanent secretaries was put in place to initiate and facilitate the policy process of decentralization. The committee of permanent secretaries came up with a decentralization secretariat which had to do a revision of previous documents to come up with the current national decentralization policy.

The decentralization secretariat operates under the ministry of local government and housing. The secretariat also came up with the Decentralization Implementation Plan, NDP(2013). The preceding paragraph exemplifies the elitist approach to public policy making and implementing where, the political elite, Cabinet and the civil elite, permanent secretaries and decentralization secretariat, work in coordination in conceiving and implementing the decentralization policy without involvement of all citizens.

However, the diagram (page 7) show that stakeholders outside the policy circle are affected or concerned with the policy process though not directly involved. The key implementers of the policy are local government practitioners, sector management officials, field civil servants and political leaders. These act under the instruction of central government. Other features of elitism in the decentralization policy process include; the adoption of the policy document by Cabinet and the launching of the policy by the state President.

In policy processes such as decentralization, the elitist model may be favored because it may guarantee speedy action, provide classified relevant data, ensure careful examination of the policy issues and reduce financial expenses. The model however, is not without fault. It is restrictive, less democratic and can cause despotic rule. This is because, a small group of individuals tend to convince itself that it is there as a think tank for others who are supposed to just observe and obey its ideas.



Yet, it is common knowledge that some elite members may be far less educated and knowledgeable in certain policy issues than the members of the general public. This is more so in nations where high levels of education are not set as a pre requisite for entry into the political domain, Mafuleka W, (2005).

### **Conceptual clarification**

To make understanding of the study easy, some concepts need to be defined as they are applied in the study.

### **Decentralization**

The concept of decentralization has been subjected to a bewildering variety of manipulations. It is thus difficult to define precisely. The Macmillan dictionary of advanced learners defines decentralization as; “to take power from a central government or organization and give it to several smaller and more local ones, Macmillan dictionary (2003, 354). However, the practice of decentralization that concerns us is the devolution of responsibilities to local authorities with the resultant autonomy of these bodies, which is underscored by the principles of popular representation, participation and self-government. For this purpose, the definition of decentralization in the Zambia decentralization policy booklet, which was adopted in this study is; ‘the transfer of responsibilities, authority, functions, as well as power and appropriate resources, to the provincial, district and sub district levels from central government,’ Appendix B, DIP(2009,2).

Decentralization takes four main forms. These include devolution, as earlier mentioned, delegation of functions to local institutions, deconcentration of administrative tasks to local organs and the transfer of functions to technical bodies, such as, public enterprises or privatization, World Bank(1989). These forms are more clearly classified in the revised national decentralization policy. Appendix A, N.D.P (2013; iv–v). Deconcentration is seen as the transfer of functions and resources to lower units of the same administrative system, while authority over decision making and use of such resources remains with the center.

Devolution, on the other hand, is seen as the transfer of some powers and authority, functions and resources by legal and constitutional provisions to lower levels of government. Delegation is the transfer of functions and resources to a subordinate authority with the capacity to act on behalf of central government. On the other hand, privatization is the divestiture of state interest in public enterprises and the subsequent sell of such to the private sector, Lolojih P.K(2005)

Decentralization maybe applied in different ways. These include geographical or physical, institutional and political, World Bank(2002). Geographical or physical decentralization is achieved by fragmenting the country into regions, provinces, districts, constituencies and wards. Within Zambia's constitutional provisions, the central government is mandated to create "new" regions such as the ones mentioned.

Creation of these regions has been ongoing in Zambia. The current Patriotic Front administration has taken creation of regions to a much higher level by creating 30 districts and one province within two years. There are claims that increasing the number of districts brings development closer to the local communities.

Lolojih, P. K(2005) gives three objectives for decentralizing government. These are maintenance of law and order in the locality, fostering democratic, popular and participative government and promoting rapid social-economic development. Lolojih argues that, government is decentralized for several reasons. He advances that; "each public service should be provided by the jurisdiction, having control over the minimum geographic area that would internalize benefits and coast of such provisions," *ibid* (2005; 112). He outlines benefits of decentralizing government as follows: Local governments understand better the concerns of local residents, local decision making is responsive to the people for whom the services are intended; efficiency is encouraged, especially if financing of services is also decentralized and inter-jurisdictional competition and innovation are enhanced.

Prud'homme R(1989) gives a balanced argument against and in favor of decentralizing government. In favour of decentralizing government, he argues that, since local public services tend to vary from place to place,

only the decentralized provision of local services will adjust to the multifaceted demands. Furthermore, local governments are regarded as training grounds for democracy, and that strong local government can control the natural tendency of central government of becoming all powerful leviathans Prud'homme R(1989). In addition, he argues in favour of decentralization by stating that; "Local governments can coordinate local public services much more easily than national governments", *ibid*(11). He further argues that local government is favoured for efficiency purposes. It is supposed that locally financed and produced services will cost less because they will be produced at a lower cost. By localizing government, time will be saved; local resources will be used responsibly because oversight will be exercised. Consequently, costs will be lowered relative to what they would be if the same services were provided by central governments, *ibid*.

As the World Bank observes, creating or strengthening decentralized structures such as local authorities corresponds to the need for better management of resources available for urban and regional development, World Bank(2002). Decentralizing government also permits the establishment of a basic services delivery system that is most flexible and best adapted to local constraints.

In spite of the advantages, decentralizing government is not a panacea for social – economic development. The strong reason behind the current trend in favour of this practice should not prevent us from looking at the equally strong arguments against it. In his argument against decentralizing government, Prud'homme R(1989) observes that it can produce sizeable gaps between rich and poor regions, if there are no mechanisms to offset or equalize these developmental gaps. The state can also find its stabilizing role weakened and its financial resources diminished as a consequence of decentralizing and strengthen local government. Increasing the number of government structures can also result into increasing administrative corruption.

Other arguments in favour of centralizing, as opposed to decentralizing government, include that, a centralized system is more equitable. It makes it possible to equalize levels of publicly provided services, such as education and health, over space. Centralizing is redistributive whereas decentralizing government is distributive or divisive.

Income redistribution for social and political reasons, which is a major objective of public policy, is easier in centralized systems than in decentralized ones. As observed, decentralizing government may be a segregative mechanism, in that, richer areas will raise more taxes and provide better services, thereby, increasing disparities between regions, Prud'homme R (1989).

The World Bank observes that centralizing, as opposed to decentralizing government, makes it easy to conduct macro-economic policies. In a highly decentralized system, central government may be powerless, making the conduct of soundy macro –economic policies difficult. It is further argued that centralized governments may perform better in terms of accountability.

Locally elected officials may yield to the pressures of vested local interests more easily than central government bureaucrats as they may be more competent and are not subjected to re-elections. On the other hand, central government bureaucrats are controlled by their hierarchy and are often foreign to the local areas, World Bank(2002). It may, therefore, be more difficult to control corruption at local level in a decentralized system. As such, decentralizing government may increase the overall quantity of corruption.

As Prud'homme and the World Bank observe, decentralizing government can generate its own problems. Therefore one should be cautious in applying it. The process must be evaluated in the light of different political, social and economic conditions of each country, so as to ensure that local loyalty does not over ride national unity. Once the risks are taken care of, the decentralization process can be developed, regardless of the nature of central government, so as to enhance efficiency.

### **Decentralization Policy**

Policy is defined as a planned guide or a course of action to realize objectives. It is a series of intentions to be translated into practice at a later stage. Policy is a set of goals or objectives yet to be realized through the process of implementation. This is the meaning adopted in this study. For policies to be implemented, an Act of parliament plays a significant role, as it states what should be done or should not be done.

Any policy should, therefore, have strong constitutional backing. For the decentralization policy, both the legal and institutional frameworks were reviewed to assess the legal backing, Mafuleka W(2005)

Policies can be conceived by individuals, organizations, clubs, enterprises government and associations. The concern in this study was policies conceived by government or the state also known as public policies. Such policies earn a rubric of being public because their implementation is made possible by the application of resources which are publicly owned and are often mobilized from the people through taxation. Furthermore, the bureaucrats who implement state policies belong to the people and their' salaries are partly derived from funds obtained through taxation, *ibid*. The decentralization policy of Zambia is a public policy because it is of general ownership and of general concern to all citizens of Zambia. The political community, (voters)give electoral mandate to the institutions of government to make policies on its behalf.

The decentralization policy is public because it guides the actions or behaviors of all institutions and everyone in the country. Since the colonial era, Zambia has striven to achieve decentralization at devolution level. However, direct attempts at decentralizing central government were seen during the era of the new deal administration of late President Levy Mwanawasa. This administration adopted the policy through cabinet on 18<sup>th</sup> November, 2002. The policy was subsequently launched by the President on 20<sup>th</sup> August, 2004. NDP (2013).

The national decentralization policy is a document that provides a vision of a well and fully decentralized system of governance. The document elaborates on the upholding of a democratically elected system of governance, characterized by an open, predictable and transparent policy making and implementation process as well as full participation in decision making by communities in their affairs, *ibid*. The document further spells out how sufficient linkages between central government and the district as well as sub district structures are to be maintained. It is a road map on how power, authority and resources are to be transferred from central government to lower institutions.

Apart from the vision, the national decentralization policy has clearly spelt out objectives of decentralization in the Zambian context. Since its inception in 2002, the policy has undergone major revisions, the latest one being in 2013.

The road map to the decentralization reforms was reviewed further recently, in 2013. The revised policy takes cognizance of the critical role of the traditional leaders in national development. It provides for district chiefs' councils and village councils, NDP(2013). The 2013 version of the national decentralization policy was launched by President Michael Sata on the 16<sup>th</sup> of July, 2013.

### **Implementation constraints**

The dictionary meaning for constraints is a thing that limits or restricts something. It is a situation that limits ability or capacity to do something. Constraints can be of time, money, and space, legal, political and so forth, Advanced Learners Dictionary(2007). Constraints, in this study, were perceived as difficulties that limit stake holder's ability to fully implement the decentralization policy.

Constraints are obstacles that delay or hinder timely, full and successful implementation of the policy in Zambia. In other words, constraints are the causes for the delay or failure to fully implement the policy on time. They are problems that make the implementation of the policy hard to undertake.

The advanced learners' dictionary defines to implement as; making something that has been officially decided, start happening or be in use,ALD(2007). In the context of this study, implementation of the decentralization policy refers to making the policy start working. It refers to seeing to it that what is planned in the document starts happening the way it was planned and at the time it was planned to happen. It means ensuring that the objectives of the policy, as stated earlier, are being realized and that the desired form of decentralization, which is devolution, is being attained in Zambia.

### **Effort Evaluation (Investigation)**

The dictionary definition of effort is, "an attempt to do something, especially when it is difficult," ALD (2007; 489).

Effort also refers to activities that are done or are organized in order to achieve something or set objectives. Similarly, in this study, effort was perceived as the necessary activities undertaken by stakeholders to ensure that the implementation of the national decentralization policy is full and timely. Effort pointed to measures that are taken to make the implementation of the policy possible and easier. Effort referred to actions, activities that stakeholders have done or are doing in facilitating the implementation of the policy. Effort is also perceived as the amount of physical and mental energy exerted on the implementation of the policy in order to ensure that it is done as planned. It is the input into the successful implementation of the policy.

In investigating or evaluating effort, the researcher attempted to assess or appraise what is going on or not going on, what is being done right or wrong in the implementation of the policy. The researcher sought to find out what is being done to ensure that the constraints of implementing the policy are overcome or minimized. From the preceding explanation, it is clear that evaluation is a systematic method of careful collection of data, critical analysis of data, drawing inferences from data analysis and using collected data to improve the performance of current and future policy processes.

In this regard, evaluation is a form of research that is necessary when implementing policy or effecting different steps and methods to reach the goals of the policy, Bless and Achola, (1998).

For this reason, evaluation takes two aspects, depending on the stage of the policy, programme or project. Summative evaluation takes place at the end of a policy programme, after the policy has been fully implemented or when a programme is fully developed. This type of evaluation was not the concern in this study. The study embraced formative evaluation which takes place at an early stage that is, the stage of formation, building up, or specifying ways in which to achieve the goals of the policy programme or in the implementation stage, *ibid*.

This means that, in evaluating effort in the implementation of the decentralization policy, the concern was to investigate whether the theoretical contents of the policy are being adequately operationalized and whether the methods or, more specifically,

the material contracted to implement the policy is well conceived for its purpose. Formative type of evaluation used in this study is an internal assessment of the quality of a policy and its contents within the implementation process or stage.

Therefore, the study attempted to identify and operationalize constraints in the policy implementation process. It also attempted to find out if the methods to contain the problems in implementing the policy have been correctly chosen or applied and whether resources and channels of communication are sufficiently developed or provided.

Evaluation takes various criteria which include impact, efficiency, responsiveness, effort and so forth, as observed from the preceding explanation.

This study took the criterion of effort. This is because the decentralization policy implementation programme is still in its early stages, despite it have been conceived nearly 15 years ago. It is for this same reason that the evaluation was formative.

### **Asymmetric information**

This refers to unbalanced or unequal access to information among stakeholders. It is a situation in which some are having the information while others do not have.

Some having knowledge of phenomenon while others do not have. In this study, asymmetric information refers to a situation in which not all stakeholders in the implementation of the decentralization policy have equal access to information or possess the same information. It is where information distribution is unequal among different categories of people, ADL (1963).

### **Local authority (council)**

Katherine A.H.G(2003) defines local authorities as statutory, deliberative and consultative bodies allocated with a long list of functions amongst which are to administer the affairs of the district in coordination with field administration. The local authorities are, therefore, instruments of decentralization that are created to ensure that local administration is done.



In Zambia, local authorities fall under the ministry of local government and housing which is headed by the permanent secretary whom the departmental heads or directors report to. The top three officials; minister, deputy minister and permanent secretary are appointed by the President.

The officials of a local authority are appointed by the local government service commission, which acts on behalf of the President. Other members of the council are elected representatives. They include the mayor or council chairperson, his or her deputy, area Members of Parliament in the district, ward councilors, three chief representatives, one representative from the security forces and one representative from the labour movement. The town clerk and district secretary are regarded as ex officials of a local authority.

The ministry of local government and housing is responsible for providing policy guidelines, technical support and administrative advice to the local authorities. The administrative structure of a local council is headed by a town clerk or district secretary. He or she is assisted by directors of health, finance, works and administration, among others. To ensure smooth running, local authorities have the mandate to form committees, *ibid.*

In Zambia, local authorities result from demand for administrative decentralization of functions and devolution of decision making power.

Three types of local authorities exist, namely, city, municipal and district councils, GRZ(1991). These can be created by central government through the local government Acts. As such, central government can use its administrative powers to control the councils. The ministry of local government can dissolve councils that fail to perform their duties or are not politically inclined to the ruling party. Councils receive guidelines from government or ministerial officials resident in council areas. For example, the ministry of health may provide instructions to councils on health matters or the ministry of education may inspect nursery schools, run by councils, to improve their standards, Lolojih(2008).

Furthermore, certain schemes or plans of development that a council wishes to undertake have to be approved by central government.

Where the council is not able to carry out a project because of the cost, it can ask central government to assist it. For example, central government, through the ministry of works and supply, may be called upon to provide bulldozers, earth movers, cranes or tractors for local government operations, (ibid).

## **1.8 Literature review**

The conception and implementation of national policies in general and decentralization policies in particular, is a common phenomenon to governments the world over. As a result, several scholars and organizations have attempted to study policy processes from different perspectives. Some of these studies were reviewed so as to give a base to this inquiry. These included studies within Zambia, in other African countries and beyond.

### **1.8.1 Experiences within Zambia**

Sinjawala M. and Malupande C(2005), did a study on **Effort made to decentralize power and authority to local authorities in Zambia**. Lusaka city council was used as a case for the study. The duo concluded that very little had been done to empower local authorities. Among others, the key findings were that Zambian local authorities lacked autonomy since central government still maintained a lot of control and influence over them. They concluded that this was due to the fact that government feared to lose control, power, authority and influence at the local level.

They further concluded that there was less or no effort made to ensure specific financial resource sharing mechanisms between central government and local authorities.

On human resource, they observed that there was need for more effort in capacity building which was inadequate because central government had banned local authorities from sending their personnel for further studies at Masters and PhD. degree levels in preference to short term training. The study further observed that despite pressure from citizens and organizations, there was no effort made by government to remove the office of the District Commissioner at district level, which is a clear counter to principles of decentralization, Sinjawala and Malupande(2005).

The study by Sinjwala and Malupande made significant contribution to the understanding of some aspects of decentralization, namely, authority and power. However, it is necessary to conduct a much broader inquiry that looks at implementation of all aspects of decentralization through a road map such as a decentralization policy. The study by the duo considered only the area closer to central government and local government headquarters. This may have affected the respondents' freedom to give their correct perception of the effort to implement decentralization of power and authority. This much broader and detailed study will supplement the study by Sinjwala and Malupande in that it will go further to identify constraints in the implementation of the policy and consequently, decentralization of government power and authority. To make findings more valid, our study considered a study site that is further from direct influence of central government and national party politics.

This is as opposed to considering city or municipal authorities. This study had balanced responses as the study site used had a mixture of both rural and urban characteristics. This makes these findings more representatives of all categories of citizens.

Another study of relevance was done by Kasoma A(2002). It was an historical research project entitled; **Decentralization: the Zambian effort**. The research revealed that Zambia, since the pre-colonial era, has been trying hard to decentralize the system of governance with different sets of aims and objectives to be achieved. However, Kasoma is quick to note that these efforts were mostly meant to consolidate the power of central government, as opposed to real devolution of power to structures on the periphery.

The findings in Kasoma's study were segmented into decentralization in the pre-colonial era, during the UNIP era, in the third republic to date. In terms of effort towards implementing decentralization, Kasoma concludes that the B.S.A Company performed worse compared to the African traditional leadership in the pre-colonial era. He notes that, during the colonial era, when the Native Authorities were established, a de concentration type of decentralization was introduced by way of indirect rule. Kasoma further notes that during the Kaunda or UNIP era, effort was made to decentralize government. However, Kasoma is quick to point out that, despite the existence of structures of decentralization,

much of Kaunda's decentralization efforts were concentrated on political, administrative or institutional management, as opposed to fiscal, economic or market decentralization, as enshrined in the republican constitution. He concluded that there were signs of avoiding a strong local government system. In later times, Kasoma observes that, there are real attempts seen in decentralizing governance. This, he says, is evidenced by the adoption and subsequent launch of the national decentralization policy.

The study by Kasoma gives a back drop to this study on effort in the implementation of decentralization in Zambia. Apart from the overview given by Kasoma, this study endeavors to find out practical measures taken to ensure implementation of decentralization in Zambia through a national decentralization policy.

The in-depth search into what is obtaining in regard to the implementation of the policy adds to Kasoma's historical perspective of Zambia's effort at implementing decentralization. This study is, therefore incremental to Kasoma's historical analysis.

Another study, within Zambia, was conducted by Katemwe M. in 2003. The study focused on; **Challenges and benefits of decentralization in Zambia**. The study area included five local authorities in Eastern province and comprised 350 individuals. Much of the data collected was qualitative and so were the methods of analysis. The study by Katemwe provided useful insights into the hurdles in implementing decentralization such as political will, resources, infrastructure and attitude of citizens. It, therefore, helped to focus objectives for the current study, correctly. In this study, both quantitative and qualitative methods of data processing are applied,

as opposed to using only one of the two. This is in order to make our findings more valid and more reliable. The integration of challenges and benefits of decentralization, as done by Katemwe, disadvantaged one aspect over the other. The two aspects are unrelated, though used in reference to the same concept of decentralization. In this study, related concepts, namely, constraints and effort are used, (see theoretical framework). The sample size of 350 out of a population of over 5 000 000 from 5 districts may not be representative enough. By restricting the current study to a single district, representativeness of the sample size is guaranteed.

Katemwe's findings may not represent a true impression of the population. This is because the sample is not large enough to be representative of the entire population. This study dealt with a smaller area i.e. one township. This was in order to make the sample more representative of the population and findings more valid. Katemwe's study examined implementation of decentralization nearly 15 years ago. The years that have passed may have eroded some of the findings due to revision of certain Laws and Acts. For example, there have been reviews reforms and revisions in local government acts and policies over the years. These were taken into account in this study.

As earlier stated, Katemwe's study lacked sufficient quantitative data which is very useful in validating facts.

This study aimed at striking a balance between qualitative and quantitative data. As opposed to being broad based, this study was narrow based and in greater depth with a smaller but still representative sample. This helped to minimize computation and analyzing challenges which could affect findings negatively.

### **1.8.2 Experiences from other African countries**

In considering decentralization experiences from other African countries other than Zambia, the study reviewed studies done in three countries, namely, Malawi, Uganda and Tanzania. Dulani B(2010), carried out a study on; **The status of decentralization in Malawi**. The study drew lessons from the Malawian decentralization policy (2004 to 2009). Dulani came up with several findings. These pointed on that;

although the Malawian decentralization policy and institutional reforms are founded on a very strong legal framework, the delay in the amendment of some provisions of the local government Act of 1998 is affecting the pace, as well as the tempo of implementing the Malawian decentralization policy. This is because, as Dulani states, the provisions of the 1998 local government Act are incompatible with a number of existing laws in the Malawian republican constitution Act of 1995.

From the political will perspective, Dulani notes that there are higher levels of reluctance for the real devolution of political power from the center to lower levels of government.

The district assemblies formed from the merger of district councils and district administration structures have not assumed their intended role of autonomous decision making bodies at district level. They are, instead, functioning mostly as implementing agencies of central government. Fiscal decentralization is not implemented as provided for in the Malawian decentralization policy. Furthermore, Dulani notes that, the capacity in most of the newly decentralized institutions is very limited. Dulani alludes this to constraints in financial and human resources, as well as to little adherence to the operational requirements of the majority of the local institutions. On sectorial devolution, Dulani observes that, not many sectors and departments have decentralized their functions to the local assemblies as demanded by the decentralization policy.

This study benefited greatly from the observations made by Dulani in the Malawian decentralization policy implementation process.

The challenges and gaps in the process of implementation helped to come up with appropriate questions in the instruments of data collection. The study provided insights into constraints and effort in the implementation of a Zambian decentralization policy. Dulani's conclusion that lack of political will, financial / human resources and poor co-ordination among stake holders have made it difficult for Malawi to successfully implement a decentralization policy was used as a point of comparison in determining constraints in the implementation of the Zambian decentralization policy in this study. As opposed to a country survey used by Dulani, this investigation uses a case study approach so that the analysis does not fall short of comprehensive empirical data.

This type of data is very useful in validating the findings and it is better collected by using the case study method. Being across - country survey, Dulani's study may have presented challenges of computation and analysis of huge volumes of data. This may have had a negative effect on the findings. To contend this challenge, this study was narrow -based and in-depth but still representative of the target population. Regardless of the pitfalls noted above, Dulani's work was beneficial to this researcher with regard to selection of the research design and to the enhancement of focus in terms of questionnaire design.

Bashaasha B(2011) gives the **Ugandan experience of decentralization** in his works. On the institutional framework, Bashaashaa observes that effort to decentralize government in Uganda can be traced from way back in 1987 when the Resistance Council Committee statute was enacted. The statute legalized the Resistance Committees and gave them powers in their areas of jurisdiction at local level. Bashaashaa concludes that it was after this legalization that the Ugandan government embarked on decentralization implementation programs, with the enactment of the 1993 Resistance Council statute. Furthermore, Bashaashaa observes in his study, that later on in 1995, the decentralization policy was enshrined in the constitution of the republic of Uganda and it was legalized by the local government Act of 1997. This Act established local councils at district, municipal and sub-country (division or town) levels.

These were corporate bodies of local government. They had devolved powers and responsibilities in such areas as finance, political, and legislative empowerment of the people, fiscal devolution and control of the administrative machinery by the local councils.

The above study by Bashaashaa on decentralization in Uganda is very useful to this study. This is because the path taken by Uganda in devolving power, authority and responsibilities to local councils has a lot of similarities with the objectives set for the Zambian decentralization implementation plan. Bashaashaa's study will, therefore, act as a point of reference and comparison to this study. Apart from it being an analysis of constitutional effort at decentralizing government, this study will consider constraints in the implementation of decentralization in Zambia.

This study will thus take a broader perspective on the matter. It will, therefore, add relevant information to other studies such as the one by Bashaashaa.

The other experience of decentralization in Africa is drawn from Shivji and Peters(2003) in their work on; **Decentralization by devolution; A guiding principle of the Tanzanian decentralization**. The duo observed that the main goal of Tanzania's decentralization is to improve the performance of the public sector, increase accountability and put a stop to mismanagement and wastage of resources.

It is noted that, Tanzania followed a decentralization system, which was established in 1972, after the abolition of local government authorities. This action was taken due to perceived poor service delivery and mismanagement at local levels. The duo, however, note that, to the contrary, the action led to deterioration of the social and economic situation in the country. Consequently, local government authorities were reintroduced in 1982. The regional centers retained resources such as man power, expertise and equipment, Shivji and Peters (2003).

The duo further note, in their study, that Tanzania's effort at decentralizing was, to a large extent, a response to donors, as laid down in the Washington Consensus, Gore(2000). The donors were involved in the consultation process such that the World Bank pledged to assist financially and technically. The other observation made by the duo is that the bottom – up planning was adopted to encourage local participation. Therefore, the process of planning developed started from village or Mtaa, to the Ward , then the plans were incorporated into the council plans, regional plans and finally into national plans, Shivji and Peters (2003).

Tanzania gave a unique experience of decentralization reforms which were donor driven. Many lessons were drawn from it to enrich this study. However, this study will be more focused on internal motivation and effort at decentralization, as opposed to external push. Like many other studies, Shivji and Peters' study is inadequate in the use of appropriate research methodology. Research methodology determines the outcomes of any research work. Conclusions drawn from any study may be unreliable if non – scientific methods are used to collect and analyze data. To make the findings and conclusions more valid, this study used appropriate scientific methods of sampling, collection and analyzing of data.

Country surveys, like the ones conducted in Tanzania, Uganda and Malawi tend to cover a much wider area such as the whole country. In such studies, scientific methods of research are seldom used. This is because the sample size is enormous. It is very challenging to accurately gather, compute and analyze huge data in a single study, even by desk research.



This case study approach countered this shortfall by specifying the target groups and limiting the area of study to a small region of a country such as a single district.

### **Experiences from other continents**

Other experiences in decentralization were drawn from countries in other continents of the world other than Africa. Craig J (1999) in his working paper on; **Decentralization in India**, observed that effort on democratic decentralization in India are founded on the notion that government will be more accountable to the local people and more appreciative of their needs and preferences. Craig is, however, quick to point out that even the most ambitious efforts at decentralization may fail to overcome challenges such as poverty and inequalities.

On the other hand, Craig believes that the power to decide development initiatives is often highly dependent on a state apparatus that respects the autonomy of local political institutions.

In his findings, Craig concludes by rating India as an important destination which has provided an important context for understanding the ways in which decentralization can improve the performance and accountability of local government institutions. All this, is alluded to constitutional reforms, as cited by Craig in his working paper. The constitutional reforms passed in 1993 by the Indian government were aimed at democratizing and empowering local political bodies known as panchayats.

Craig points out that, since then, there have been ambitious efforts aimed at creating village-self-rule structures known as gramswaraji. This is implemented in Indian states such as Andrapradesh and Madhyapradesh. These states, observes Craig, have since devolved political,

Administrative and fiscal authority to local panchayats in line with the 73<sup>rd</sup> amendment to the Indian constitution, which deals with district, sub-district and village level institutions in rural areas.

The Indian experience of implementing decentralization gave impetus to this study in that it acted as a point of reference and comparison. India and Zambia are alike in many ways.

As such, the study provided useful information on the institutional framework and constitutional requirements in the implementation of decentralization. Craig's study gave direction to this study in this regard. Other than just looking at one aspect, that is, outcomes of implementing decentralization, this study focuses on the bottlenecks and effort into the implementation process of decentralization. This study is, therefore, complimentary to the one done by Craig in India.

On the other hand, the work by Craig is too general to be of specific use in understanding factors, problems and effort in implementing decentralization. It is about a cross section of a large country like India. This case study was more comprehensive so as to give an in-depth understanding of decentralization efforts in view of obstacles. This is as opposed to a mere description of the institutional structures by Craig.

Furthermore, Craig's work falls short of comprehensive empirical data, collected by using the case study approach, which this research adopted. Regardless of these shortfalls, Craig's work was beneficial in the selection of the research design adopted in this study and in directing focus in terms of questionnaire design. The study was, therefore, a useful guide.

The other study on decentralization from other continents was undertaken in Asia and the Pacific. It involved 15 countries and was commissioned by UNESCAP in 1995. Some of the countries involved were Australia, Bangladesh, China, Korea, Sri Lanka, Thailand, Japan, Malaysia, New Zealand, to mention but a few. The thrust of this study was; **Central government's ability to decentralize**. The aspects of decentralization looked at included finance. Decentralization of finances to local authorities for local self-government, administrative autonomy and sound financial planning was assessed. The study also focused on administrative reforms in the region such as transfer of administrative responsibility.

This study pointed out critical issues on decentralization of government, which are of great relevance to this study. These included implementation of administrative reforms and financial autonomy.

This study, therefore, provided direction to this study with regard to the type of data to be collected and the choice of participants in dealing with objectives on constraints and effort in relation to the implementation of the decentralization policy in Zambia. All in all, the study provided a lot of useful information regarding problems, prospects and effort in decentralizing governance.

However, across-sectional comparison of 15 countries comprising two continents naturally poses great challenges with regard to determination of the nature and amount of data that need to be collected in the study. It also increases the probability of overlooking certain aspects of the study at the expense of others. Such a study falls short of providing a detailed understanding of the problem. In this study, a detailed examination of quantitative and qualitative data has been done for in-depth understanding of the implementation of decentralization.

One more study from other continents, which is of importance, was carried out by the United Nations Development Programme (UNDP) in 1993. The study aimed at **Examining Indonesia's effort in improving service delivery through the implementation of decentralization reforms**. Study observations were that the Indonesian government implemented measures aimed at improving service delivery to local communities. This resulted in economic growth and regional development. The study showed that the situation was not so under policies of national unity and economic stability. The study report also noted that government made effort to improve service delivery by implementing fiscal decentralization through the provision of local grants in order to promote regional autonomy and improve local infrastructure. Challenges to the decentralization effort brought out in the Indonesia study include low professional standards of officials stationed at lower levels of government, low payments for local government officials and lack of promotions.

Many issues relevant to this study were raised in the above elaborated study by UNDP; these issues directed focus relating to objectives on constraints and effort in implementing the decentralization policy in Zambia.

However, the assessment of decentralization implementation provided by the Indonesian study is too general to be of specific use. This study provides a more specific assessment of constraints and effort into the implementation of decentralization. This study will, therefore, be supplementary to the Indonesian experience of decentralization.

### **1.9. Study methodology**

Study methodology includes aspects that show how the study was done, that is, what was done and how was it done. In this study, methodology includes; research design, data collection, analysis and sampling procedures, sample size and ethical considerations.

#### **1.9.1. Research design**

Descriptive and explanatory study designs were adopted in this study. This is because the research endeavored to describe the characteristics of Mambwe Township with regard to effort implementing the decentralization policy.

The study was explanatory because it examined potential relationships between variables that influence implementation of the decentralization policy. Within the context of these designs, a case study approach was embraced, with a view to collecting as much data from the township, as is necessary for this purpose. Explanatory design helped to acquire new knowledge which is added to existing knowledge on the subject of policy implementation. Descriptive design helped in determining the proportion of people within the chosen population, adults of Mambwe Township, who share similar or divergent views on constraints and effort in implementing the policy. The case study approach was preferred to a survey because it enabled a more detailed and thorough investigation of one case, Mambwe township. It enabled consideration of all aspects of the subject matter and study site in much detail, Bless and Achola(1998).

The study design adopted was as a result of the type of data intended to be collected. Both qualitative and quantitative data were collected. As such, the study, dealt with both numerical interpretation of data and description of reality. The two designs reinforce each other, Kambo and Thomp(2000).

In applying the explanatory approach, mainly quantitative data were used to help the researcher understand the constraints and effort in implementing decentralization and focus on the links among a large number of attributes. In applying the descriptive design, mainly qualitative data were used to enable the researcher describe and understand reality across relatively few cases, *ibid*.

### **1.9.2 Data Collection Method**

Data were collected in two ways. This is because data were primary and secondary, Bless and Achola (1998). Both types of data were either quantitative or qualitative. The type of data determines the method of collection. Data for this research was collected between 23<sup>rd</sup> November and 31<sup>st</sup> December 2013. Primary data, which are data collected for the particular purpose of this study, were obtained through field work by using interview guides, observations and self-administered semi-structured questionnaires to respondents.

Questionnaires containing structured or semi structured questions were used because they are a valuable tool for collection of a wide range of information from a large number of respondents. They are a quicker, cheaper and easier way of collecting data. The validity of data so collected is increased by the researcher self-administering the questionnaires to respondents.

Structured questionnaires and interview guides were used to determine the frequency of certain answers, and to find a relationship between answers from different respondents. This was done by comparing the reactions of participants. The advantage of this, is that, the competence and influence of the researcher were much less important and the recordings of the answers was quite straight forward. Tape recordings were used for one on one interviews, so that information is not missed. This helped to avoid incomplete and un-objective analysis. Questions were presented to each respondent in exactly the same way to minimize the role and influence of the interviewer, and to enable a more objective comparison of results, Kambo and Thomp (2000).

Questionnaires were distributed by the researcher, personally to respondents, who filled them in, in the presence of the interviewer.

This was the case especially where the respondent was illiterate or semi-literate, or just needed help. Self-administered questionnaires were preferred to mailed ones because they increase cooperation of respondents, motivate them to share knowledge and help them to understand content, *ibid*. Self-administering questionnaires helped the researcher to understand the mind of the respondents, overcome misunderstandings and misinterpretations of some words or questions and ensured that all items were considered. For the above reasons, self-administering questionnaire was pursued despite it being costly in terms of time and money. Other handicaps of self-administering questionnaires were dealt with by the researcher being technical, professional and categorical in administering them.

Questions in interview guides were mostly open-ended to leave the key informants free to express their answers as custodians of information on the subject of policy implementation. On the other hand, questions in self-administered questionnaires were, mostly, structured. These gave choices of answers or guide lines on procedures to follow.

A combination of open ended and structured questions was used to maximize the advantages of one type over the other. Structured questions were simple, easy to record and score. They allowed easy comparison and quantification of results. Open ended questions helped to reduce the over-restrictiveness or exclusiveness of structured questions. The two types of questions were used to avoid monotony in questionnaires.

Primary data were viewed as the most adequate in fulfilling the aims of the research, since the gathering of such data is directed towards answering precisely the questions raised in the study, *ibid* (1998). Secondary data, which is data collected by other investigators in connection with other research problems but within the context of this research, were collected by desk research. This was done through review of documents such as books, journals, magazines and dissertations of issues relating to the subject matter of this study. Although secondary data were not adequate for this a particular research problem, they were useful in supplementing primary data. This is because secondary data helped in tracing issues, presenting and summarizing the current state of knowledge on policy implementation.

It was also useful in linking the study to a larger body of knowledge and in allowing the researcher to demonstrate his familiarity with the subject under study.

To ensure validity and reliability of findings, a pilot study was conducted in order to perfect the instruments of data collection. It also provided an opportunity for test-retesting, as the same 'test' was administered to the same people.

This guaranteed internal validity and made findings reliable. The pilot study involved 15 individuals; 5 key informants and 10 respondents. External validity was assured by ensuring that the study sample included different categories of people.

### **1.9.3 Sampling method**

Sampling was done in order to collect a small unit from a larger population for accurate generalization about the larger group, Bless and Achola(1998). Sampling was preferred as opposed to collecting data on the whole population of Mambwe district because it is less time consuming and less costly. A large population is spread over a large geographical area of the district. Sampling was, therefore, seen to be the only practicable way to collect data, as the population is so large that collecting data on the whole of it would take ages and make the study infinite, *ibid*.

For this reason, both probability and non-probability sampling methods were used to select respondents. Probability or random sampling procedures were used to give each individual in the population an equal chance, likelihood or probability to be selected into the sample. This prevented biasness and thus improved the quality of the sample. Bless and Achola(1998) Non-probability procedures were used because of the need to obtain specific information from few key informants.

The probability sampling methods used in this study were stratified random sampling and lottery. Mambwe Township was selected purposively. The population of Mambwe Township is divided into three strata, namely:

low cost, medium cost and high cost households. All the households in each stratum were numbered. The house numbers were written on small identical pieces of paper. The papers were placed in a box, mixed well and shuffled.

Then a “lucky number” was drawn which constituted the sample. The process was repeated until the sample size was obtained for each stratum in the district township. For each house drawn, the head of the house became the respondent. The lottery method was favored because it was simple to use and if the targeted home had no respondent available, it was easy to replace him or her by carrying out another draw for a different household. It also provides an equal opportunity of selection into the sample for each element in a population.

A non-probability method used was purposive or judgmental sampling. This was used to select key informants. These were individuals the researcher thought could provide accurate information on the subject matter of research, such as, local government practitioners, political leaders, NGO and FBO representatives *ibid*.

#### **1.9.4Sample Size**

The target population for this study, from which a sample was drawn, is the adult population of MambweTownship. These are individuals who are 25 years and above, and are residents of Mambwe township in either low cost, medium cost or high cost households. Most of them were heads of households. A sample for this study, which is a subject of the whole population being investigated and whose characteristics will be generalized to the entire population, comprised 130 individuals, most of whom are residents of MambweTownship.

Sixty (60) respondents were selected from low cost households, 40 respondents were selected from medium cost households and 15 respondents were selected from high cost households of Mambwe township. Thus a total of 115 respondents were selected. Similarly 10 key informants were selected from the district. Two key informants were picked from the provincial local government administration, two were from the Ministry of local government and housing headquarters and one was from the decentralization secretariat. In total 15 key informants were selected.

The categories of the key informants included senior management officers and union members in councils, senior public officers from ministries and departments of health,



education, agriculture, works and supply, among other. Others included politicians, NGO, F.B.O representatives and members of sector devolution task forces.

#### **1.9.5. Data analysis**

Numerical or quantitative data were measured statistically on the interval and ratio scales to obtain tables and graphs. These were used to interpret findings. These data were processed by using Microsoft excel and Statistical Package for Social Sciences (SPSS). Using SPSS, descriptive statistics, namely, frequencies and cross-tabulations were obtained for the analysis.

Frequencies were mainly used to show the percentages, while cross-tabs were used to make comparisons among responses given by different respondents. The data were translated into tables and figures by using Microsoft excel. Tables were used because they display information in a more detailed way and can contain data on two different variables, for example, category of respondents and knowledge about policy contents were displayed, on one table. Figures were used to summarize the findings using one variable only for this purpose, bar charts were preferred. On the other hand, non-numerical or qualitative data were analyzed manually. This was done by using deductive reasoning in order to generate hypothesis and test theories, as well as by providing broader perspectives of occurrences from specific instances respectively, in emerging themes.

#### **1.10. Limitations of the study and ethical considerations**

The limitations of this study included limited time. Some targeted respondents were not available. However, these were easy to replace because the sampling method used provided room for replacement.

Key informants who were given questionnaires to complete at their own time took long to do so. The pace at which they were returning completed questionnaires was very slow, as most of them were busy strategic officers. This slowed down the research process. Wrong entries for questions contained in questionnaires were minimized by self-administering questionnaires.

A pilot study involving 15 respondents was carried out to test the instruments of data collection. This improved the validity and reliability of findings. Furthermore, more questionnaires than the required number were distributed.

### **Ethical considerations**

The rights of research participants were respected. Persuasion as opposed to forcing them to cooperate was exercised. In so doing, their cooperation was increased.

The rights of those who refused to take part were also respected by insuring that participation in the research was voluntary. Direct consent for participation was obtained as all participants were adults, who were aware of the aspects of participation.

Anonymity of participants was guaranteed in both data collection and processing. This was done by using members, groups, averages, percentages, official titles, organization or department names, as opposed to using names of participants. Observing anonymity helped to avoid biased responses from participants in this study, Bless and Achola(1998).

Participants were also assured that the information given would be treated with confidentiality and that data would be used for the stated purpose of research, that is, academic and that, where possible, government may access the report documents but not necessarily the interview data. Assurance of confidentiality made respondents feel free to given honest and complete information, mostly, where data was collected by using interview methods, involving tape recordings.

The above ethical considerations were made in view of the fact that the impact of research does not end at report writing. The use to which this study maybe put was also of concern to this researcher. Therefore, participants had to be protected in all areas, socially so forth.

### **1.11 Conclusion**

The preceding chapter created a base for this study by giving the background, objectives, methodology and review of literature as the major components.

In the background, negative outcomes of the delays in implementing the decentralization policy are stated. These include uncertainty and anxiety in local authorities and among local government officials respectively and the subsequent continuing poor delivery of services. Other negative outcomes of the delays in implementing the policy include misdirection of energy and wastage of stakeholders' time. These include NGOs, parliamentarians, ministers, FBOs, and other influential citizens, who have increased their focus on implementation of the decentralization policy at the expense of them focusing on issues of national development.

It was noted in this chapter that the delays in implementing the nation decentralization policy have resulted into directing more resources towards sustaining ad-hock institutions that are there to spearhead implementation of the policy, such as, the Decentralization Secretariat. This is in addition to expenses on meetings, workshops and other activities held to deliberate on implementation of decentralization. It was also noted in this chapter that the operating capacity of the ministry of local government and housing may be reduced as a result of giving priority to issues of decentralization for a long time.

Within the background, reasons for Zambia's attempts at decentralizing government and objectives of the decentralization policy were stated. As a result of the negative effects of the delays in implementing the decentralization policy, constraints that may be a probable cause for this delay and measures to counter the constraints constituted the research problem. Therefore, the research was aimed at evaluating effort made to counter constraints being faced in implementing the decentralization policy.

The study embraced the elitist model for policy making. Furthermore, key terms were defined operationally, so as to enhance understanding of the research contents. These terms included local authority, decentralization, decentralization policy, constraint and effort. Local authorities are seen as instruments of decentralization, created to ensure that local administration is done.

Chapter one also reviewed nine studies relevant to this research work drawn from within Zambia, other African countries and beyond. Most of these studies made significant contribution to the understanding of some aspects of decentralization such as huddles,

benefits, implementation procedures, role of donors, among others. The studies acted as points of references and comparison to this study. However, many of these works reviewed were cross sectional comparisons of several countries. They were thus too general and broad to be of specific use. They also lacked scientific methodologies of data collection and analysis. Others were conducted in an environment which was not neutral, as such, they lacked an in depth search into the phenomena. Furthermore, many of the studies reviewed included samples that were either too small to be representative of the population or so large that they posed computation and analyzing challenges which may have affected results negatively.

The study design was both descriptive and explanatory within which a case study approach was embraced. This is because both qualitative and quantitative data were collected. Data were both primary and secondary. Primary data were collected by field work using interview guides and self-administered questionnaires while secondary data were collected by desk research.

Numerical or quantitative data were measured statistically, while non-numerical or qualitative data were measured manually. Probability sampling methods were used to select respondents. These included stratified random sampling and lottery methods. A non-probability method used to select key informants was purposive or judgmental sampling. The sample size was 115 respondents and 15 key informants, making a total of 130 individuals. Limitations included little time, uncooperative respondents and informants, among others.

Ethical considerations were made by exercising persuasion, voluntary participation, anonymity of participants and confidentiality.

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## **2.0 CHAPTER TWO: CONTEXUAL PROFILE AND ORGANISATION OF MAMBWE DISTRICT AND TOWNSHIP**

### **2.1 Introduction**

This chapter will give some characteristics of the study site and study area in which the research was carried out. The study site is Mambwe Township and the study area is Mambwe district. This is in order to give the readers knowledge of the essential features of the township or district and enable them to put the rest of the study material into the right perspective. The relevant contextual features include; geographical, demographic, social, economic aspects and organization of the township. Geographic aspects include the township's locality in relation to the district, surrounding areas and the country at large. Demographic aspects will include population size, growth and density, ethnic groupings, villages and other settlement areas. Economic aspects include the major occupations of the people in the district, trading areas and public transportation within and out of the township. Social aspects include various social sectors within the township such as education, health, sanitation and water supply. In addition government departments and Nongovernmental Organizations in Mambwe Township will be identified.

### **2.2 GEOGRAPHIC AND DEMOGRAPHIC ASPECTS.**

#### **2.2.1 Geographic**

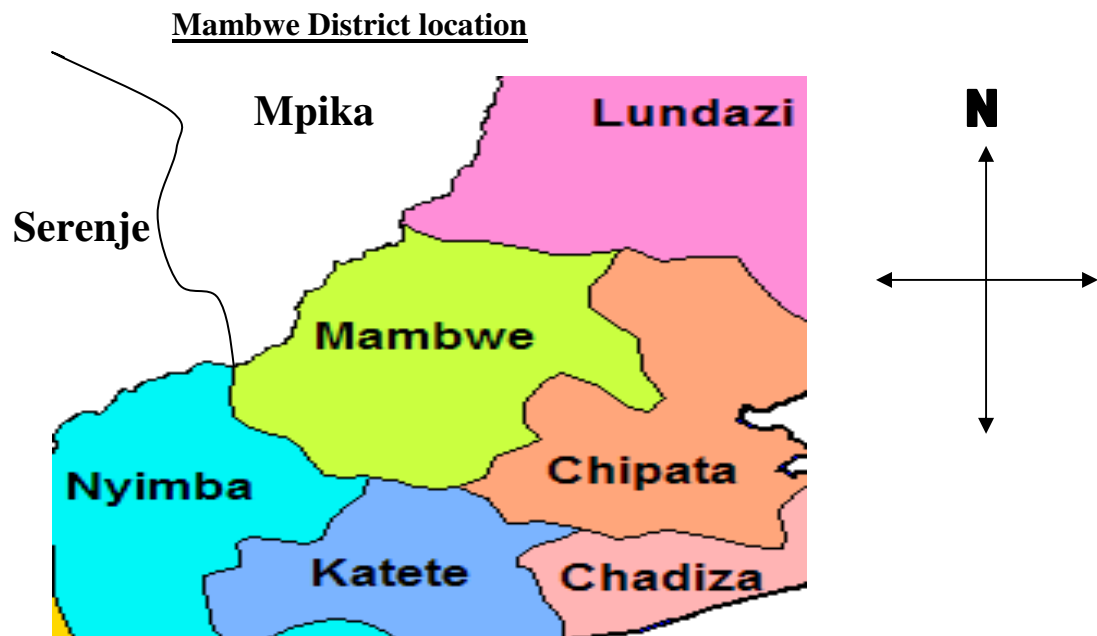
##### **Mambwe township**

Mambwe Township is located in Mambwe district in the Eastern province of Zambia. The township was established in 1997 upon creation of Mambwe district in 1994. It is within chief Jumbe's area and it constitutes two wards, namely, Chipapa and Jumbe. The township is surrounded by villages and settlements. The civic centre is located within the

township. It is approximately 700 km from Lusaka, the capital city of Zambia and 75 km from Chipata, the provincial capital of Eastern province. Mambwe Township, where the research was conducted, covers an area of approximately 10 square kms of state land.

The rest of the township is mostly traditional land, belonging to chief Jumbe and partly Kamoto mission land belonging to the Reformed Church in Zambia. There are 1,001 households in the township. These are classified as High cost (240), Medium cost (301) and Low cost (460) households. This means that 24%, 30%, 46% of the households are high cost, medium cost and low cost, respectively. Lutembwe river which pours its waters into Msandile river, runs through the township. It is a source of water for irrigating garden crops grown on the river banks. The township is one of the five settlement areas in the district. It is equidistant between Chipata and Mfuwe 'cropping'. The main way to Mambwe Township is via Chipata. However, one can access it from Msoro via Katete or from Chama and Mpika (Nabwalya) in Muchinga province. Plans are under way to link the township and district as a whole to Serenje in central province.

### **Mambwe district**





**Source: Google map**

Mambwe district is located in Eastern province of Zambia. It is bordered by Lundazi on the North, Petauke and Chama on the West, Chipata on the East and Katete on the South. Its civic center is approximately 675km from Lusaka, the Capital city of Zambia and 75km from Chipata, the provincial headquarters of Eastern Province. Mambwe district covers a total surface area of 12,760 square kilometers, Mambwe District Council situational analysis(2013). Almost half of the district is a game management area under Zambia Wildlife Authority (ZAWA). It is called South Luangwa National park. This renders the district vulnerable to human/animal conflict. Being within Luangwa valley, the district is also prone to floods and consequently hunger disasters.

Mambwe district harbors a virgin and much cleaner environment and pressure on the existing infrastructure and other social amenities is very much less. The Muchinga escarpment runs through the district, rendering a reasonable portion of it inhabitable. The district has four main rivers which run through it. These include, Lutembwe which pours its waters into Msandire river. Lutembwe river has its source at Magwero hills in Chipata district. Msandire river takes its waters into Lupande river. Lupande river joins Luangwa river which pours its waters into the great Zambezi river, the longest in the country. Within South Luangwa National Park, there are several lodges and camp sites. Most of them are privately owned. These include Flat dogs, Mfuwe, Chimfule, Kapani, Mushroom, Kafuntha, Kanzutu, Kwalata, Malula, Lion lodges. Others are Nyamaluma Lodge which operates as a college for ZAWA Police or Scouts; Chipembere Lodge operates as a Wildlife School for Educational and other institutions. Only two lodges; Chinzombo and Chichele are run by ZAWA on behalf of Government. Although Mambwe shares borders with Muchinga province, there is no official outlet to the province because of the Muchinga escarpment. However, plans are under way to link the district to Muchinga province by road through the link Zambia 8000 Road project, Mambwe Situational analysis(2013). Being a valley, Mambwe is characterized with very

high temperatures throughout the year. Consequently, many civil servants shun working in Mambwe district due to the poor weather conditions.

Mambwe district has five major settlements; Mambwe township, Masumba trading area. Mfuwe ‘cropping’, Mfuwe airport and Msoro sub center.

The five areas are geographically far apart. This makes coordination of the district for development purposes very challenging.

### 2.2.2 Demographic

#### Mambwe township

According to the results of the 2010 National census, the population of Mambwe township stands at approximately 6,059 people. This imposes a population density of 8 people / km<sup>2</sup> and a population growth of 2.8 %. The population analysis also revealed that there are more females than males in Mambwe township and also that the average number of persons per house hold is 5, C.S.O(2011).

#### Mambwe Township: Population Analysis

Age range	Numbers	Percentages
0-14 years	1,145	18.9%
15-24 years	1,678	27.7%
Above 25 years	3,236	53.4%
Total	6,059	100%
Total male (above 25 years):	1,608	49.7%
Total female (above 25 years):	1,628	50.3%

Source: (C.S.O, 2010).

The population analysis for the township further reveals that, the township is among settlements with a smaller share of the population in the district. It has 8.4% of the district population. This maybe because it was part of Chipata district until 1997 when it was established as a township after a declaration of Mambwe district in 1994.

However, the rate at which, the population is growing is quite high due to immigrations from other districts and a high birth rate. Immigrations have resulted into occupation of virgin and village land for residential and commercial infrastructure.

The age range of interest to this study is the adult population of the township, which is, 25 years and above. This includes 1608 males and 1628 females, making a total of 3,236 individuals.

However, there are no settlement problems being experienced in the township, save for the delay in land allocation by the district council. The average population density for Mambwe township is 10.3 persons per square kilometer.

Mambwe township is located within Malambo constituency. The township is divided into a trading area, residential area, a location for government office buildings and the civic center. The township includes Mambwe secondary school, Kamoto hospital, Chief Jumbe's palace, some households in surrounding villages and a farmer's training center. The trading area is dotted with shops and a modern market. Trading various goods and services takes place around this area. Government office building includes the ones for agriculture, education, health, registration, works and supply and home affairs, among others. Township households include those owned by the council, some of which are still under construction, those belonging to government departments and private residences. The Kunda are the predominant ethnic group in surrounding areas of the township. However, there are other ethnic groupings who have migrated near the township such as the Biza and Chewa who are in the minority. The language widely spoken is Chikunda. Chibiza and Chichewa are also used. The development of the township has seen ethnic groupings giving up land for infrastructure development. The central area of the township is mainly occupied by civil servants and local people who have acquired land from the council for settlement and commercial use.

## **Mambwe district**

According to the results of the 2010 National census ,the population of Mambwe district stands at approximately 68 918 people . This imposes a population density of 10 people / km<sup>2</sup> and a population growth of 3.8 %. Similar to the town ship,

The population analysis also revealed that there are more females than males in Mambwe district and also that the average number of persons per house hold is 5, (C.S.O, 2010)

Age range	Number	Percentage
Under 5yrs	13,025	18.9%
5 to 14yrs	19,090	27.7%
Above 15yrs	36,803	53.4%
Total	68,918	100%

Total male for all ages: 34,253 (49.7%)

Total females for all ages: 34,665 (50.3%)

Source: (C.S.O, 2010).

The population analysis for Mambwe further reveals that the district is among those with a smaller share of the population in the province. It has 9 % of the population in the province. Most of the population is scattered in periurban settlements which include Mambwe township , Mfuwe trading center , Mfuwe cropping , Mfuwe airport and Msoro sub center . The rest of the population is scattered in villages with some of it concentrated along major roads. The major roads are Chipata – Mfuwe and Chipata-Msoro roads. Part of the population is found in farm settlements.

Mambwe district has one constituency called Malambo. The Constituency is vast and it is divided into 13 wards which include Mpomwa , Chipapa , Jumbe , Msoro ,Kasamanda, Nyakatokoli, Mdima, Malama, Ncheke , Kakumbi, Mkhanya, Chikowa and Nsefu.

The Kunda are the predominant ethnic group in Mambwe district. However, there are other ethnic groupings who have migrated to the district such as the Biza and Chewa who are in the minority. The language widely spoken is Chikunda. Chibiza and Chichewa are used in certain places. Mambwe has 117 registered villages.

The villages are under six chiefdoms. These are chiefs Jumbe, Msoro, Mkhanya, Kakumbi, Malama and senior chief Nsefu.

## **2.3 ECONOMIC AND SOCIAL ASPECTS**

### **2.3.1 Economic:**

#### **Mambwe township**

Economic activities in surrounding area of Mambwe township include agriculture, trading, and transport. More than 80% of the inhabitants of the central township are civil servants, who have migrated to the township due to employment. People in the surrounding settlement and villages depend on agricultural activities for their livelihood and almost all of them are peasant farmers. The main food crops grown in the area include maize, sorghum, groundnuts and rice. Few people grow cotton as a cash crop in addition to food crops. Minor crops grown include beans, sweet potatoes, cassava and vegetables in gardens. The peasant farmers belong to Mphomwa farm block. A Farmer's Training Center is situated within the township.

A number of people in the township are involved in retail trading, though at a very small scale. The marketing place is regulated by the council. It consists of retail shops and make shift stands. A modern market structure is under construction. In addition to markets, a number of selling points exist within the township where vendors sell their merchandise. The township depends on a filling station located at Mfuwe 'cropping' for fuel requirements. This place is about 70 km from the civic center. The supply of fuel to this outlet filling station is very erratic. This causes inconveniences to traders and transporters in the township, (Mambwe district situational analysis, 2013). The township's transport system favours those along the main way who have easy access to transport facilities.

## **Mambwe district**

Economic activities in Mambwe district include agriculture, trading, lodge operations and transport. The economic base of Mambwe district is mainly the agricultural sector.

More than 80% of the inhabitants depend on agricultural activities for their livelihood and almost all of them are peasant farmers. Main food crops and minor crops are as those for the township. There are 14 agricultural camps dotted around the district.

Each agricultural camp has eight zones. Mambwe is divided into three Farm Blocks namely Mphomwa, Chikowa and Masumba. The Agriculture officers manning these camps carry out extension work by advising and supervising people in cultivation methods within their farm blocks and villages. A Farm Training Center is situated near the township. Mambwe has literally no commercial farms. However, farm regrouping schemes exist for rice in Kakumbi and Nsefu chiefdoms.

Although Mambwe district has four reasonably large rivers, as earlier mentioned, fishing is not in any way an occupation for the local people. The only fishing activities are done along Luangwa river and in water basins found in the national park. This is because the rivers are not well habited by fish. Fishing therefore does not add, in any way, to existing employment opportunities in the area. Apart from agriculture, the lodges, which are dotted around south Luangwa national Park are a source of employment to the local people. A good number of them are employed as tour guides and hospitality providers in the lodges.

Another source of employment is a rice processing plant at Masumba. This produces a product branded as 'Chama rice'. Masumba is also a trading center for many other products which include groceries and hardware, among others. Other trading centers in the district include Mambweboma, Mfuwe 'cropping', Mfuwe airport and Msoro sub-center. Mambwe has outlets to Katete and Chipata. A number of people are therefore involved in retail trading, though at a very small scale. There are four gazetted markets in the district situated at the trading centers mentioned. The markets are regulated by the council. They consist of retail shops and makeshift stands except at Mambwe township where a modern market is under construction. In addition to markets, a number of selling points exist within the district where vendors sell their merchandise.

The district has only one filling station located at Mfuwe ‘cropping’. about 80 km from the civic center.

The supply of fuel to this outlet filling station is very erratic. This causes inconveniences to traders and transporters, Mambwe district situational analysis (2013).

The lodges offer camping, bed and breakfast, game viewing and hotel services to local and international tourists who visit the national park.

Mambwe local authority collects a substantial amount of levy in form of royalties from the lodges. Lodges are also involved in providing community service to the local people. Most of the lodges sponsor a number of pupils at various schools within and out of the district by paying school fees for them. For example, the head teacher for Mambwe secondary school reported that 25 pupils in grades 8, 9, 10, 11 and 12 were being sponsored by Chimfule, Flat dogs and other lodges. 40 pupils at Mfuwe secondary school were receiving sponsorship from lodges, 30 at St Luke’s secondary school were also on sponsorship by lodge proprietors. The lodges are also involved in developmental activities through Public Private Partnership (PPP). Mfuwe lodge for example has sponsored the construction of three dormitories to accommodate over 400 pupils, a modern library and five teachers houses at Mfuwe secondary school, District Education Office report(2013).

As it can be observed, there are less economic activities taking place in Mambwe district. This means that there is less money in circulation. As such, the district has only one banking facility, a branch of the Zambia National Commercial Bank (Zanaco), situated at Mfuwe airport. The bank renders services to tourists, civil servants, lodge owners, airport, ZESCO, water company and other private sector employees within the district as well as business people.

Public transport in the district is supported by private transport facilities. There are a number of hiking points along Mfuwe –Chipata and Msoro – Chipata via Katete roads. The Chipata – Mfuwe road works are near completion. The whole 150 plus km stretch is tarred. The works were done by Sable Construction Company.

In an interview, February(2014), Sable contractors' director said that 99% of tarring was already done on the road. He said that only three kilometers of the road was to be tarred in addition to drainage works and road markings.

This development has eased movement for the people of Mambwe district and outsiders. The district is slowly becoming a transit point for taxis and mini buses connecting to Chipata. There is no public local motor transportation established in the district. People travel within the district on foot, bicycles, ox-carts and private or personal vans for those who can afford transport fares or those who own vehicles, respectively.

Remote areas of Mambwe district are mostly disadvantaged due to the poor state of local roads. This poses a challenge for the people when it comes to selling their farm produce and in reaching social amenities which are generally at a long distance. However, the district's proximity to Chipata and Mfuwe airport offers great potential for economic development. Despite parts of it being South Luangwa national park, a game management area, the district offers great potential for development as it is relatively closer to Chipata, the provincial headquarters which is a source of goods and services needed to enhance economic development in Mambwe district. The entire district needs improvements in local road networks so as to increase access to transport for all communities in the District.

### **2.3.2 Social**

Major social amenities in Mambwe Township include Education, Health, Water supply and Sanitation.

#### **Education:**

##### **Mambwe township**

In an interview 11 Nov (2013), DEBS explained that, Mambwe township has 2 secondary and 5 registered primary schools. The secondary schools are Mambwe boarding and Jumbe day. Primary schools include Kamoto, Jumbe and 3 community schools. Kamoto Primary School is run by the Reformed Church in Zambia. The rest of the education institutions are government owned. At community level, the Parents Teachers



Associations (P.T.As) work hand in hand with respective school administrators to build school infrastructure.

At Mambwe secondary school, for example, the parents, with the help of Constituency Development Fund (C.D.F), have put up a dormitory that accommodates 150 pupils.

Mambwe Township has a high teacher /pupil ratio of 1:80 in both primary and secondary schools. The community schools in the township lack trained teachers, while the available teachers are overburdened. Infrastructure such as water supply, sanitation, classroom space in schools is poor.

### **Mambwe district**

Mambwe District has 54 registered primary schools, 3 co-education boarding secondary schools; St Luke's, Mambwe and Mfuwe. There are 2 day secondary schools; Matula and Jumbe, which was recently upgraded to secondary school status. There are 32 primary schools and 17 community schools. The only tertiary institution in the district is Chikowa Trades Training Institute which is run by the Catholic Church. Similarly St. Luke's secondary and primary schools are run by the Anglican Church while Kamoto Primary School is run by the Reformed Church in Zambia. The rest of the education institutions are government owned.

Apart from the township, illiteracy levels in the rest of the district are very high. Only 32% of the people in the district are literate. Statistics at DEBS office show that more girls than boys are illiterate. This is mainly because Mambwe district, being predominantly rural, is characterized by high levels of early marriages and other cultural beliefs and values which favour boys over girls in terms of access to education, D.E.B.S report (2013) . Furthermore, high poverty levels have disadvantaged girls. This is because, where resources are limited, parents favour to sponsor boys' education while girls are married off. However, the lodges are helping out by preferring to sponsor more girls than boys in schools, *ibid*.

### **Health:**

### **Mambwe township**

Mambwe Township has 2 registered health facilities. These include one hospital and one health center.

Kamotomission hospital affiliated health center is run by the Reformed Church in Zambia (R.C.Z). The township has 21 community health workers who provide health services to people within their communities. These are indigenous outreach health aides, advisors or volunteers. Community Health Workers (C.H.Ws) help to cushion the impact of inadequate health staff by serving as mediators between community members and health agencies.

### **Mambwe district**

Mambwe district has 15 registered health facilities. These include one Hospital, three health post, 9 rural health centers and two zonal health centers. Apart from Kamotomission Hospital affiliated health center, other health institutions include Chikowa, Mphomwa, Nsefu, Malama, Airport, Jumbe, Kasamanda, Chisengu, Ncheka, Nyakatokoli, Nyamaluma, St. Luke's, Kakumbi and Masumba. Health posts or clinics, Mambwe district has 91 community health workers who provide health services to people within their communities.

Mambwe district experiences a number of preventable and treatable diseases. The major causes of death include severe malaria, diarrhea and malnutrition. These and other disease conditions not mentioned resulted into 265 deaths in 2013, M.D.H-planning(2013). The HIV/AIDS prevalence for Mambwe district is estimated at 15.6% compared to the national prevalence rate of 12.3%. Only about 23.5% of births in the district are delivered by a skilled health provider. It is also estimated that more than half (58%) of Women in the district do not get post natal checkup compared to the National average of 50.5%, *ibid*.

### **Sanitation**

#### **Mambwe township**

The township has 3 types of sanitary facilities in use. These include flush toilets, pit latrines, and bushes. A report by SPLASH(2013) revealed that only 8% of the people in Mambwe township use flush toilets, 48% use pit latrines and the rest use bushes.

D-washer and SPLASH are educating communities in the township on hygiene and other good health practices

Furthermore, the township has no liquefied waste disposal site, except at Mambwe secondary school, where there are sewerage systems. Most households and institutions in the township rely on the use of aqua privies or septic tanks and soak ways.

### **Mambwe district**

From the township statistics, which also apply to the district, it is observed that accessibility to conventional sanitation facilities is still very low in Mambwe district. In terms of waste disposal, most people still rely on rubbish pits and hips. Both households and business outlets use the same mode of disposal for solid waste. This is because the district has no designated dumping site. As such, most households rely on the hip and burn methods, SPLASH Report (2013)

There is need for the district to have waste stabilization ponds as the current modes of waste disposal in the district are not safe. They pollute the environment and ground water.

### **Water supply**

#### **Mambwe township**

The township has a reticulated water system at the Boma, Kamoto hospital and Mambwe secondary school. The reticulated water supply systems are run by Eastern Water and Sewerage Company based at the township. The reticulated water system at Mambwe School is privately owned and it uses submersible water pumps.

There are 8 water points of which 6 were in use by December 2013. These include boreholes and wells sunk within the township by organizations conducting water supply and sanitation projects.

## **Mambwe district**

Environmental health indicators show that only 41% of the people in Mambwe district have access to safe water supply while 59% of the population use shallow wells, streams and rivers, SPLASH report (2013). Water supply systems in the district are of two types. The reticulated systems are found at Mambweboma, Msoro sub center, Mfuwe cropping, Mfuwe airport, at Kamoto hospital and in secondary schools. Some reticulated water supply systems are run by Eastern Water and Sewerage Company based at the township.

Other reticulated water systems are personal and they use submersive water pumps. Non-reticulated water supply systems are mainly found in remote areas of the district.

There are 358 water points of which 276 were in use by December 2013, *ibid*. The water sources were sunk by, PLAN, ADRA, SPLASH and other organizations. These have drilled a total of 45 bore holes since they came in the district in 2009, C.M.M.U(2013). The condition of water network is generally poor despite the high demand for clean water supply in the district.

### **2.4. Organization of Mambwe Township**

#### **Local authority**

Mambwe district council is headed by the council secretary in an interview, (9 Nov 2013). Mambwe district council secretary outlined her duties as being the following; main duties of a council secretary include managing effectively the implementation of local government policies in the district in order to provide guidelines, overseeing the implementation of programmes in the districts in order to ensure effective delivery of the numerous services that the local authority is entitled to provide to the local community. The C.S supervises the provision of services to the local community in order to improve the quality of life and infrastructure of the district.

The C.S further elaborated that, oversees timely preparation and implementation of actions, plans and budgets in order to facilitate the attainment of set objectives, resource mobilization for the delivery of services in the district.

The C.S generates information, provides capacity building and conducts performance management, manages the effective utilization of human, financial and material resources .

The C.S, explained that, Mambwe district local authority has four departments, namely; district planning, works, administration and finance. The four departments work in coordination under the supervision of the C.S in carrying out the functions of the local authority. Mambwe district council operates under the Local Government Act which stipulates over 63 functions of a local authority.

The four departments or units named above are headed by the District Planning Officer (D.P.O), Director of works, Chief administrator and District treasurer , respectively.

## **Health**

The Ministry of health is represented by Mambwe District Health Management Team, M.D.H.M.T.It is headed by the District Medical Officer.

The D.M.O carries out duties similar to the Council Secretary.In an interview, (28 Dec2013). The DMO for Mambwe district outlined his duties as follows; managing the implementation of health policies and programmes and provides guidelines in order to ensure that health services are delivered effectively in the district .

He/she also manages effective utilization of human, financial and material resources under the department of health in the district . He/she oversees the operations of other units under M.D.M.T which are; public health unit, clinical care unit, planning and health systems unit and human resource unit. The D.M.O also oversees operations of all health facilities in the district, interview with DMO(2013)

## **Education**

The Ministry of education is represented by the District Education Board Secretary, D.E.B.S, who manages the implementation of education policies and programmes.

He/she provides guidelines to ensure that educational services are delivered effectively in the district. she manages effective utilization of human, financial, and material resources under her. The D.E.B.S supervises departments under her custody namely; District planning, Accounts, Human resource and Education standards departments. The D.E.B.S coordinates departments and supervises the running of all education institutions in the districts, Personal interview with DEBS (2013).

### **Agriculture and live stock**

The Ministry of agriculture is represented by the District Agricultural Officer (D.A.O).

The D.A.O carries out functions similar to the D.M.O and D.E.B.S but pertaining to agriculture. He, too, has departments and units to supervise in the district, as well as agriculture camps or agriculture posts dotted around the district. These offer extension services to farmers.

The department of livestock is also in existence and is manned by the District Veterinary Officer. The Ministry of works and supply is represented by the department of works and supply, headed by the District works supervisor. He is in charge of supervision of government works and projects in the district. He supervises implementation and monitors public works and projects in the district. The D.W.S is assisted by two other individuals. The Ministry of community development and social welfare is represented by the Community Development Officer. Among other duties, the C.D.O identifies and facilitates assistance to the needy in the community. For example, pupils in need of sponsorship or bursaries apply for these requirements through the office of the C.D.O. There is also a registration department which provides national registration cards and certifications of death, birth, marriages, among others. Non- governmental organizations (NGOs) also work hand in hand with the local authority in the implementation of government programmes in Mambwe district. NGOs which are operational in various catchment areas in the district include ADRA, DATE, SPLASH, CHAZ, and DWA.

Services provided by these NGOs include community mobilization on various issues of their specialization e.g. HIV/AIDS, sanitation, health, development and empowerment.

## **2.5 CONCLUSION**

It has been noted in this chapter that Mambwe is a remote /rural township with an estimated population of 6,059. The socio-economic aspects of the township indicate high poverty levels due, mainly, to low economic activities. Illiteracy is estimated at 68% of the total population in the township. Access to clean water and sanitation in the township is poor. Three quarters of the population use reticulated water systems while others use alternative sources of water. The number of people without decent sanitary facilities is also high. The township is occupied mainly by civil servants and traders.

The transport system in the township is poor. Most of the road infrastructure becomes impassable during the rainy season, making some places inaccessible. Mambwe district local authority provides far less services to the township out of the over 63 functions of a local council. Worse still, the council only does so in partnership with other stakeholders. Mambwe district council, as a decentralized agency of central government, is responsible for ensuring that the full implementation of the decentralization policy is realized.

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## **CHAPTER THREE:**

### **EFFORT MADE IN THE IMPLEMENTATION OF THE NATIONAL DECENTRALIZATION POLICY IN ZAMBIA.**

#### **3.1 Introduction**

This chapter is aimed at finding out measures that central government and other stakeholders have put in place to ensure that the national decentralization policy is fully and timely implemented. The actions carried out or not carried out by both local government and central government to facilitate implementation of the policy will be analyzed. The main contents of this chapter, therefore, include finding out whether or not government has put in place a plan or roadmap for the implementation of the policy. In addition to this, the adequacy of the plan (if any) is assessed. The other aspect of effort that dealt with, is the assessment of the government's political will and commitment towards implementing the policy. This is done through assessment of resource provision.

#### **3.2 Gender and residences of respondents**

##### **3.2.1 Gender of respondents**

##### **Finding**

Table 1.1: Gender and number of respondents

<b>Gender</b>	<b>Number</b>	<b>Cumulativepercentage</b>
Male	74	64%
Female	41	36%

<b>Total</b>	<b>115</b>	<b>100%</b>
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Source: field data, 2013

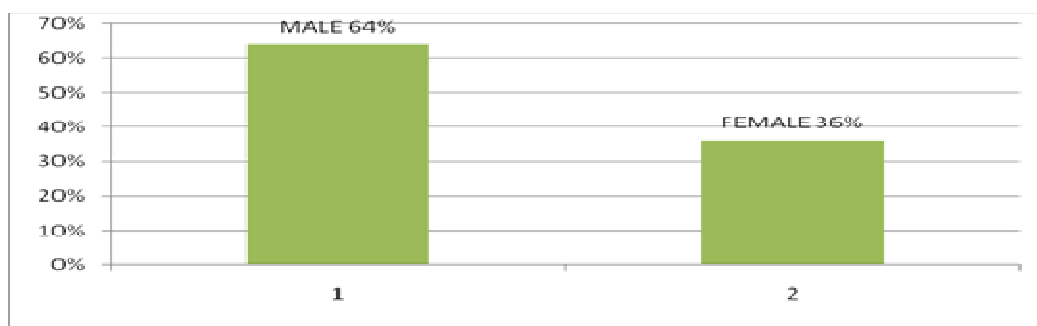


Figure 1.1: Gender and number of respondents

Source: Field data, 2013

Table 1.1 and figure 1.1 show that the study sample comprised 74 male respondents. This constitutes 64.0% of the sample. Female respondents were 41 constituting 36% of the sample.

## Discussion

This gender composition of the sample does not correlate with the Central Statistics Office (2010) information that there are more females than males in Mambwe district. This may be because the households selected by lottery method in each stratum were male headed. The sampling method used was in such a way that the head of the household selected becomes a respondent. However, gender has no effect on the outcomes of the study.

### 3.2.2 Residences of respondents in Mambwe Township

#### Findings

Table 1.2: Number of respondents and their areas of residence.

<b>Residence</b>	<b>Number</b>	<b>Cumulative %</b>
Low Cost Area	60	52.17
Medium Cost Area	40	34.78
High Cost Area	15	13.05
<b>Total</b>	<b>115</b>	<b>100</b>

Source: Field data, 2013

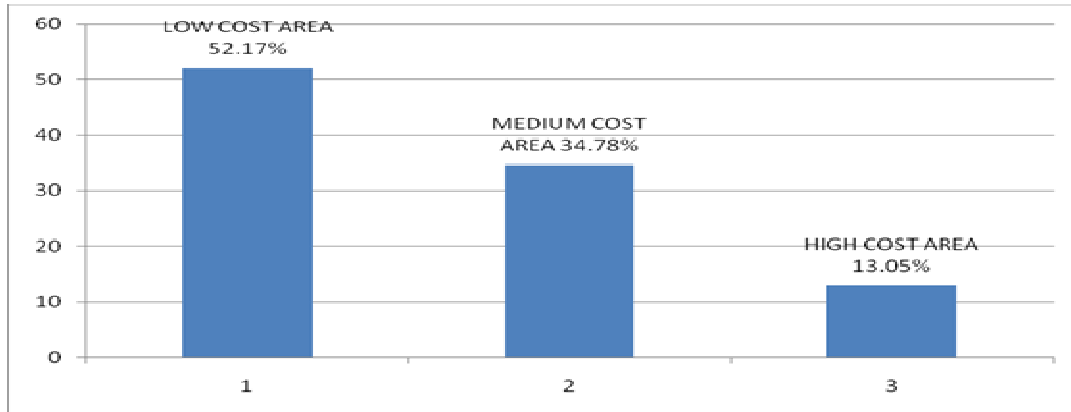


Figure 1.2: Number of respondents and their areas of residence.

Source: Field data, 2013

From table 1.2 and figure 1.2, it is observed that 60 respondents, representing 52% were selected from the low cost area of Mambwe Township. Forty respondents, representing 35% of the respondents, were from the medium cost area and 15 respondents, representing 13% of the sample, were from the high cost area of Mambwe Township.

## Discussion

The figures of respondents in various residential areas represent the population density of the locality. Low cost areas have a higher population density, followed by medium cost and high cost areas. Consequently, there are more households in low cost areas. In medium cost areas, the households are few and in high cost areas, the number of households is very small. Therefore, the number of households selected into the sample corresponds to the total number of households in each residential area of Mambwe Township.

### 3.3 Knowledge and adequacy of the decentralization implementation plan.

#### 3.3.1 Knowledge of a plan or roadmap for implementing the policy.

## Findings

Table 1.3: Response to whether there is a plan for implementing the policy

Response	Respondents	Cumulative %
Yes	75	65
No	31	27
Don't know	9	8
<b>Total</b>	<b>115</b>	<b>100</b>

Source: Field data, 2013

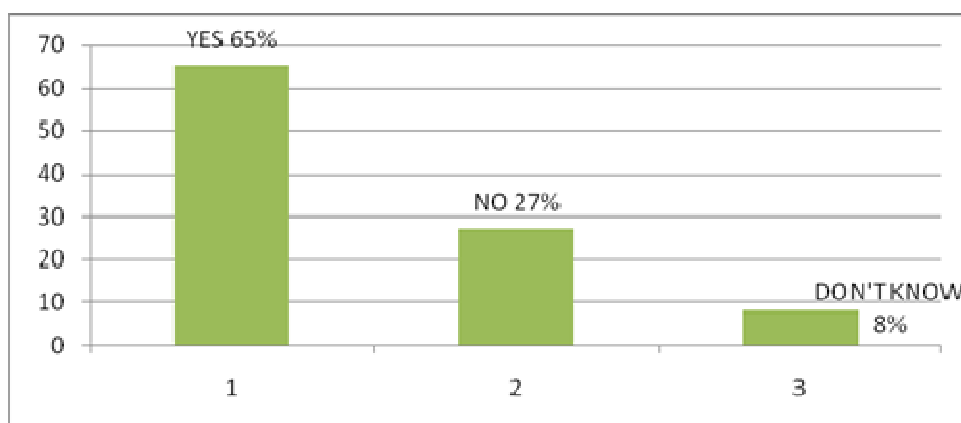


Figure 1.3: Response to whether there is a plan for implementing the policy

Source: Field data, 2013

Table 1.3 and a summary of it, figure 1.3, show that the majority of respondents, 75, constituting 65% of the sample, are aware that government has put in place a plan for the implementation of the policy. On the other hand, 31 respondents, representing 27% of the sample are not aware of any plan put in place by government for implementing the policy. The remaining 9, representing 8%, were not sure.

## Discussion

In open ended responses, respondents added that to a moderate extent, stakeholders have been sensitized on the implementation of the decentralization policy. There has been talk in print and electronic media on the implementation of decentralization to the level of devolution in Zambia. A key informant at Decentralization Secretariat confirmed

government's call for media to help in sensitizing the general public on the implementation of the decentralization policy.

Politicians (Ministers) in their own capacities have spoken broadly on various public media about the implementation of the policy. Local government officials for Mambwe local authority confirmed that workshops have been held, at least quarterly and when resources were available to sensitize local government practitioners on the implementation of the policy. It was revealed that in 2013, three workshops were held in May, August and December. These were attended by members of the District Development Co-ordinating Committee (DDCC), drawn from various government departments, parastatals and civil societies.

Such activities in the media and political addresses have improved awareness of the local community on the implementation of the decentralization policy. Furthermore, a technical team was sent from Eastern province local authorities to Mrogoro municipal council in Tanzania on 9<sup>th</sup> May 2013. The team went to learn more on implementing decentralization by devolution, as it is being applied in Tanzania. Mambwe district council was part of this technical team, represented by the council secretary.

### **3.3.2 Adequacy of the roadmap for implementing the national decentralization policy.**

Table 1.4: Views on adequacy of the plan for implementing the policy

<b>Response</b>	<b>Respondents</b>	<b>Cumulative %</b>
1 Very adequate	22	19
2 Moderately adequate	64	56
3 Less adequate	18	16
4 Inadequate	5	4
5 Not sure	6	5
<b>Total</b>	<b>115</b>	<b>100</b>

Source: Field data, 2013

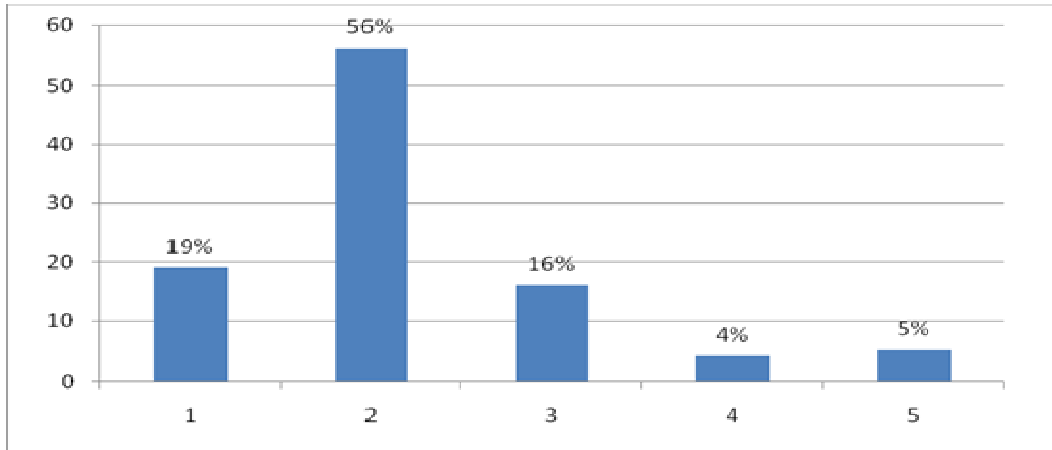


Figure 1.4: Views on adequacy of the plan for implementing the policy

Source: Field data, 2013

Table 1.4, summarized by figure1.4, show that more than half of the respondents, 64, representing 56%, were of the view that, the plan or roadmap for implementing the national policy on decentralization was moderately adequate. Twenty (20%) of the respondents said the roadmap was less adequate and 6, representing 5% were not sure.

## Discussion

The majority of the key informants equally said, the road map put in place was sufficient to facilitate implementation of the national decentralization policy. The council secretary for Mambwe local authority explained that government had made tremendous effort to ensure implementation of the 2002 decentralization policy. Right at the conception of the policy, government put in place a Decentralization Implementation Team (DIT). This team set many strategies and approaches in phases to ensure timely implementation of the policy. The council secretary explained that, from the date of adoption of the policy, which is November, 2002, the period for implementation was 10 years. According to the Decentralization Implementation Plan, DIP(2009-2013) booklet the government divided the 10 year period into 3 phases.

The key informants outlined the phases as follows;

**PHASE1:** November 2002 – December 2005; this was a preparatory phase. Main activities in this phase included, approval of the policy (November, 2002), approval of interim Decentralization Policy Implementation Plan (11<sup>th</sup> November, 2004). Other activities included establishment of the decentralization secretariat and preparation of a comprehensive decentralization policy implementation plan. One likely informant noted that, most of the activities in this phase such as approval of the interim DPIP, launch and establishment of the Decentralization Secretariat at the ministry of local government and housing headquarters, were done.

**PHASE 2:** January 2006 to December 2008; the phase had two major components; Finalization of the decentralization plan and beginning of implementation of policy components such as development of new organizational structure for all councils.

A key informant explained that, the first component of this phase was done but the second component is not done. Most councils are in a dilemma as to what the structure for councils will be, upon full implementation of the decentralization policy.

**PHASE 3:** (December 2008 to December 2010) this was planned to be the major phase or principal implementation phase during which most activities of the policy were to be carried out. Strengthening of institutions of decentralization at all levels was to be the major task in this phase. This final phase was aimed at ensuring that the implementation process for the national decentralization Policy was smoothly and timely done.

Some key informant lamented that, important phase is, unfortunately not yet realized. They pointed to change of political leadership after the demise of the third President, as the cause for the delay to complete phase 2 and move on to phase 3 of the DIP. One key informant added that, apart from the 3 phases, the DIP put in place by the central government, has other main components designed to provide a roadmap which would guide all stakeholders to articulate their roles during implementation of the policy. These include, sensitization and civic education, legal and regulatory frameworks, among others.

An official at the decentralization secretariat noted that, sector devolution, legal and regulatory framework and fiscal decentralization are yet to be tackled while the rest of the components are ongoing.

### 3.4 Political will towards implementation of the policy

#### 3.4.1 Strength of political will towards implementation of the decentralization policy?

##### Findings

Table 1.5: Rating strength of political will towards implementing the policy

Responses	Respondents	Cumulative %
Very strong	7	6.05
Moderately strong	23	20
Weak	44	38.14
Very weak	39	33.95
Not sure	2	1.89
<b>Total</b>	<b>115</b>	<b>100</b>

Source : Field data, 2013

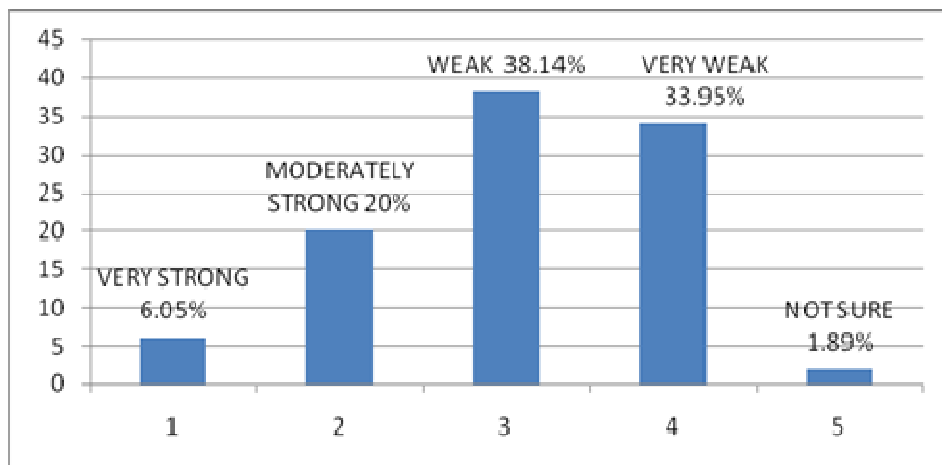


Figure 1.5: Rating strength of political will towards implementing the policy

Source: Field data, 2013

Table and figure 1.5 display information about respondents' perception of the strength of the political will towards implementation of the policy, as rated.



The data show that the majority of the respondents feel that political will towards implementation of the policy on decentralization ranges from weak to very weak. Forty-four (44) out of 115 respondents, representing 38%, said the political will was weak and 39 respondents, representing 34%, said it was very weak. Only 30 respondents, representing 26%, rated political will as being strong to very strong. The remaining 2% were not sure.

## **Discussion**

In reference to the Patriotic Front (PF) Manifesto, the District Commissioner for Mambwe observed that central government so far has shown political will towards the implementation of the national decentralization policy but only lacked potential. She referred to some activities that central government has undertaken such as adoption and launching of the decentralization policy, establishment of the Decentralization Secretariat and formulation of the decentralization implementation plan as signs of strong political will towards implementation of the policy. The D.C further observed that the commitment of the current P.F administration towards implementation of the policy cannot be doubted. She stated that the central administration has committed itself to four programs, namely; education development, health services delivery, agricultural development and local government and housing development. These are the major sectors that need to have their functions devolved to local authorities, the D.C noted.

Indeed, reading through the P.F manifesto on local government and housing development, one gets the impression that the government of the day will not only end at institutional, administrative or management type of decentralization but it will, in furtherance of this, implement fiscal decentralization as well. This is because the P.F manifesto purports that government will undertake several measures in regard to fiscal decentralization, which include, increased budgetary allocation to local authorities, among others.

The other aspect that shows commitment towards implementation of devolution, as observed by key informants,

is the recognition of traditional leadership as part of local government system and the need to establish linkages of chiefs to public service governance system. This is also enshrined in the PF manifesto. As one key informant observed, the policy seeks to promote citizens participation in democratic governance and development at local level. Most notably, it promotes participation of chiefs and other leaders in government once issues and preservation of cultural heritage, while respecting cultural diversity.”

Whilst acknowledging positive strides that the P.F. government is making to decentralize the country’s governance system, it should also be noted that aspects of negativity can be seen in some senior government officials who probably would not be comfortable if the policy was implemented. This can be observed on how rarely one hears of the leadership in government referring to the policy. One wonders whether it is because of lack of full understanding of what the policy is all about or it is just growth of cold feet. The times when you hear from a very few top leaders in government mentioning decentralization, is when they identify negative reasons, such as, lack of capacity in local councils to handle governance issues in a decentralized system.

The other issue in the P.F manifesto which needs to be addressed is how the chiefs will be linked to the public governance system, as well as what their role will be in the councils. Is it that they will be attending council meetings in person, hence making them councilors? Why this question? This is because somewhere under local government and housing development, the P.F Manifesto reads thus; “The traditional authorities who are closest to the people in rural areas have been marginalized and have had no role in the local governance system, save for appointing a symbolic representative to the council”, (P.F manifesto, 2011; 27). One only hopes that this statement from the P.F manifesto does not imply that chiefs should be made councilors and start attending council meetings. Those interviewed, especially long serving councilors and those who were councilors when such was the case, have expressed a contrary view.

They were of the view that having chief’s representatives in council chambers is better than having chiefs attending council meetings in person.

This is because it has always been difficult for elected councilors who are subjects of the chiefs to debate motions and issues before the floor of the chamber with them (chiefs) in attendance, let alone if a chief was of a contrary view on an issue under discussion.

Despite the apparent political will that government has shown towards implementation of the decentralization policy, as stated in the proceeding paragraphs,

There are a few observations that are worthy making. The time frame for implementation of the policy, which is 10 years, proved to be far too short. Though implementation of the decentralization policy commenced close to twelve years ago, communities are not well informed about how the policy will operate and its contents, as observed in chapter three of this study. Only senior council management staff seem to have more information about implementation of the policy, shared amongst themselves. For example, many people interviewed do not perceive the creation of new districts and a province as part of the implementation of the policy. Chipapa ward councilor observed that, whilst it cannot be taken away from the head of state that he is empowered to create, alter or align districts and boundaries; local government Act chapter 286, of laws of Zambia, it is a general view that consultations with those to be affected by such changes would save us a lot of time and energy of arguing and making efforts to present contrary views, even where such an action means well. The councilor further said that people always demand to be part and parcel of the decisions affecting them, hence the need to create a conducive atmosphere to discuss such issues.

Furthermore, government's failure to remove the office of the District Commissioner at district level has undermined political will towards implementation of the policy. The D.C's office has brought dualism at the district level. This contradicts with principles of decentralization, as it strengthens the arm of central government. The decentralization policy (2002) states that a government representative would be appointed by the Public Service Commission to monitor district operations. The question, however, is how different this representative will be from the current District Commissioners and how such an office will be blended into the district administrative structure in a decentralized system?

The above concerns undermine political will towards implementation of the decentralization policy. They need to be tackled as dissatisfaction from the onset by any group of stakeholders, can be a source of problems and eventual failure of successful implementation of what would, otherwise, be a workable system of governance desired by all citizens.

### 3.5 Rating of central government commitment in providing resources for implementing the decentralization policy.

#### Findings

Table 1.6: Views on central government commitment in providing resources for implementing the policy

Response	Respondents	Cumulative %
Very committed	14	12.9
Moderately committed	16	13.95
Less committed	32	27.91
Not committed	44	38.5
Don't know	9	8
<b>Total</b>	<b>115</b>	<b>100</b>

Source: field data, 2013

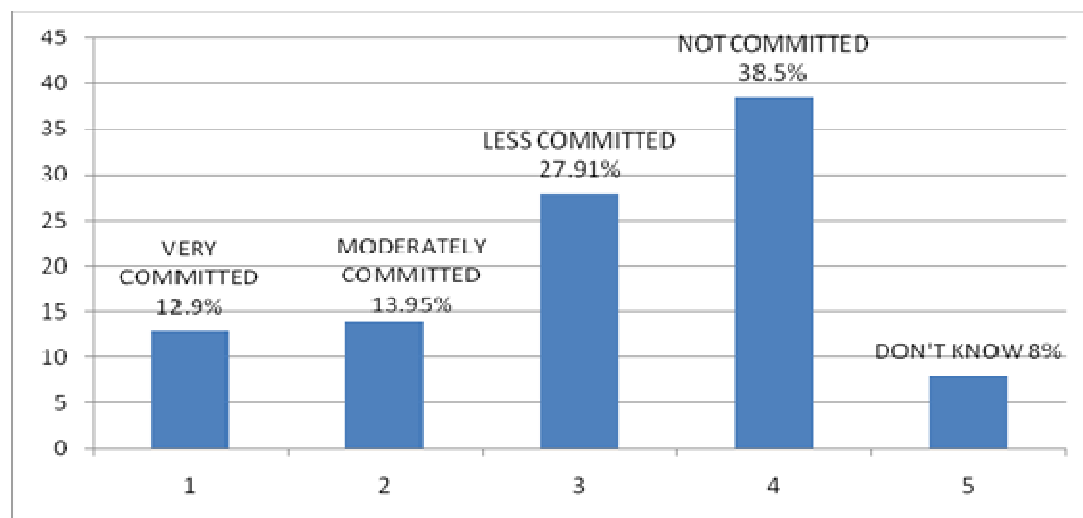


Figure 1.6: Views on central government commitment in providing resources for implementing the policy

Source: Field data, 2013

Table 1.6 which is summarized by figure 1.6, shows that 76 out of 115 respondents representing 66% of the sample said that, central government commitment towards provision of resources for implementing the decentralization policy ranged from less to not committed at all.

Only 30 out of 115 respondents, representing 26%, perceived central government to be from moderately to very committed, in providing resources for implementing the policy. The remaining 9, representing 8% of the sample, were not sure of government's commitment.

## **Discussion**

Views from key informants included those of a member of the district devolution task force, who lamented that, the task forces have no human and material capacity to facilitate the implementation of the policy at different sectors. Provincial and district devolution task forces need to be adequately equipped in order to carry out their role of ensuring that devolution of some functions from sector ministries to local authorities commence in the country. Another observation in regard to Mambwe local authority is that the district task force has failed to meet the required number of members due to inadequate human resource or lack of skilled manpower. It was noted that councils have stopped sending their personnel for PhD and Master's degree programs. They instead prefer to send them for short courses and workshops. These do not make them competent for technical operations.

Task forces need qualified personnel in order to perform functions, some of which are highly technical. Task forces are a replica of the Decentralization Secretariat at national level. Some of the functions of task forces for devolution include; to define functions to be devolved by the affected ministry, to identify and list policies, legislation, administrative circulars and regulatory framework that could hinder sector devolution, in consultation with Management Development Division (MDD) at Cabinet office and councils, and to prepare ministry staff to be transferred, Guidelines on formation of provincial and district task forces(2002).

The creation of devolution taskforces is seen as good effort in ensuring that implementation of the decentralization policy is achieved. However, there is great need for human capacity building because the functions of task forces for devolution, as stipulated in a circular sent to all provinces and districts, can only be carried out by very competent and highly skilled personnel.

These are lacking in Mambwe and many other district local authorities. In addition to the three functions stated above, task forces are mandated to carry out several tasks, which are equally technical. They include; to undertake activities necessary within the province / district to prepare ministries to successfully transfer functions and resources to councils as well as prepare councils for reception and effective operationalization of functions and resources to be transferred to the central government.

It is observed from the preceding paragraphs that government's commitment in providing adequate qualified human resource for implementation of the decentralization policy is very weak. One key informant, an accountant at district administration, observed that there are fiscal challenges that undermine government's commitment in providing financial resources for the implementation of the policy. He explained that disbursement of funds from the ministry of finance directly to councils is not yet implemented and councils have no capacity to generate their own revenue. This is partly, because there is central government interference in cost recovery rates and charges levied by councils. In addition, the officer explained that, there is no strategy to encourage the private sector to participate and contribute to generation of resources. Furthermore, contributions by served communities towards provision of services, is very minimal.

In terms of provision of financial resources, this study revealed that central governments in their Manifestos have been disorienting or distancing themselves from strengthening local government financial systems. This is because they state that the dependency of local authorities on central government needs to be reduced. This is contained in the MMD Manifesto of 1990 and the P.F manifesto of 2011. In addition to this disorientation, government has been taking away much of the sources of council revenues as opposed to increasing them. Some examples are sale of council houses for a song, withdrawals of grants from city and municipal councils, abolishing road licenses,

grain levy and bicycle levies in certain local authorities. Furthermore, councils have been asked to divest from business ventures and instead they were asked to just create a conducive environment for the private sector to operate in, Katemwe M (2003). It is clear from this explanation that government has been reducing the capacity of councils for generating income as opposed to providing financial resources to them.

Even government grants to local authorities are very erratic. This has negatively affected the implementation of the decentralization policy.

A key informant from the Ministry of Education Science, Vocational Training and Early Education (MESVTEE) observed that, to some extent, government had provided enough information on the implementation of decentralization. The DESO for Mambwe, referred to a workshop organized by MESVTEE with support of the Decentralization Secretariat held in April, 2013. It was meant to fine tune three documents on devolution, namely; sector devolution plans for primary education, early childhood education and adult literacy education. The documents contain devolution plans for components of education, which will be devolved to local authorities from the ministry of education, upon full implementation of the policy on decentralization.

### **3.6 Conclusion**

This chapter has made significant revelations in regard to effort being made by stake holders to implement the decentralization policy. It has been revealed that government has put in place a plan or roadmap for the implementation of the policy. Though clearly divided into three phases, movement from one phase of the plan to the next has not been smooth.

Even at the lapse of the 10 year implementation period (2002 to 2012), some components of the three phases are not yet attained. The major element yet to be tackled is fiscal decentralization. On the adequacy of the roadmap, 56% of the respondents said the plan was adequate and that if it is correctly followed, it can lead to a well decentralized governance.

On the strength of political will towards implementation of the decentralization policy, majority of respondents said it ranged from weak to very weak. Indeed despite the utterances by government officials, there is very little on the ground to show that government is politically willing to decentralize power and authority to the level of devolution in Zambia.

This is evidenced by central government control of local authorities through the ministry of local government and housing and failure to do away with the office of the District Commissioner at district level. Decentralization has, therefore, been played as a political phenomenon, rather than a developmental tool.

On ratings of central government commitment to provide required human, financial and material resources to local authorities for the implementation of the decentralization policy, many responses were that, government is either less committed or not committed at all. The evidence of this is the failure of sectoral devolution task forces to operate to full capacity due to lack of human, financial and material resources. These technical units do not have resources to carry out technical functions at district and provincial levels. Central government is not providing adequate financial resources at local levels so as to enhance implementation of the policy. It appears that instead of providing resources, government has been disorienting itself from councils and has been taking away some sources of council revenue.

Though effort has been made to provide information, there are a lot of grey areas that need to be clarified if functions have to be devolved successfully from sector ministries to local authorities. It can be concluded that central government has made moderate effort to ensure implementation of the decentralization policy by providing an implementation plan, though it is not followed strictly. However, there has been very little effort made to sensitise the general public on the implementation process of the policy. In the same vein training of existing staff on the implementation exercise has not been done and implementing institutions such as the devolution task forces are not empowered to do their work. The provision of required resources which is key to implementing the policy is not done. This omission has greatly undermined all plans and efforts at implementing the policy.



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## 4.0 CHAPTER FOUR

### CONSTRAINTS IN THE IMPLEMENTATION OF THE ZAMBIA NATIONAL DECENTRALISATION POLICY.

#### 4.1 Introduction:

This chapter is aimed at determining the major constraints or difficulties being faced in implementing the national decentralization policy of 2002 (revised, 2013) in Zambia. In this chapter, the institutional and legal capacity for implementing the policy is assessed. Prior to this, an examination of the respondents' awareness and knowledge of the contents of the policy document is done. This is in relation to the respondents' category or status and education level. Furthermore, the attitude of implementers towards the policy is analyzed and other constraints are rated.

#### 4.2 Awareness of existence and knowledge about contents in the national decentralization policy document.

##### 4.2.1 Category (status) of respondents and awareness of the existence of the national decentralization policy

#### Findings

Table 1.7: Category and number of respondent who are aware of the existence of the policy

Category	Total	Aware	Not Aware	Cumulative %
NGOs / FBOs	6	5	1	4.00%
Civic servants	38	29	9	25.00%
Politicians	11	8	3	7.00%
Local government practitioners	14	9	5	8.00%
General public	46	15	31	13.00%
Total	115	66	49	57.00%
<b>PERCENTAGE</b>	<b>100%</b>	<b>57%</b>	<b>43%</b>	

Source: field data, 2013

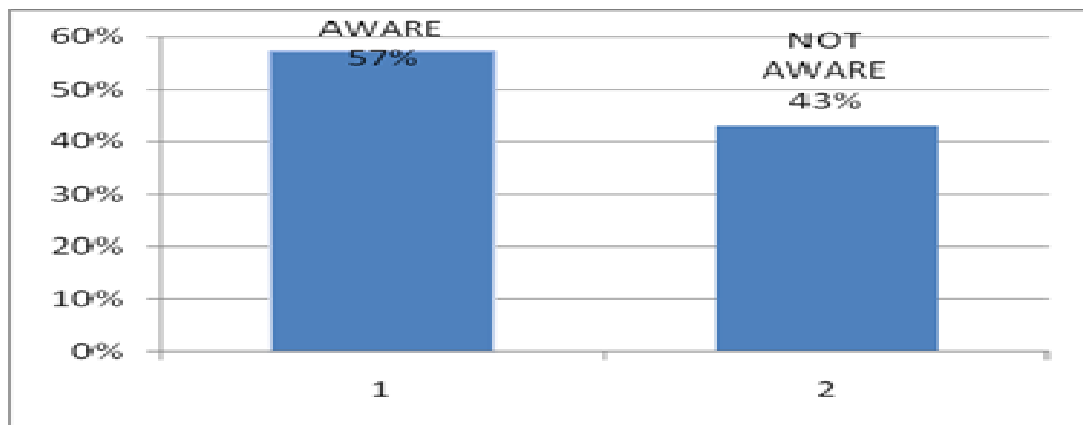


Figure 1.7: Category and number of respondent who are aware of the existence of the policy

Source: Field data, 2013

Table 1.7 shows that respondents were in five categories. The majority of them were the general public who were 46, representing 40% of the sample. Civil servants were 38, representing 33% of the sample. Local government practitioners were 14, representing 12% of the sample. 11 Political leaders represented 10% of the sample. NGO and FBO representatives were 6, representing 5% of the sample.

The sample shows that respondents portrayed awareness levels of existence of the decentralization policy differently. The most aware were the NGO/FBO representatives (83%), followed by civil servants (76%), then political leaders (72%) and local government practitioners (64%). Despite being in the majority of respondents, only 32% of the general public were aware of the existence of the policy.

Figure 1.7 Summarizes that more than half, 66 representing 57% of the sample were aware, while 49 representing 43 % of the sample was not aware of existence of the policy.

## Discussion

From the data given in table 1.3 and figure 1.3, it is clear that the category of respondents or status has an influence on the respondents' awareness of existence of the policy. Most of those who are exposed due to employment,

political and other social activities are aware of existence of the policy. On the other hand, most of those not exposed or not enlightened are not aware. Although more than half of the respondents were aware of existence of the policy, these constitute mainly the exposed or enlightened individuals. Exposure to official documents, therefore, contributed to the awareness of the existence of the policy.

#### 4.3 Education attainment of respondents and knowledge of the contents of the national decentralization policy.

##### Findings

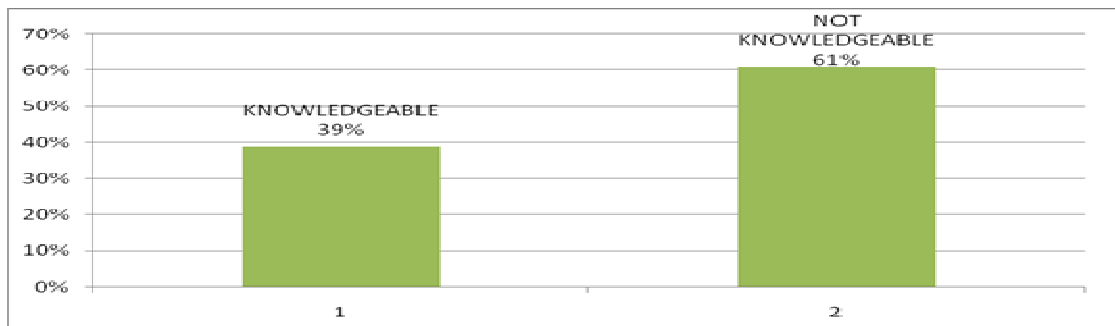


Figure 1.8: Level of education and knowledge about policy contents

Source Field data, 2013

Table 1.8: Level of education and knowledge about policy contents

Level of education attained	Total	Knowledgeable	Not knowledgeable	Cumulative %
Primary	7	2	5	2.00%
Secondary	50	12	38	10.00%
Tertiary	58	31	27	27.00%
<b>Total</b>	<b>115</b>	<b>45</b>	<b>70</b>	<b>39.00%</b>

Percentage	100%	39%	61%	
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Source: Field data, 2013

Table 1.8 shows that out of the 115 respondents, 58, representing 50%, had attained tertiary education, 50, representing 44%, had gone up to secondary level, while 7, representing 6%, went up to primary level only. The table also shows that, of those who attained tertiary education, more than half, 31, representing 53%, were knowledgeable about the contents of the national decentralization policy. Only 24% (12) of those who went up to secondary level were knowledgeable. For the respondents who went up to primary level, only 2 of them, representing 28%, were knowledgeable about the contents of the policy document.

Figure 1.8 Summarizes that of the 115 respondents, only 45, representing 39%, were knowledgeable about the contents of the policy document, while more than half, 70, representing 61%, were not knowledgeable about the contents of the policy document.

## Discussion

It can be deduced from the data that the level of education attained by respondents has an influence on their knowledge about contents of the national decentralization policy document. This is because the majority who are knowledgeable are those who went up to tertiary level of education. These constitute civil servants, local government practitioners, politicians and NGO/FBO representatives who are more exposed to official documents due to the nature of their work.

Although many people, 57% (figure 1.3), are aware of the existence of the national decentralization policy, only 39% of them understand or are knowledgeable about actual contents of the policy document. People may have heard about the decentralization policy in political statements during rallies and addresses. However, making citizens knowledgeable about contents of the policy document still remains a challenge. Poor or lack of knowledge of the contents of the decentralization policy is one of the major constraints to its full and timely implementation. In a press statement of February, 2014, the deputy minister of local government and housing, recognized the fact that not making

citizens knowledgeable about contents of the decentralization policy document was a constraint to implementation of devolution in Zambia.

He thus urged the media, civil society and other stakeholders to help government and the ministry in informing the public on how central government would implement the decentralization policy. The minister observed, that implementation had already begun through the creation of new districts, over the last two years. The key informants and those knowledgeable about the contents of decentralization policy document submitted that the following are the contents of the revised policy document:

The objectives of decentralization, according to key informants at the Decentralization Secretariat and other local government institutions at provincial and local levels is to empower local communities by decision making, this is the major objective.

This objective, and many others, if realized, could result into a well decentralized system of governance in Zambia. It however, depends on the implementation of activities that could lead to the achievement the objectives. As the situation is, the objectives are far from being achieved. Local people are still not involved in public decision making. This is likely to persist if the modality of decision making remains elitist in nature (see elitist model in chapter one). The policy environment needs to be widened, if the objectives of decentralization are to be achieved.

Apart from objectives, officers at the Decentralization Secretariat observed that, among the salient features of the 2002 NDP of Zambia, as revised in 2013, is the reviewed roadmap to the decentralization reforms.

The policy takes cognizance of the critical role of traditional leaders in national development. It provides for district chief councils, as well as village councils, Decentralization policy(2013). Other key areas addressed by this policy are the measures on local development planning which will link and devise a system of linkages of ward development plans to district development plans through a provision of legal framework. Human resources development and management have also been tackled. Key informants noted that, just like the 2002 policy, it has provided for a sustainable way of its

implementation by not leaving it to the government alone to mobilize and finance the decentralization system.

The three schedules in the 2013 revised national decentralization policy have spelt out specific roles which each of the key players in the decentralized governance will play. Unfortunately many key informants lamented that, the above plans and strategies contained in the policy document are not understood by the majority of ‘ordinary’ citizens and some of the civil servants. It would, therefore, be very difficult to put these measures in practice without ensuring that they are understood by various stakeholders.

#### **4.4 Legal and institutional frame work for the implementation of the decentralization policy.**

##### **4.4.1 Adequacy of the legal frame work for implementing the decentralization policy.**

#### **Findings**

Table 1.9: Views of respondents on adequacy of the legal framework for implementing the policy

Source: Field data, 2013

<b>Responses</b>	<b>Respondents</b>	<b>Cumulative %</b>
Adequate	60	53.00%
Inadequate	43	37.00%
Not sure	12	10.00%
<b>Total</b>	<b>115</b>	<b>100%</b>

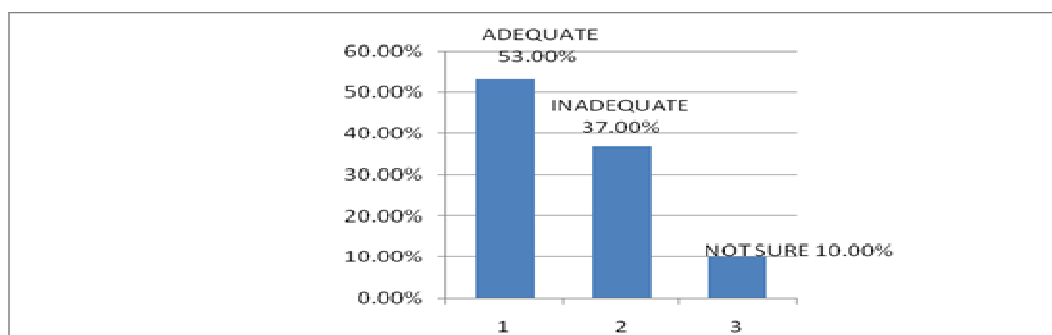


Figure 1.9: Views of respondents on adequacy of the legal framework for implementing the policy

Source: Field data, 2013

The data presented above show that more than half, 60, representing 53% of the respondents, felt that the legal frame work the implementing the policy was adequate. Forty three, respondents, representing 37%, said the legal frame work was not adequate and 12 respondents, representing 10%, were not sure.

## **Discussion**

Apart from the data above, several key informants elaborated on the adequacy of the legal frame work for implementing decentralization. The chief administrator for Mambwe district council, observed that, there are pieces of legislation in existence that act as the legal frame work for the implementation of the decentralization policy. She cited these as being the republican constitution, the local government Act, Cap 281 of the laws of Zambia, the provincial and district boundaries Act Cap 286, of the laws of Zambia, the local government electoral Act Cap 283 of the laws of Zambia and the village registration and development Act No. 30 of 1971.

Despite being in existence, these articles do not adequately address implementation procedures of the national decentralization policy. One key informant, who is a legal practitioner in the judiciary, lamented that, the constitution of Zambia (1996) does not cover anything worth relying on, as a basis for local government reforms, which can support the implementation of the national decentralization policy.

He illustrated that, Article 109 under Part (viii) of the republican constitution provides for only the establishment of a democratically elected local government system and leaves the rest to be prescribed by an Act of parliament. This is unlike the Malawian experience in the literature review, where it was observed that the decentralization reforms are founded on a very strong legal framework, which is jointly provided for in the Malawi republican constitution and the local government Act (1998) of Malawi, Dulani B(2013).



Another key informant at the ministry of local government observed that, the local government Act, Chapter 281 of the laws of Zambia, is a piece of legislation that establishes councils.

She, however, noted that the Act gives a lot of powers to the minister of local government and housing to determine almost everything on the operations of the established councils. This Act, the informant added, places councils as mere agents of central government. It is therefore, opposed to the spirit of devolution of power to the people. It cannot, therefore, be of any use in backing the implementation of the national decentralization policy.

Mambwe district council secretary explained that section II of the provincial and district boundaries Act chapter 286 of the laws of Zambia empowers the President to create or sub- divide the country into districts and provinces or alter them. The council secretary was, however, quick to point out that this Act does not provide for consultations with the local people or communities affected. To this effect, Zambia has seen the creation of new localities in the recent past. By September, 2013, 30 'new' districts had been created, 18 were already operational and 12 were yet to be operational, National Assembly(2013). The CS added that, although the creation of new districts is perceived as a means of decentralizing government, it has brought conflicts in a number of cases because people have had no input into the process. This is as opposed to decentralization being a tool for conflict resolution.

A key informant from Transparency International Zambia (TIZ), an NGO, expressed concern that the local government electoral Act, chapter 283 of the laws of Zambia does not inspire the will of the people.

This, he said, is because citizens do not elect the mayor or council chairpersons even when these are expected to be accountable to the public. Their allegiance is, therefore, to fellow councilors who elect them. This is against the principle of devolving power to the people. He further explained that the village registration and development Act No.30 of 1971 is no longer operational and most people are ignorant of its existence. This is

despite the fact that, this Act provides for the establishment of village productivity committees for community participation in decision making and development.

An observation made by most local government practitioners was that the 32 pieces of legislation on the administration of local government or local councils are disjointed. These include, mentioning but a few, the control of dogs Act Cap 381, extermination of mosquitoes Act Cap 537, and markets Act Cap 473 of the laws of Zambia, among others.

The huge number and the disjointedness of these pieces of legislation have resulted into lack of adherence to them by the general public. The CS expressed concern that, it is difficult for local authorities to reinforce them and prosecute offenders. This is because in addition to these pieces of legislation, councils also make by- laws which require approval of central government through the minister responsible for local government and housing.

From the primary data presented in table 1.5 and figure 1.5 and contribution from various key informants, it is clear that the legal frame work for implementation of the national decentralization policy needs some reforms to make it conform to the implementation process. The five pieces of legislation, if properly amended, would be useful in facilitating devolution of power and authority from central government to local authorities and consequently to local communities. Some of these pieces of legislation, such as the village registration and development Act, need reinforcement. Some of the current policies and pieces of legislation were developed without devolution in mind. They are, therefore, at variance with the requirements of devolution, NDP (2013). Assessment of legal and regulatory framework for its compatibility with the policy needs to be done.

The legal frame work for implementing the national decentralization policy in Zambia, though adequate, needs serious amendments, to strengthen it. In its present state, this legal frame work is weaker and not able to support implementation of the policy.

#### 4.4.2 Sufficiency of institutional frame work for implementation of the national decentralization policy?

##### Findings

Table 1.10: Perceptions on sufficiency of institutions for implementing the policy.

Responses	Respondents	Cumulative %
Very sufficient	17	14.88%
Moderately sufficient	63	54.89%
Insufficient	20	17.67%
Not sure	15	12.56%
<b>Total</b>	<b>115</b>	<b>100%</b>

Source: Field data, 2013

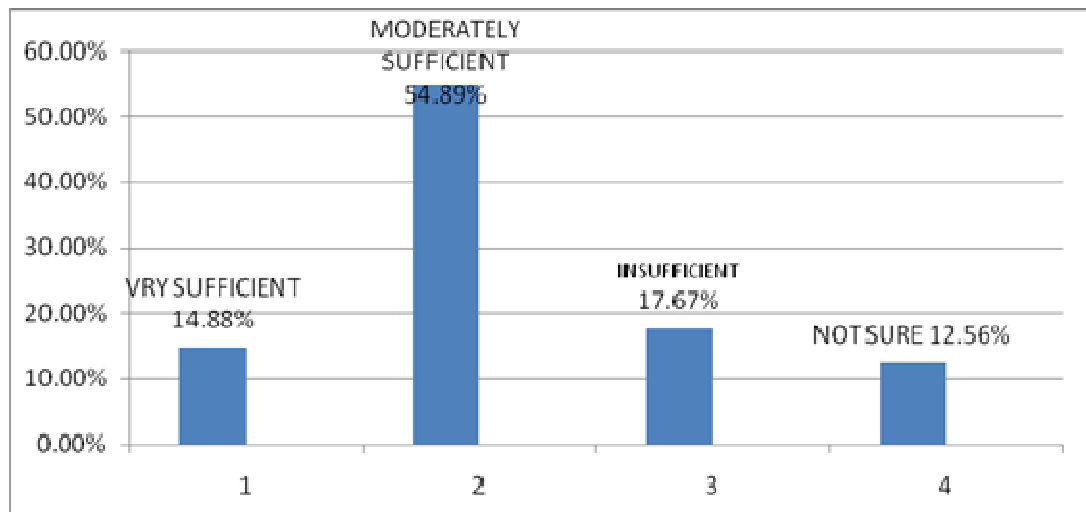


Figure 1.10: Perceptions on sufficiency of institutions for implementing the policy  
Source: Field data, 2013

Table 1.10. and figure 1.10 show that more than half of the respondents, 63, representing 55%, perceived the institutional frame work for implementing the national decentralization policy to be moderately sufficient, 20 respondents, representing 18%, said the institutional frame work was not sufficient and 15,

representing 13% of the respondents, were not sure. Only 17 respondents, representing 15% of the sample, said the institutional frame work was very sufficient.

## **Discussion**

In addition to the above responses, several key informants commented on the sufficiency of the institutional frame work for implementation of the policy. One local government practitioner observed that, there are several institutions in place which are responsible for implementing the policy at different levels, namely national, sectorial and departmental. The overall or umbrella institution is the ministry of local government and housing at national level. After the launch of the national decentralization policy in 2013, a committee of permanent secretaries from all sector ministries was formed. The committee spearheaded the creation of the Decentralization Secretariat at the ministry of local government and housing. The Secretariat was created to facilitate implementation of the decentralization policy at national level. The Secretariat operates under the ministry of local government and housing.

The provincial local government officer based in Chipata, observed that, there have been attempts to form a Provincial Devolution Task Force (PDTF). One such task force was formed but it has become defunct, as most members do not know their duties and the functions of the task force. Similarly, the council secretary for Mambwe district local authority said that, there have been unsuccessful attempts to form a district devolution task force because the mandate for the task force is not clearly understood. He added that the guidelines issued by the ministry of local government and housing through the decentralization secretariat leaves a lot of gaps in regard to the operations of the provincial and district devolution task forces.

From the responses in table 1.6 and additional information from key informants, it could be deduced that the institutional frame work existing for the implementation of the decentralization policy is sufficient. There is, in place, a ministry of local government and housing in charge of the implementation process. There is also the Decentralization

Secretariat with the sole responsibility of ensuring that the policy is implemented. Apart from that, the sector devolution task forces, though defunct at the moment,

could go a long way to campaign for the implementation of the policy at local levels. What may be lacking is to ensure that each of these institutions carries out its responsibilities as provided for in the guidelines. Other than that, devolution of some functions from sector ministries to local authorities is unlikely to commence in the near future. As one key informant lamented; between 12<sup>th</sup> and 17<sup>th</sup> December, 2012, both provincial and district devolution task forces were formed with designated functions. However, to date no activity has ever been undertaken by the formed devolution task forces.

#### **4.5 Attitude and other constraints in the implementation of the decentralization policy**

##### **Findings**

##### **4.4.1 How would you describe the attitude of implementers towards the national development policy?**

Table 1.11: Views of respondents on attitude of local government practitioners towards the policy.

<b>Response</b>	<b>Respondents</b>	<b>Cumulative %</b>
Very positive	35	27.91
Moderately positive	16	13.95
Less positive	14	12.09
Negative	47	40.8
Don't know	3	5.25
<b>TOTAL</b>	<b>115</b>	<b>100</b>

Source: Field data, 2013

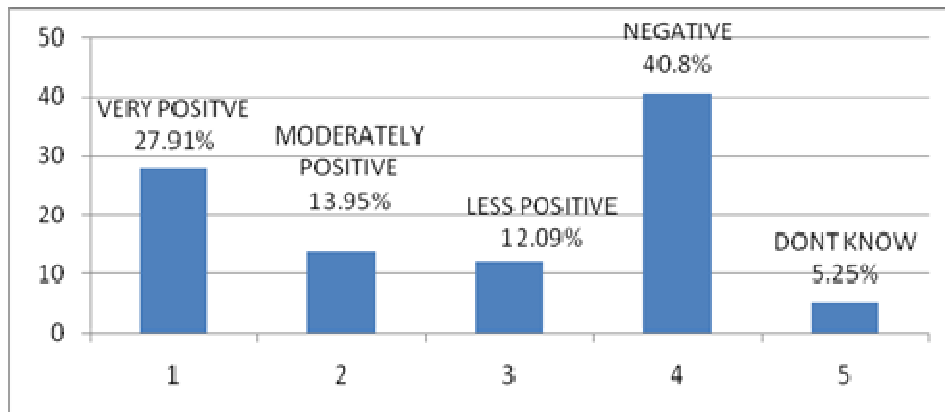


Figure 1.11: views of respondents on attitude of local government practitioners towards the policy.

Source: Field data, 2013

Table 1.11 and the summary of data given in figure 1.11 show that, out of the 115 respondents, 47 of them, representing 40.8%, perceived the attitude of local government practitioners as being negative towards the national decentralization policy, 14 or 12.09% of the respondents said that the attitude was less positive, 16 or 13.95% said, it was moderately positive, while 3 or 5.25% of the respondents were not sure. The remaining 35, representing 27.91% of the respondents, said the attitude of local government practitioners towards implementation of the decentralization policy was very positive.

## Discussion

Data collected from key informants and other individuals doing personal interviews revealed that the attitude of local government practitioners towards implementation of the national decentralization policy was negative. It was observed that most local government practitioners were not interested in the implementing of the policy. The district administrative officer for Mambwe noted that, most of the local government practitioners lacked seriousness in carrying out their roles pertaining to the implementation of the policy. Some local government practitioners interviewed explained that, implementers were afraid of their portfolios due to low qualifications.

Others said the reason for their negative attitude was that they were not sure or did not know what they were supposed to do in their role of implementing the decentralization policy. In a one on one interview with some local government employees of Mambwe local authority, the district planning officer, agreed that there were some perceived fears among local government employees regarding implementation of the policy. The fears included that the policy will fail and that there would be loss of employment, once the policy is fully implemented. Other fears included that the implementation of the policy may bring about unfavorable changes which may derail or waste resources. These fears have to be properly dealt with, so as to make the attitude of local government practitioners, who are the implementers of the decentralization policy, more positive. Otherwise the fears will affect implementation of the decentralization policy adversely. The negative attitude of local government practitioners is, therefore, a major constraint in the implementation of the decentralization policy in Zambia.

#### **4.5.2 Other constraints in the implementation of the national decentralization policy in Zambia**

##### **Findings**

Table 1.12: Rating of other constraints in implementing the policy

<b>Constraints</b>	<b>Total</b>	<b>Cumulative %</b>
Lack of political will	30	25
Lack of training	5	3
Lack of financial resources	21	18
Lack of human resource	5	6
Inadequate infrastructure	16	14
Asymmetric information	8	5
Change of governments	1	1
Creation of 'new' districts	1	1
Negative attitude of citizens	15	13
Lack of retention policies	10	8
Not sure	3	3
<b>Total</b>	<b>115</b>	<b>100</b>

Source: Field data, 2013.

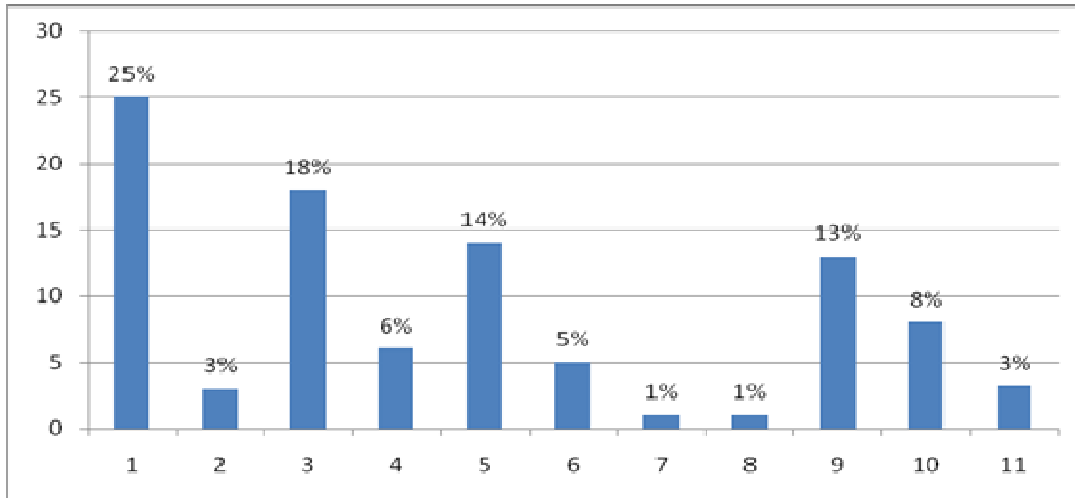


Figure 1.12: Rating of other constraints in implementing the policy

Source: Field data, 2013

Table 1.12 presents other possible constraints being faced in the implementation of the national decentralization policy in Zambia. Notable ones were, lack of political will, cited by 30 respondents, representing 25% of the sample; lack of financial resources, cited by 21 or 18% of the respondents, inadequate infrastructure was cited as a constraint by 16 out of 115 respondents or 14 %, negative attitude of citizens was perceived as a constraint by 15 respondents representing 13%. Other constraints not very significant to respondents were lack of retention policies for skilled manpower, asymmetric information (see conceptual certificate), lack of required human resource and lack of training for implementers. Other constraints were change of government and creation of new districts. Three (3) of the respondents representing 3.2% were not sure.

## Discussion

In addition to the data from respondents, one key informant, an official at the directorate of decentralization at MLGH, disclosed that the delay in following the roadmap as stipulated in the decentralization implementation plan phases was due change of government. At the time when then DIP was finalized in 2009, the then ruling party, MMD, was relying on the (2002) national decentralization policy. However, in September, 2011, MMD lost power to Patriotic Front.



It was the view of the new Patriotic Front government that, there should be a revision of the policy to take care of their manifesto and their vision for the country. From 2011, therefore, the Decentralization Secretariat had to do a revision which was not part of the original plan. This caused a delay in the implementation of the policy. A civil Society leader interviewed explained that there was lack of political will in the implementation of the national decentralization policy. He expressed concern that central government was not ready to let power go to the people at the grassroots through devolution. This is in order to safe guard the country's sovereignty and unitarianism. A parliamentarian interviewed cited failure by central government to adhere to calls to revise the decentralization implementation plan. Chipata centralMP explained that, the revision of the national decentralization policy makes it obvious that even the decentralization implementation plan should also be revised or else decentralization by devolution will not be realized, (Interview, January, 2014). The Parliamentarian lamented that the newly created districts had no infrastructure and that many of them are not yet functional. All this has added to difficulties that central government is facing in making pronouncements on implementing decentralization, a reality.

#### **4.6 Conclusion**

Chapter four has made the following significant revelations;

On awareness of the existence of the national decentralization policy, it has been observed that more than half of the respondents, or 57%, were aware. However, most of those aware, are those who are exposed to and have access to public information such as civil servants, politicians, NGO / FBO representatives and local government officials. Majority of the general public, 68%, are not aware of the existence of the national decentralization policy. Similarly, most of the respondents (53%) who are knowledgeable about the national decentralization policy are those who went up to tertiary level of education.

Although it was found that more than half (57%) of the respondents were aware of the existence of the national decentralization policy, the majority of them, 61%, were not knowledgeable about the contents of the policy document.

Social status or category of respondents had an influence on the awareness levels of respondents on the existence of the policy. Similarly, education attainment had an influence on the knowledge about the contents of the policy document.

On adequacy of the legal frame work, it was revealed that 53% of the respondents felt that the legal frame work was adequate. However, they were quick to point out that, there was need to review certain pieces of legislation in order to adequately address obstacles against implementation of the national decentralization policy. On sufficiency of the institutional framework for the implementation of the national decentralization policy, 70% of the respondents said the institutional frame work was from moderately sufficient to very sufficient. All that remained, they said, was to ensure that the structures put in place at national, sectoral and departmental levels become operational.

The Chapter further revealed that the attitude of implementers towards implementation of the policy ranges from less positive to negative. This was attributed to fears that characterize local government practitioners in regard to implementation of the policy. Other constraints in the implementation of the policy were rated as lack of political will, lack of financial resources, inadequate infrastructure and negative attitude of citizens, among others.

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## **5.0 CHAPTER FIVE**

### **SUMMARY OF CONCLUSIONS**

This chapter gives a summary of the conclusions made, based on findings of the study. The study aimed at investigating effort made or being made to overcome constraints in the full implementation of the decentralization policy in Zambia. This was done with special attention to Mambwe district in Eastern province. Firstly, major constraints in the full implementation of the policy were determined and secondly, measures taken to counter the difficulties were identified. The summary is given chapter by chapter.

Chapter one endeavored to set a base in which, consequences of delays in implementing the decentralization policy, were identified. The problem under investigated is unwarranted delays in implementing the 2002 (revised 2013) decentralization policy. It was tackled through two major objectives; one dealt with identification of possible constraints to the implementation of the policy, while the other analyzed effort into the implementation of the policy. To give a backdrop to the study, literature on similar works was reviewed. The literature review included studies within Zambia, the African continent and beyond. The study is premised on the elitist approach to policy making and implementation. Key concepts, whose application need to be understood were clarified. The research utilized both descriptive and explanatory designs. This is because both quantitative and qualitative data were collected using semi structured, self-administered questionnaires and interview guides. Methods of data analysis included Statistical Package for Social Sciences (SPSS), Microsoft excel and manual.

In chapter two, contextual features of Mambwe township and the entire district were given. Mambwe is located 75km south of Chipata, the provincial headquarters of Eastern province. It is about 675km from Lusaka, the capital city of Zambia. It is a remote /rural area with less economic activities apart from peasantry farming which is a major source of livelihood for the people. The population of Mambwe district is about 68, 918, the majority of whom are female C.S.O(2010). The population of Mambwe Township is 6,059.

Mambwe district include MambweTownship, Mfuwe airport and cropping, as well as Msoro sub centre. The main route to MambweTownship is the Chipata–Mfuwe road, which has recently been tarred. Apart from the local council, Mambwe district has other government departments representing different ministries .These include departments of education, agriculture, works and supply, health, community development and social welfare, home affairs and national registration. This is in addition to several Non-Governmental Organizations and Faith Based Organizations. Sanitation and water supply in Mambwe district is still very poor. Mambwe district council’s capacity is very far from fulfilling the over 60 functions of a local authority.

Chapter three begins by providing personal particulars of respondents. The sample included 115 respondents and 15 key informants, making a total of 130 individuals. Seventy four (74) of the respondents were male and forty one (41) was female. The respondents were randomly drawn from low cost (60 respondents), medium cost (40 respondents) and high cost (15 respondents) house-holds of MambweTownship. The status or categories of the respondents included civil servants, politicians, local government practitioners, the general public and NGO/ FBO representatives, who were heads of the randomly selected households in the township. Key informants included departmental heads, senior council officials, provincial local government officers, political leaders, members of the provincial and district devolution task forces and decentralization secretariat officials.

Chapter three also revealed several actions and omissions by stakeholders that constitute effort or lack of it in the implementation of the decentralization policy. Firstly, the research revealed that government has put in place a roadmap or plan for the implementation of the policy. Sixty five percent (65%) of the respondents confirmed that, there is a decentralization implementation plan. However, majority of the respondents said that many stages or sections of the plan are not being followed strictly. The plan was also found to be inadequate, as it does not involve the local communities affected. The research also revealed that central government is making effort by showing political will towards implementation of the decentralization policy, but only to a very weak extent.

Central Government seems not set to go the full way of devolution for fear of losing power and control at the local levels. It was revealed in this study that not much has been done to sensitise the general public on the implementation process of the decentralization policy. Furthermore, the study showed that government is not committed to providing resources for the implementation of the decentralization policy. The findings were that central government is not committed to providing training to existing local government staff so as to equip them with necessary knowledge and skills for implementing the policy.

As opposed to empowering local authorities with financial resources, central government is reducing their fiscal capacity by abolishing certain sources of revenue for certain local authorities. Central government control on local authorities is still strong, as decisions are made on their behalf by the minister of local government and housing.

Chapter four reveals the constraints being faced by stakeholders in the full implementation of the decentralization policy. These include lack of awareness of the existence of the policy among the general public, whom only 32% were aware of the policy's existence. It was found that there is a relationship between awareness of existence of the policy and one's status or category. Furthermore, education attainment of respondents had a bearing on the knowledge about contents of the decentralization policy. Those who went up to tertiary level were more knowledgeable about the policy contents, while those who ended at primary and secondary school levels were not. Lack of knowledge about the contents of the policy among those who are less educated is, therefore, a constraint to the full implementation of the policy.

The other constraint is a weak legal framework for implementing the policy. There is lack of conformity of the legal framework to the implementation process of the policy. Several pieces of legislation were found to be irrelevant and outdated in regard to the implementation of the policy. The institutional framework was also found to be moderately sufficient but non-operational. Institutions such as devolution task forces have operational challenges and are, therefore, defunct. The other constraint to the implementation of the decentralization policy, which was revealed in this study, is the negative attitude of local government practitioners towards the policy,

for which they are the implementers. The studies revealed that there are perceived fears among the implementers in regard to the consequences of implementing the policy. There is, therefore, uncertainty among them resulting into a negative attitude. The chapter finally rates other constraints in the implementation of the policy on decentralization in order of significance as; lack of political will, lack of financial resources, inadequate infrastructure, negative attitude of citizens, among others.

This research, therefore, revealed that, over all, not much effort is being made to overcome constraints being faced in the implementation of the decentralization policy in Zambia, hence the delay in its full implementation.

### **Recommendations**

From the above findings and conclusions, the study recommends that central government should provide adequate information to all stakeholders on the implementation of the policy. Use of local languages in information dissemination on decentralization processes should be considered. Central Government should strengthen the legal framework that supports implementation of the policy. Adequate resources, human, financial and material should be provided to institutions involved in the implementation process to make them operational. The ministry of local government and housing should motivate, educate and train local government practitioners to make their attitude towards the policy, positive. The decentralization implementation plan needs to be followed strictly by all stakeholders.

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## **APPENDIX A: EXTRACT FROM NATIONAL DECENTRALISATION POLICY OF ZAMBIA (2002)**

### **3.0 VISION AND OBJECTIVES**

#### **3.1 Vision**

3.1.1 The vision of Government to achieve a fully decentralised and democratically elected system of governance characterised by open, predictable and transparent policy making and implementation processes, effective community participation in decision-making, development and administration of their local affairs while maintaining sufficient linkages between the centre and the periphery.

#### **3.2 Objectives**

3.1.1 In order to achieve the Government's vision, the following policy objectives will be pursued:

- (a) empower local communities by devolving decision making, function 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 a mechanism to ensure a "bottom up" flow of integrated development planning and budgeting from the District to the Central Government;
- (c) enhance local political and administrative authority in order to effectively and efficiently deliver services;
- (d) promote accountability and transparency in the management and utilisation of resources;
- (e) develop the capacity of Local Authorities and communities in development planning, financing, co-ordinating 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.

### **4.0 POLICY MEASURES**

#### **4.1 National, Provincial, District and Sub-District**

##### **4.1.1 Institutional Arrangements**

4.1.1.1 In order to achieve the stated vision, Government will establish a new decentralised structure of governance, backed by law, through which services will be delivered.

4.1.1.2 The new structure will comprise four levels namely National, Provincial, District and Sub-district.

4.1.1.3 In this decentralised structure the Province will be streamlined because it is an important link between the centre and the district. The District shall be the focus for development and service delivery, thus empowering local communities to play an effective role in national affairs. At the district level, there shall be a system of Local Government based on democratically elected councils on the basis of universal adult suffrage. The sub-district level shall be introduced.

##### **4.1.2 Functions**

4.1.2.1 Decentralisation will not necessarily imply that all authority will be transferred to local authorities. The Central Government (including line ministries) will retain a core of functions over essential national matters and ultimately have the authority to redesign the system of government and to discipline or suspend decentralised units that are not performing effectively. Specifically, the Central Government will retain the overall responsibility of:

- (a) general and legislative Policy formulation, monitoring and evaluation and provision of advice to Councils on their operations;
- (b) setting national performance standards;
- (c) controlling arms, ammunition and explosives;
- (d) national defence and security;
- (c) regulating banks and financial institutions, promissory notes, currency, and exchange;
- (f) citizenship, immigration emigration. refugees, deportation, extradition and designing of passports and national identities;
- (g) copyrights, patents, trademarks and all forms of intellectual property, incorporation and regulation of business organisations;
- (h) control of state land and minerals;
- (i) declaration of public holidays, working and shopping hours;
- (j) preservation of national monuments, antiquities, archives and public records;
- (k) foreign relations and trade, regulation of trade and commerce;
- (l) national and local government elections;
- (m) guidelines on national census and statistics;
- (n) control of publications of national surveys and mapping;
- (o) control and management epidemics, pandemics and disasters;
- (p) airports, aerodromes and air strips;
- (q) national development projects and programmes;
- (r) correctional policy and maximum security prisons;
- (s) trunk roads and highways;
- (t) prosecutorial functions;
- (u) high school and tertiary education; and
- (v) any other functions delegated by Parliament.

4.1.2.2 At the Provincial level, functions to be performed include:

- (a) co-ordinating and consolidating district plans into provincial development plans for submission to the centre;
- (b) monitoring the utilisation of resources and implementation of development programmes in the province;
- (c) coordinating and auditing of local institutions;
- (d) preparing provincial progress reports for the central Government on the implementation of development programmes and projects;
- (e) ensuring implementation of Central Government policies and regulations;
- (f) implementation of National development projects and programmes which cut across sectors;
- (g) ensuring proper utilisation and maintenance of Government buildings, equipment, plant and other infrastructure; and
- (h) any other functions delegated from the centre.

4.1.2.3 The Government shall decentralise with matching resources, some of its function& to the district, which shall perform these functions through democratically elected councils. The Councils will raise part of their own revenue and receive grants from central treasury and line ministries to perform the devolved functions such as'.

- (a) coordination of decentralised structures, including Health and Education Boards;
- (b) disaster management;
- (c) community development;
- (d) primary health care;
- (c) primary and basic education;
- (f) water and sanitation;
- (g) rehabilitation, maintenance and construction of feeder roads;
- (h) infrastructure development and maintenance;
- (i) planning and implementation of development projects and programmes;

- (j) mobilisation of local resources;
- (k) preparation of progress reports for the province;
- (l) management, conservation of natural and wildlife resources;
- (m) environmental services;
- (n) provision and maintenance of public amenities;
- (o) land allocation and utilisation;
- (p) trade and business licensing;
- (q) agriculture extension services;
- (r) bye-laws;
- (s) community Police Service;
- (t) community Prisons Service;
- (u) youth and juvenile delinquency; and
- (v) any other functions as delegated from the centre.

4.1.2.4 The Government will build capacity of Councils to perform core management functions such as planning and budgeting, personnel and financial management as well as delivery of public services.

4.1.2.5 The Government will contribute towards the provision and delivery of some public services while developing capacities of the Councils. When the management capacity has been built, Councils will be given more authority and higher degree of autonomy while maintaining sufficient linkages with the centre as demanded in unitary state. However, this is a long term task requiring an evolutionary approach.

4.1.2.6 Government will ensure that sub-district structures are established for the effective and efficient delivery of services. The functions to be performed will include promotion of community participation in decision making development planning and implementation.

#### 4.1.3 Other Measures

##### Development Planning

4.1.3.1 In order to address the challenges relating to development planning, Government will:

- (a) provide a legal backing to the development planning process and output;
- (b) link the operations of Area Development Committees (ADCs), DDCCs, PDCCs and NDCCs through the submission of reports and feedback;
- (c) facilitate the establishment of District Planning Units managed by qualified personnel; and
- (d) devise mechanisms for strengthening the linkage between planning and national budgeting process.

##### Human Resource Development and Management

3.2 To address issues related to development and management of human resources Government will:

- (a) develop a comprehensive National Employment Policy categorising functions and responsibilities at each level;
- (b) restructure and redefine the role of all the Service Commissions in order to ensure that they do not deal with the day-to-day functions of recruitment, promotions, transfers and discipline because these will be the responsibility of sector Ministries, Provinces and Districts. The Commissions' role shall be restricted to issuing guidelines, monitoring and as appellant bodies of last resort,
- (c) assist Councils to devise and introduce performance, management and appraisal systems for effective and improved service delivery;
- (d) grant Councils powers to manage and develop human resources in their areas;
- (e) ensure that the decentralised functions are accompanied by appropriately, qualified staff to be surrendered from the national and provincial levels with specified job descriptions and conditions of service and entitlement;
- (f) ensure that establishments of Councils are based on their capacity to pay and services to be delivered;

- (g) develop a comprehensive National Training Policy which should be adaptable to local needs;
- (h) ensure that Councils devise appropriate human resource development programmes based on the identified training needs for Councillors and officials; and
- (i) local training institutions for effective development.

#### Infrastructure Development and Maintenance

4.1.3.3 In order to address challenges relating to infrastructure development maintenance, the Government will:

- (a) develop a comprehensive policy on infrastructure development and management;
- (b) provide adequate resources in the National budget;
- (c) release resources as approved by Parliament;
- (d) design and implement capacity building programmes for infrastructure development and maintenance responsive to the needs of local communities; and
- (e) include a culture of preventative maintenance at all levels

#### Financial Mobilisation and Management

4.1.3.4 To carry out the decentralised functions on a sustainable basis, Government will:

- (a) devise a mechanism for mobilising of local financial resources;
- (b) introduce participatory budgeting for development activities at the district level;
- (c) devise formulae for disbursement of funds to Councils;
- (d) establish a special Equalisation Fund to enable rural district attract Investments and retain qualified human resources thereby ensuring sustainable decentralisation;
- (e) enact a legislation, which will ensure adherence to timely release of funds by Ministry of Finance and National Planning as approved by Parliament;
- (f) establish District Tender Committees in order to enhance checks and balances in the procurement of goods and services;
- (g) devise and implement appropriate financial management systems to strengthen financial management, transparency and accountability in Councils;
- (h) introduce a District Integrated Fund and Budget for district development; and
- (i) transfer the Local Government Finance and Audit Section under the Ministry of Local Government and Housing to the Office of the Auditor-General in order to enhance capacity and ensure timely auditing of books of accounts of the Councils.

### 4.2 Local Government

#### 4.2.2.1 Functions of Councils

4.2.1.1 The Councils shall continue to perform their statutory functions in conjunction with the decentralised functions as stipulated in this document.

4.2.1.2 The Mayor/Council Chairperson will oversee the administration of the Council and shall preside over council meetings. The Mayor/Council Chairperson shall be accountable to the electorate and will co-ordinate with the Provincial Administration on all matters of local governance in the District.

#### 4.2.2 Local Government Electoral System

4.2.2.1 A Mayor/Council Chairperson elected by universal suffrage in the Council area will head the Council. In order to redress the challenges associated with the Local Government electoral System, the system of Local Government shall be based on democratically elected Councils on the basis of universal adult suffrage as provided for in the Constitution.

### 4.3 Legal Framework

4.3.1 In order to address the issue related to legal framework, the Government will review existing legislation and establish a comprehensive legal framework on decentralisation.



## **5.0 IMPLEMENTATION**

### **5.1 Time Frame**

5.1.1 The time frame for the implementation of this policy is ten (10) years from the time of this adoption.

### **5.2 Institutional Arrangements**

5.2.1 At the national level, an ad-hoc Decentralisation Policy Implementation Committee (DPIC) will be established to provide leadership and direction on the implementation process. The DPIC will be serviced by a Secretariat comprising of Officers from the Policy Analysis and Coordination Division, Management Development Division and Ministry of Local Government Housing. The DPIC will, be phased out when the capacity in the Councils has been built. The committee will comprise:

- (a) Ministry of Local Government and Housing;
- (b) Management Development Division, Cabinet Office;
- (c) Policy Analysis and Coordination Division, Cabinet Office;
- (d) Ministry of Education;
- (e) Ministry of Finance and National Planning;
- (f) Ministry of Agriculture and Co-operatives
- (g) Ministry of Health;
- (h) Ministry of Community Development and Social Services;
- (i) Ministry of Home Affairs;
- (j) Ministry of Sports, Youth and Child Development;
- (k) Ministry of Lands;
- (l) Ministry of Science, Technology and Vocation Training; and
- (m) Ministry of Legal Affairs.

5.2.2 At the provincial level, the Permanent Secretaries will facilitate, coordinate and oversee the implementation of capacity, building programmes in their respective Provinces with the assistance of the DPIC.

5.2.3 At the district level, there will be a Council, composed of elected representatives, responsible for the delivering of services and a Government representative, appointed by the Public Service Commission, to monitor operations.

5.2.4 At sub-district level, Area Development Committees (ADCs) will be established in each ward. The nature of ADCs will vary between urban and rural districts.

### **5.3 Reporting Relationship**

5.3.1 The Provincial Administration will be the link between the national and the district level.

5.3.2 At district level, the Council and the Government representative will report to the Provincial Administration.

5.3.3 The sub-District Level will report to Councils.

## **6.0 RESOURCE MOBILISATION AND FINANCING THE DECENTRALISATION SYSTEM**

6.1 For the decentralisation process to be successful and on a sustainable basis, there will be need for adequate funding. The Government is committed to fund the implementation of the decentralisation process.

6.2 The Government will also raise resources from the following:

- (a) Cooperating partners;
- (b) Contributions through Community participation;
- (c) Private investment in local development projects; and
- (d) NGOs participating in local development projects and service delivery.

## **APPENDIX B: EXTRACT FROM Decentralization Implementation Plan (2009-2013)**

### **Main Components of the Decentralization Implementation Plan**

#### ***3.1 Aim of the Decentralisation Implementation Plan***

In broad terms, the purpose of the Decentralisation Implementation Plan (DIP) is to provide a roadmap that will guide the efforts of all stakeholders through the articulation of their roles in the implementation of the Decentralization Policy. Specifically, this entails the following:

- a) to clearly articulate components of the DIP;
- b) to define the steps, prioritisation, and sequence of the components/activities;
- c) to provide a guide for the preparation of detailed annual work plans for each component;
- d) to provide the background and rationale for the proposed interventions, their timing and duration;
- e) to indicate linkages between the major activities;
- f) to estimate the DIP resource requirement for its effective implementation;
- g) to outline the institutional framework for implementing the Policy and how the implementation process and inputs from the various stakeholders will be coordinated, monitored and evaluated; and
- h) to indicate the financing mechanisms for the Plan.

#### ***3.2 The Components of the Plan***

The key components of DIP have been derived from an assessment of the objectives and aim of the National Decentralization Policy, the Presidential Speech to Launch the Policy, the Committee of Permanent Secretaries' Report on the creation of a Decentralization Secretariat, and the experiences from Zambia's previous initiatives at decentralisation as well as those of other countries in the region that have implemented decentralization policies. The Plan presents the rationale, objectives, strategies, expected outputs, and activities for the following nine components:

1. Sensitisation and Civic Education
2. Legal and regulatory Reforms
3. Institutional and Human Resource Capacity Building
4. Local Development Planning and Budgeting
5. Financial Management and Accounting
6. Fiscal Decentralisation and Revenue Mobilisation
7. Sector Devolution
8. Infrastructure Development and Services Provision
9. Monitoring and Evaluation

With the exception of Component 7 (Sector Devolution) and its immediate supportive elements in components 2 and 6 (Legal and Regulatory Reforms/Fiscal Decentralisation respectively) which comprise the core of the decentralisation implementation process, the rest of the components comprise activities which are provided for and are ongoing through regular mandates of different implementing agencies. Details of each component are as follows;

##### **3.2.1 Sensitisation and Civic Education**

###### ***3.2.1.1 Rationale***

Considering the time it has taken since the approval of the Decentralisation policy in 2002 and given the complexity of the changes that have to be effected, the Government recognises the need to sensitise all the stakeholders on the Policy in terms of its contents and implications on how the country will be governed. ©GRZ, *Decentralisation Implementation Plan 2009-2013*, December 2009

It is equally important to sensitise people on how the mode of service delivery has been altered by the Policy of Decentralisation, particularly the roles and responsibilities of the different stakeholders. In this regard, the Government maintains that the sharing of this information is vital for the success of the Policy. Sensitisation, civic education and the consolidation of a democratic culture are considered important to the extent that they create awareness and understanding among stakeholders to enable them play their roles more effectively.

#### **3.2.1.2 Objective**

The main objective of the component on Sensitisation and Civic Education is to increase stakeholders' awareness, knowledge, understanding, participation and ownership of the decentralization processes in order to achieve smooth and effective implementation of the Policy.

#### **3.2.1.3 Outputs**

The following are the expected outputs of the Sensitisation and Civic Education component:

- a) Functional Communications Strategy.
- b) Enhanced awareness about the Decentralization Policy and processes within Government, among co-operating partners, and among all key stakeholders.
- c) Effective participation in decision-making and development process by communities and Council officials.

#### **3.2.1.4 Strategy**

- a) Conducting nation-wide sensitisation on Decentralisation Policy and DIP
- b) Production and dissemination of materials on decentralisation
- c) Facilitation of the mounting of civic education programmes

#### **3.2.1.5 Activities**

##### *Sensitisation and Civic Education*

- 1.1 Develop a communication strategy for sensitisation;
- 1.2 Conduct decentralization sensitisation workshops at the national, provincial, district and sub district levels;
- 1.3 Prepare civic education materials;
- 1.4 Prepare and disseminate decentralization materials;
- 1.5 Sensitise citizens on gender issues, HIV and AIDS and the environment.
- 1.6 Conduct civic education programmes, focusing on the training of district and

sub-district level personnel and local communities

- 1.7 Train district and sub-district personnel and local communities in human rights, elements of a democratic culture and power sharing in a unitary state.

#### **3.2.2 Legal and Regulatory Framework**

##### **3.2.2.1 Rationale**

The decentralisation Policy's objective (h) aims to *provide a legal and institutional framework to promote autonomy in decision-making at the local level*. The current policies and pieces of legislation governing the operations of the public service, in general, and sector Ministries/departments, in particular, were developed without devolution but with deconcentration in mind. Some of them are at variance with the requirements of devolution as enshrined in the Decentralization Policy. The aim of this component is, therefore, to create an enabling legal environment for the implementation of the Decentralization Policy in Zambia. The

policies and sectoral laws conflicting with the Decentralization policy must be identified and reformed accordingly to achieve a supportive legal framework for decentralization. ©GRZ, *Decentralisation Implementation Plan 2009-2013*, December 2009

#### **3.2.2.2 Objective**

The main objective of the component on Legal and Regulatory Framework is to develop a comprehensive legal and regulatory framework that facilitates the implementation of the Decentralization Policy.

#### **3.2.2.3 Outputs**

- a) A comprehensive legal and regulatory framework that facilitates the implementation of the Decentralization Policy.
- b) An effective decentralised management system.

#### **3.2.2.4 Strategies**

Assessment of legal and regulatory framework for its compatibility with the decentralisation policy

#### **3.2.2.5 Activities**

##### *Legal and Regulatory Reforms*

- 2.1 Review existing laws, government policies, procedures and regulations to make them compatible with Decentralization Policy.
- 2.2 Draft bills on reviewed legislation to achieve compatibility with the Policy and facilitate enactment of legislation.

### **3.2.3 Institutional and Human Resource Capacity Development**

#### **3.2.3.1 Rationale**

Objective (c) of the Decentralisation Policy aims to *enhance local political and administrative authority in order to effectively and efficiently deliver services*. The need to enhance institutional capacity for the implementation of the Decentralisation Policy is relevant at all levels of Government. On the human resource front, the Decentralization Policy Document demonstrates the challenges facing human resources development and management, acknowledging the need for capacity enhancement for personnel managing the key institutions responsible for implementing the decentralization process. These key institutions include the Decentralization Secretariat, Government Ministries and Departments, Provincial Administration, Councils, and Area/Ward/Village Development Committees. Management capacity in some of these institutions, especially at the provincial, district and sub-district levels is particularly weak, suggesting the need for retooling staff at these levels in light of their new functions, focussing on policy formulation, service regulation, coordinating, training etc. Councils still remain characterized by weak capacity in integrated planning and budgeting, strategic planning and performance management. Similarly, weak revenue collection mechanisms and limited internal auditing capacity combine to pose a major institutional and human resource capacity challenges as the country prepares for implementing the Decentralisation Policy. However, despite the weak capacities in Councils, some sector ministries such as Agriculture and Cooperatives, Education, and Health have developed levels of competencies as a result of restructuring. Through sector devolution, Government intends to rationalise the utilisation of such capacities by transferring them into unified management structures under Councils.

In the light of the above, the Component of Institutional and Human Resource Capacity Development aims at:

- a) developing appropriate organizational structures and the establishment and installation of management information systems, providing the necessary equipment especially to the Councils, and defining the roles of different institutions in the implementation of the Policy; and

b) developing a holistic approach to human resource capacity building in all the key institutions that shall be involved in the implementation of the Decentralization Policy.

©GRZ, *Decentralisation Implementation Plan 2009-2013*, December 2009

#### **3.2.3.2 Objectives**

The main objectives of the component on Institutional and Human Resource Development are as follows:

- a) To create and strengthen institutional capacities to implement, manage and support decentralized governance, development and service delivery.
- b) To develop the management and technical capacities of the human resources of the key institutions that are responsible for implementing the decentralization process so that they can effectively perform their roles
- c) To enhance the role of traditional authority through better definition and clarification of its relationship with other institutions in the implementation of the Decentralization Policy.

#### **3.2.3.3 Outputs**

- a) Strengthened national human resource capacities.
- b) Enhanced institutional capacities and systems.
- c) Appropriate organizational and management structures and systems at all levels of government for local governance, service delivery and development.
- d) Strengthened training institutions and other relevant bodies that provide capacity building services relevant to decentralisation.
- e) Better defined roles and responsibilities of service institutions.
- f) Strengthened institutional structures that are supportive of the decentralisation policy.

#### **3.2.3.4 Strategy**

Development of the requisite institutional and human resource capacities for effective delivery of services

#### **3.2.3.5 Activities**

3.1 Review the operations, composition and relationships of ADCs, DDCCs, PDCCs and NDCC vis-à-vis Decentralization Policy.

3.1.1 Define the coordination and reporting systems between the central, provincial, district, and sub-district levels.

3.3 Review the functional managerial requirements of the Districts i.e., District Commissioners' role in relation to the devolved local government system.

3.4 Develop an appropriate organizational/management structures and systems for Councils.

3.5 Establish Area Development Committees in every Ward and develop suitable organisational framework at lower levels.

3.6 Determine the information requirements for planning at the district, provincial

3.7 Procure information management hardware and software for MIS at provincial and district level.

3.8 Link district MIS with Provincial and National MIS.

3.9 Undertake systems development.

3.10 Develop a comprehensive Pay Policy for Local Government

3.11 Strengthen learning/training institutions to enable them to build DIP capacity requirements

3.12 Define the role of traditional authority in DIP.

3.13 Redefine the role of the Local Government Service Commission.

3.14 Reinstatement of Local Government Service Commission.

3.15 Strengthen the management and coordinating capacity of ministries and

provincial administration through restructuring and training.

3.16 Strengthen the Decentralisation Secretariat and other implementing agencies

to effectively spearhead the implementation of Decentralisation Policy.

3.17 Train District and Provincial MIS personnel in collecting, analysing,

©GRZ, *Decentralisation Implementation Plan 2009-2013*, December 2009 processing, entering data and use of the data for decision-making.

3.18 Conduct a comprehensive assessment of human resource capacity needs for Central Government, Provincial Administration, Councils, and sub-district structures in line with the Decentralisation Policy.

3.19 Develop and implement a human resource Capacity Building Programme for local government.

3.20 Develop a Human Resources Management Policy that enables staff to move

from central government to local government and vice-versa without loss of benefits.

3.21 Develop a comprehensive Public Service Training Policy reflecting

decentralisation concerns.

### **3.2.4 Local Development Planning and Budgeting**

#### **3.2.4.1 Rationale**

Decentralization Policy objective (b) aims to *design and implement a mechanism to ensure a “bottom up” flow of integrated development planning and budgeting from the District to the Central Government. Objective (e) of the Policy also aims to develop the capacity of local authorities and communities in development planning, financing, coordinating and managing the delivery of services in their areas. Objective (g) aims to introduce an integrated budget for district development and management.* The three Policy objectives emphasize the need for a bottom up planning process; the need to link planning and budgeting within the context of district strategic plans; the need for community input in the planning process; and the central position of the district in the service delivery and development process. The effective implementation of the Policy calls for a solid local development planning and budgeting system with linkages from sub-district units to district, provincial, and national levels.

#### **3.2.4.2 Objective**

The main objectives of the component on Local Government Planning and Budgeting is to develop and implement a new integrated planning and budgeting system that is supportive of the National Decentralization Policy.

#### **3.2.4.3 Outputs**

- a) An integrated local development planning and budgeting system
- b) Strengthened District Planning Units
- c) Operational participatory approaches to planning and budgeting
- d) Existence of District Socio-economic Profiles and Strategic Development Plans
- e) Functional computerized data base system at the district level

#### **3.2.4.4 Strategy**

Capacity building for integrated planning and budgeting

#### **3.2.4.5 Activities**

*An integrated local development planning and budgeting system*

4.1 Review and update existing planning and budgeting manuals planning and budgeting procedures that conform to the DP.

4.2 Synchronize sub district, district and national planning and budgeting cycles.

4.3 Introduce participatory planning and budgeting for development activities at the district and sub-district level.

4.4 Train Area Development Committees members in development planning and decision making.

4.5 Review the current district strategic plans to incorporate planning concerns at sub-district level.

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4.6 Integrate physical planning and socio-economic planning approaches in Strategic Plans for Districts and Provinces

### **3.2.5 Financial Management and Accounting**

#### **3.2.5.1 Rationale**

Objective (d) of the Decentralization Policy is intended to *promote accountability and transparency in the management and utilization of resources*. The Policy stresses the need to ensure that putting in place of an effective financial management and accounting systems that promote accountability and transparency is an important component of this Implementation Plan.

#### **3.2.5.2 Objective**

The main objectives of the component on Financial Management and Accounting is to promote accountability and transparency in the management and utilization of public resources.

#### **3.2.5.3 Strategies**

Development of financial management and accounting/oversight capacities for decentralised functions

#### **3.2.5.4 Outputs**

- a) A computerized financial management and accounting system for Councils
- b) Strengthened District Tender Committees
- c) Reliable Internal Audit Guidelines and mentoring for Councils by Provincial Local Government Officers (PLGOs)
- d) Transfer external Audit Office from MLGH to OAG.
- e) Office of the Auditor General (OAG) strengthened in auditing accounts of Councils
- f) Strengthened capacity of the finance departments of Councils

#### **3.2.5.5 Activities**

*Computerized financial management and accounting system*

5.1 Strengthen the current district financial management and accounting information system and practices.

5.2 Install financial management and accounting systems/procedures for councils to enhance accountability and transparency.

5.3 Strengthen the capacity of finance departments of councils through rationalisation and recruitment of qualified personnel and training.

5.4 Update operational guidelines for district tender committees and orient district tender committee members in the use of guidelines.

5.5 Update Internal Audit Guidelines for use by Councils.

5.6 Strengthen Internal Audit Units in Councils

5.7 Strengthen the role of PLGOs in supporting the operations of Councils through advisory backstopping.

5.8 Strengthen the OAG to enable it to better manage the volume of audit

work coming from Councils.

5.9 Strengthen the oversight capacity of communities through ADCs and local stakeholders through the development of community participatory approaches.

### **3.2.6 Fiscal Decentralization and Revenue Mobilization**

#### **3.2.6.1 Rationale**

The major fiscal decentralisation challenges include the limited financial resources at the disposal of the government, coupled with significant imbalances in tax assignments between central and local government. In the short run, a financing mechanism for transferring resources from central Government ©GRZ, *Decentralisation Implementation Plan 2009-2013*, December 2009

and cooperating partners to Councils has to be worked out. Similarly, the ability of Councils to mobilize local revenues should be strengthened.

#### **3.2.6.2 Objective**

The main objectives of the component on Fiscal Decentralisation and Revenue Collection is to establish and operationalize a comprehensive local government financing system and enhance the capacity of Councils to effectively mobilize the required resources for effective service delivery.

#### **3.2.6.3 Outputs**

- a) Functional inter-governmental fiscal transfer formulae
- b) Enhanced revenue collection capacity of Councils.
- c) Strengthened resource mobilisation capacity from internal and external sources
- d) Enabling legislation for resource mobilisation and management

#### **3.2.6.4 Strategies**

- a) Work towards the financial empowerment of Councils through fair and equitable sharing of public resources for effective service delivery
- b) Enhance internal capacities of Councils to raise and manage own resources

#### **3.2.6.5 Activities**

Development of an Intergovernmental Fiscal Framework by a specifically instituted Team (reporting to the Decentralisation Secretariat) that shall address local government finance and fiscal issues, focusing on the following:

- 6.1 Review current government sources of revenue and transfers and recommend potential sources of revenue for Councils.
- 6.2 Recommend measures to redress the imbalance in tax assignments between central and local government.
- 6.3 Establish formula for revenue sharing and commence transfer of grants directly to Councils.
- 6.4 Establish a special Equalization Fund.
- 6.5 Establish a system for regular reviews of, and recommendations on, periodic revisions of the level of personal levy and other charges.
- 6.6 Strengthen the enforcement of legislation to ensure adherence to timely release of funds to Councils by MFNP.
- 6.7 Establish consensus within Central Government and **clear all outstanding debt of Councils** to restore public confidence
- 6.8 Develop and apply effective revenue collection mechanisms for use by district councils.
- 6.9 Enhance the human resource capacity in district councils in revenue collection.
- 6.10 Transfer Local government Finance and Audit Section from MLGH to Auditor General's Office.



### **3.2.7 Sector Devolution**

#### **3.2.7.1 Rationale**

Objective (a) of the Decentralization Policy aims to empower local communities by devolving decision-making authority, functions and resources from the Centre to the lowest levels with matching resources in order to improve efficiency and effectiveness in the delivery of services. This objective provides the justification for a sector devolution component in the Implementation Plan. Zambia has opted for devolution as its preferred form of effective service delivery at the local level while at the same time maintaining sufficient linkages between the centre and the periphery. This means that devolution is not an alternative to centralization. The two approaches will complement each other in promoting development and service delivery. The National Decentralization Policy stipulates the functions to be performed at the ©GRZ, *Decentralisation Implementation Plan 2009-2013*, December 2009 central government level, at provincial administration level, at district council level, and at the sub-district level.

#### **3.2.7.2 Objective**

The main objective of the component on Sector Devolution is to achieve timely and effective devolution of designated functions from sector Ministries to Councils for effective service delivery.

#### **3.2.7.3 Outputs**

- a) Guidelines on sector devolution
- a) Devolution Plans for Sectors
- b) Effective decentralised system of governance at all levels.

#### **3.2.7.4 Strategies**

Work towards the right-sizing of the central government and the empowerment of Councils through effective devolution of power and responsibilities from central ministries.

#### **3.2.7.5 Activities**

- 7.1 Prepare guidelines for use by Ministries in developing their sector devolution plans.
- 7.2 Develop sector devolution master plan.
- 7.3 Classify sector ministries into phases for devolution
- 7.4 Conduct orientation workshops on sector devolution for Ministries.
- 7.5 Establish Technical Working Groups (TWGs) and Sector Task Forces within each Ministry to spearhead the devolution process
- 7.6 Establish Sector Devolution Task Forces for each Council to steer the process at the district level and to act as a focal point for discussions with sector Ministries.
- 7.7 Facilitate consultations between Ministries, Councils, trade unions and other stakeholders to ensure that their respective concerns on both sides are factored into Sector Devolution Plans.
- 7.8 Conduct workshops/meetings to assess progress on sector devolution.
- 7.9 Rationalise staff establishments in both Central Government and Local Authorities.

### **3.2.8 Infrastructure Development and Services Provision**

#### **3.2.8.1 Rationale**

Objective (f) of the Decentralization Policy Document aims to *build capacity for development and maintenance of infrastructure at local level*. The management of infrastructure service provision (ISP) has over the years been largely confined to the central government at the exclusion of other important actors such as Councils, the private sector and communities. Consequently, the socio-economic infrastructure such as water supply, solid waste disposal systems, roads, street lighting, and health and educational facilities are poorly developed. This component focuses on the development of policy guidelines and capacity building for infrastructure development and management for effective service delivery. It also focuses on the

facilitation of the attainment of basic infrastructural requirements for the effective discharge of devolved functions by all districts, particularly the newly created ones.

#### **3.2.8.2 Objective**

The main objective of the component on ISP is to develop a supportive policy and institutional framework in order to improve the quality of devolved services.

#### **3.2.8.3 Outputs**

- a) A comprehensive policy for the development, provision and management of infrastructure services
- b) Improved national capacity for infrastructure service provision
- c) Improved physical capacity by districts to discharge devolved functions.

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#### **3.2.8.4 Strategy**

- a) Work towards the development of an enabling policy environment for effective infrastructure service provision.
- b) Strengthen national capacity for effective infrastructure services provision.

#### **3.2.8.5 Activities**

##### *Infrastructure Policy and Capacity Building*

- 8.1 Development of a comprehensive policy on ISP and its management.
- 8.2 Facilitation of rapid assessments at the local levels by Councils on infrastructure requirements and resource needs.
- 8.3 Development and Financing of Accelerated District Infrastructure Development Programme (LDP) to support implementation of decentralised service provision.
- 8.4 Targeted training for the enhancement of ISP capacity building at all levels of government.

### **3.2.9 Monitoring and Evaluation**

#### **3.2.9.1 Rationale**

The inclusion of the Monitoring and Evaluation component into the Plan arises from the fact that there is need for stakeholders to know progress made, constraints/challenges faced, and proposed solutions in the implementation of the Decentralization Policy. The Decentralization Secretariat will, therefore, develop a Decentralization Monitoring and Evaluation System. The M & E System will enable the Public, Government and its Development Partners to find out whether the Policy is being implemented as planned, any changes experienced, problems encountered and possible solutions, and adjust according to the realities on the ground vis-à-vis Policy objectives. The aim is to provide regular, verifiable and reliable information in such areas as financial management and accounting, overall operations of Councils, and impact assessment. There is also recognised need to align the M&E System to the existing monitoring and evaluation systems used by the relevant arms of Government such as Parliament, Cabinet Office, the Ministry of Finance and National Planning (particularly the office of the Accountant General), Central Statistical Office and Office of the Auditor General. In addition, the development of an effective reporting mechanism that secures effective transmission of information among the various stakeholders at different levels is also considered important.

#### **3.2.9.2 Objectives**

The main objective of the component on Monitoring and Evaluation is to develop and institutionalise an appropriate monitoring and evaluation system that will facilitate effective surveillance over the implementation of the National Decentralization Policy.

#### **3.2.9.3 Outputs**

- a) An effective national results-based Monitoring and Evaluation System.
- b) Functional and effective Monitoring and Evaluation Units at all levels

c) A well conceived review/evaluation mechanism and processes for Decentralisation activities

#### **3.2.9.4 Strategy**

a) Work towards the design and implementation of an effective monitoring and evaluation system for effective implementation of the Decentralisation Policy.

b) Work towards strengthening the oversight role of communities and other stakeholders through their effective participation in M&E of decentralisation functions.

#### **3.2.9.5 Activities**

*Effective National Results-based Monitoring, Evaluation and Reporting System. ©GRZ.  
Decentralisation Implementation Plan 2009-2013, December 2009*

9.1 Review the current national monitoring and evaluation framework in light of the Decentralisation Policy;

9.2 Design and institutionalise an effective National Results-based monitoring and evaluation framework that captures Decentralisation Policy issues;

9.3 Develop Monitoring and Evaluation Training Manuals for the application of the M & E system and for use by various levels of policy implementation.

9.4 Promote local community participation in monitoring and evaluation of development activities at the district and sub-district levels.

9.5 Establish Provincial Assessment Teams (PATs) in all Provinces.

9.6 Facilitate annual reviews of implementation programme.

### **3.2.10 Programme Management and Coordination**

#### **3.2.10.1 Rationale**

The Decentralization Implementation Plan (DIP) puts the Decentralization Secretariat (DS) at the centre of all institutions in the implementation of the Decentralization Policy where it is supposed to define and coordinate the implementation process. In order to achieve this task, the Secretariat needs an appropriate institutional location from which to discharge its functions. Equally important, the Secretariat also needs to attract and retain qualified and competent staff as well as have access to adequate resources to meet operational costs most of which are not likely to be adequately budgeted for by different implementing institutions especially Districts and Provinces. This component is therefore essential to facilitate building the required staff and operational/resource capacity required to implement the Decentralization Policy.

#### **3.2.10.2 Objective**

The main objective of this component is to improve the delivery capacities of the Decentralisation Secretariat through the development of a supportive work and operational environment.

#### **3.2.10.3 Strategies**

Development of an enabling operational environment for the DS

#### **3.2.10.4 Outputs**

a) An effective DS capable of attracting and retaining competent personnel for the task of driving and managing the decentralisation process.

c) Improved programme delivery in all areas of decentralisation implementation.

#### **3.2.10.5 Activities**

10.1 Support operational and staff costs (TA) of the Decentralisation Secretariat

10.2 Undertake a Baseline Survey to determine existing operational capacities at various levels of Government.

## **APPENDIX C: QUESTIONNAIRE FOR RESPONDENTS**

Dear Respondent,

I am **Daniel Chulu**, a post graduate student at the **University of Zambia**. I am carrying out a research on: **Constraints and effort in implementing the national decentralization policy of Zambia in Mambwe district**.

This is in order to fulfill the requirements of a Master of Public Administration (MPA) degree.

You have been selected to be a respondent. Kindly spare a few minutes to answer a few questions as frankly as possible. All the information that you will give, will be handled confidentially and it will be exclusively for the use of the MPA thesis.

### **INSTRUCTION**

Circle (0) or tick (✓) the number against the appropriate response or write in the blank spaces provided.

## APPENDIX C: QUESTIONNAIRE FOR RESPONDENTS

### PART A: Background

1. What is your gender?

Male 1

Female 2

2. What is your age group?

15 - 20 years 1

21 - 30 2

31 - 40 3

41 - 50 4

51 - 60 5

Over - 60 6

3. What is the highest level of education you attained?

Primary 1

Secondary 2

Tertiary 3

4. Which is your area of residence in Mambwe Township?

High cost 1

Medium cost 2

Low cost 3

5. What is your status or category?

Civil servant 1

Local government office 2

Politician 3

NGO/F.B.O. Rep. 4

General public 5

Others specify: \_\_\_\_\_

## PART B: Constraints in the Implementation of the Decentralization Policy

6. Are you aware of the existence of the national decentralization policy?
- |     |   |
|-----|---|
| Yes | 1 |
| No  | 2 |
7. Are you knowledgeable about the contents of the Zambia decentralization policy?
- |                   |   |
|-------------------|---|
| Knowledgeable     | 1 |
| Not knowledgeable | 2 |
| Not sure          | 3 |
8. How would you describe the attitude of local government practitioners towards the decentralization policy?
- |                     |   |
|---------------------|---|
| Very positive       | 1 |
| Moderately positive | 2 |
| Less positive       | 3 |
| Negative            | 4 |
9. If the following are the fears that Local Government practitioners have regarding the implementation of the decentralization policy, number them in order of priority. (*Put the number in circle*).
- |  |                       |
|--|-----------------------|
| Fear that the policy will fail           | <input type="radio"/> |
| Fear of loss of employment               | <input type="radio"/> |
| Fear of unfavorable changes              | <input type="radio"/> |
| Fear that it will derail/waste resources | <input type="radio"/> |
| Other fears (specify):                   |                       |
- 
10. How adequate is the legal frame work for implementing of the decentralization policy?
- |              |   |
|--------------|---|
| Adequate     | 1 |
| Not adequate | 2 |
| Not sure     | 3 |

11. How sufficient is the institutional framework to enhance implementation of the decentralization policy?

- |                       |   |
|-----------------------|---|
| Very sufficient       | 1 |
| Moderately sufficient | 2 |
| Less sufficient       | 3 |
| Not sufficient        | 4 |

12. If the following are the inherent constraints in the implementation of the decentralization policy, number them in order of priority. (*put the number in circle*)

- |   |                       |
|---|-----------------------|
| Poor attitude of implementers               | <input type="radio"/> |
| Fear and uncertainty among implementers     | <input type="radio"/> |
| Inadequate skilled human resource           | <input type="radio"/> |
| Inadequate financial resources              | <input type="radio"/> |
| Lack of understanding of the policy process | <input type="radio"/> |
| Other challenges (specify):                 | _____                 |
|   | _____                 |
|   | _____                 |

**PART C: Effort made to Counter Constraints in the Implementation of the Decentralization Policy**

13. To what extent have stakeholders been sensitized on the implementation of the decentralization policy?

- |                      |   |
|----------------------|---|
| To a great extent    | 1 |
| To a moderate extent | 2 |
| To a lesser extent   | 3 |
| To no extent         | 4 |

14. What methods have been used in sensitizing stakeholders on the implementation of the decentralization policy? (*Tick where appropriate*)

Workshops ☐

Prints media ☐

Electronic media ☐

Other methods (specify):

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15 How strong is the political will towards implementation of the decentralization policy?

Very strong 1

Moderately strong 2

Weak 3

Very weak 4

Not sure 5

16 How committed is central government in providing resources for the implementation of the decentralization policy?

Very committed 1

Moderately committed 2

Less committed 3

Not committed 4

17. How adequate is the plan or roadmap for the implementation of the decentralization policy?

Very adequate 1

Moderately adequate 2

Less adequate 3

Not adequate 4



18. How effective is the monitoring of the implementation of the decentralization policy?

- |                      |   |
|----------------------|---|
| Very effective       | 1 |
| Moderately effective | 2 |
| Less effective       | 3 |
| Not effective        | 4 |

19. Which of the following measures are being taken to ensure successful implementation of the decentralization policy? ( number them in order of priority)

Sensitization of stakeholders

☐

Training of existing staff

☐

Adequate provision of financial resources

☐

Provision of an implementation plan

☐

Other measures (specify):

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**THANK YOU VERY MUCH FOR YOUR TIME**

## **APPENDIX D: QUESTIONNAIRE FOR KEY INFORMANTS**

Dear Key Informant,

I am **Daniel Chulu**, a post graduate student at the **University of Zambia**. I am carrying out a research on: **Constraints and effort in implementing the national decentralization policy of Zambia in Mambwe district**. This is in order to fulfill the requirements of a Master of Public Administration (MPA) degree.

You have been selected to be an Informant. Kindly spare a few minutes to answer a few questions as frankly as possible. All the information that you will give, will be handled confidentially and it will be exclusively for the use of the MPA thesis.

### **INSTRUCTION**

Write your responses in the blank spaces provided.

## **APPENDIX D: QUESTIONNAIRE FOR KEY INFORMANTS**

1. What are the major causes for the delay in implementing the 2002 (revised 2013) decentralization policy?

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2. What measures are in the place for the timely implementation of the decentralization policy?

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3. How is the attitude of local government practitioners toward the implementation of the decentralization policy?

---

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4. How efficient is the monitoring process to ensure full implementation of the decentralization policy?

---

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5. Is the institutional framework for the implementation of the decentralization policy adequate?

---

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6. Are the key human resources for the implementation of the decentralization policy sufficient in local authorities?

---

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7. How adequate are financial resources in local authorizes for the timely implementation of the decentralization policy?

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8. Do you think there is strong political will towards the implementation of the decentralization policy Zambia?

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9. What institutional framework is in place for implementing the decentralization policy?

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10. What measures are taken by central government to ensure that the ZNDP is implemented?

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11. What measures are being taken by Mambwe district to facilitate the implementation of the ZNDP?

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12. What is the role of NGOs, citizens and the private sector in the implementation of the ZNDP?

THANK YOU FOR YOUR TIME

**APPENDIX E:INTERVIEW GUIDE FOR LOCAL GOVERNMENT  
PRACTITIONERS**

1. What difficulties is the Ministry of local government and housing facing in the implementation of the decentralization policy?
2. What measures is the Ministry of local government and housing taking in ensuring that implementation of the decentralization policy is timely?
3. What measures is the decentralization secretariat taking to ensure successful implementation of the decentralization policy?
4. What constraints are the Sector Devolution Task Forces at national, provincial and district levels facing in carrying out their functions in relation to implementation of the national decentralization policy?
5. What pieces of legislation has central government put in place to ensure successful implementation of the decentralization policy and how adequate are they?
6. How committed is central government in providing human, financial and material resources towards implementation of the decentralization policy?
7. What actions show that there is political will towards the implementation of the decentralization policy?
8. What are the reasons for failure to carry out some activities outlined in the three phases of the decentralization Implementation Plan?
9. What are the major constraints being faced by stakeholders in implementing the National decentralization policy in Zambia?
10. What measures are other stakeholders taking to ensure that the decentralization policy is fully implemented?

**THANK YOU FOR YOUR TIME**