

**LOCAL ECONOMIC DEVELOPMENT IN ZAMBIA:
A CASE OF MPONGWE TOWN COUNCIL**

**BY
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**A dissertation submitted to the University of Zambia
in partial fulfillment of the requirement for the award of
the Degree of Master of Science in Spatial Planning**

**THE UNIVERSITY OF ZAMBIA
LUSAKA
2022**

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DECLARATION

I, Thebinu Kabanda, Computer Number 2017014661 hereby declare that this dissertation is my own work. Neither the material nor any part of the dissertation has been submitted in the past, or is being, or is to be submitted for a degree in the University or any other University. All published work or material from other sources incorporated in this dissertation has been acknowledged and adequately referenced.

.....
Candidate

.....

DEDICATION

To every woman that is striving to get better and do better, to every woman and child that has not looked beyond the horizon, I want this to be a reminder to never give up and always trust God's timing and believe in His grace. To anyone who began and fell along the way, it is always time to start over and try again: never give up.

ABSTRACT

Local Economic Development (LED) has been identified as a key strategy to alleviating poverty and promoting economic growth of urban areas through Local Government in Zambia. Formulation and implementation of strategies requires capacity of councils in terms of their technical, fiscal and human resource capacity. However, the capacity of town councils to implement this mandate has not been ascertained. Studies that previously assessed capacity of local authorities in Zambia did so in the absence of the LED guidelines and the revised decentralization policy. This study sought to evaluate the capacity of Mpongwe Town Council (MTC) to formulate and implement LED programmes in light of the Zambian LED guidelines. Specifically, the study aimed at assessing the human resource, technical and fiscal capacity of MTC and the willingness of stakeholders to partner with the local authority. A sample size of 50 purposively selected key informants - which included MTC officials, NGOs, Business Associations, Cooperative and Ministry of Local Government - was selected using the purposive sampling method. The study utilized questionnaires and semi-structured interviews using interview guides to collect quantitative and qualitative data respectively and the data were analyzed using descriptive statistics and thematic analysis. Information from MTC financial reports and the Central Statistics Office was collected through documentary review and the data were analyzed using descriptive statistics and documentary analysis. The findings reveal that, in terms of human resource capacity, MTC has inadequate skilled human resource to implement LED. Key positions such as Commercial Manager and District Planning Officer are vacant, with a Works Department that is operating at 40%. The inadequate human resource has also impacted the revenue collection performance, with findings revealing that the Council's main revenue source is Government grants, which constitutes 65% of total revenue, followed by levies and licenses (the latter are locally generated funds). Findings further show that the expenditure of the local authority exceeds revenue collection, and such expenditure is skewed towards personal emoluments. LED-related activities are allocated three percent of revenue, and the impact of this revenue has been further worsened by the lack of technical capacity. The findings relating to technical capacity have shown that MTC does not have adequate planning equipment nor the required tools to enable LED implementation. In terms of equipment needed for development planning, the findings reflect a deficit of 86% in addition to a 50% deficit of equipment needed for service provision. The findings show that stakeholders in Mpongwe are willing to partner with the Council on condition that information sharing and transparency are improved. Overall, the findings reveal that National level LED role-players who have been assigned targets which can help the LED process (such as the Ministry of Development Planning and the Local Government Service Commission) have made minimal progress in achieving these targets, while others are not aware of targets relating to their institutions, which presents a challenge in actualizing LED implementation. In conclusion, MTC does not have adequate capacity to implement LED in accordance with the LED guidelines. The Council is faced with challenges in revenue collection, inadequate planning equipment and tools, as well as insufficient human resource personnel. Despite this, local stakeholders are willing to partner with MTC in order to promote and implement LED in Mpongwe. The study recommended the adoption of LED agencies, formulation of the LED policy and implementation of full fiscal decentralization.

Keywords: Capacity, Local Economic Development, Planning, Mpongwe

ACKNOWLEDGEMENTS

This research represents a collaboration of behind-the-scenes efforts and the encouragement of many people but first and foremost I give God all the glory for making ways where I saw no hope.

Secondly, to Dr. Godfrey Hampwaye, my supervisor, thank you for your tireless guidance and positive criticism which gave direction to this study and pushed me further than I imagined possible. To Dr. Gilbert Siame, the programme coordinator, thank you for bringing out the best in each one of your students. Extended gratitude goes to the lecturers at the Geography Department for their guidance, time and dedication provided throughout the duration of my study.

A special thanks also goes to my parents, Maxwell and Lucy Kabanda, who supported me throughout the course of my study and stood by me even when I faced difficult decisions: you are the true heroes. My siblings, Angela, Cynthia, Dieudonne (MYSRIP), Maxwell, Godfrey and Muma, as well as to all my nieces and nephews who were always there for me when I called and who offered me so much encouragement.

To all my course mates who have not only taught me planning skills but also blessed me with life skills, I am indebted to each one of you.

To my spiritual counsel, thank you Bishop Eric Manda, this journey was made easier with all your prayers.

Special thanks also to the staff at Luanshya Municipal Council for granting me leave from work, the Local Government Service Commission and my immediate supervisors. Thank you for letting me take this opportunity.

Last but not least, thank you to all the research participants, to the staff at Mpongwe Town Council, the residents of Mpongwe, the traditional and political leadership and officers from the government and non-governmental departments visited, your input has contributed immensely to this study.

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ACRONYMS AND ABBREVIATIONS

CLGF	Common Wealth Local Government Forum
DDCC	District Development Coordinating Committee
FNDP	Fifth National Development Plan
GRZ	Government of the Republic of Zambia
IDP	Integrated Development Plan
LED	Local Economic Development
LG	Local Government
LGAZ	Local Government Association of Zambia
LGEF	Local Government Equalization Fund
LGTI	Local Government Training Institute
MLG	Ministry of Local Government
MNDP	Ministry of National Development Planning
MTC	Mpongwe Town Council
RSNDP	Revised Sixth National Development Plan
SNDP	Seventh National Development Plan
SPSS	Statistical Package for Social Sciences
UCLGA	United Commonwealth Local Governments Association
URPA	Urban and Regional Planning Act No.3 of 2015
WDC	Ward Development Committee

CHAPTER ONE: INTRODUCTION

1.1. Background

The changes in the international economy, such as technological and logistical advances, globalization, and alliances between multinational corporations in respect of investment and buying behavior have led to an increased focus on Local Economic Development (LED) (Human et al., 2008). In Southern Africa, the focus on LED was brought about by the high levels of unemployment and poverty (Human et al., 2008) accompanied by growing decentralization. The result of this focus and the changes in the international economy led to national and sub-national governments realizing that the accelerating globalization exposes even the most remote spaces to competition which forces firms, localities and regions to react and adjust to new economic conditions (Rogerson & Rogerson, 2014). In addition to this realization, was the critical reliance of governments on cities as the economic engines driving economic growth (UN-Habitat, 2013). City-regions are viewed as economic territories because of their role in stimulating trade, creativity, innovation and entrepreneurialism and as political territories because of their autonomously developed regulatory and decision-making capacities (Jonas & Ward, 2007). The aforementioned views placed a significant amount of weight on the cities to be able to drive the local economies (Rogerson, 2009) which impact on the local competitiveness and the comparative advantage that is utilized to promote cities from within.

All this, together with the new environment of local and regional development have highlighted the widespread facet for LED, particularly in the context of persistent trends towards decentralization (Rogerson & Rogerson, 2014). LED is defined as a bottom up approach to economic growth through the realization of the economic potentials of every territory (Mensah, 2013). It refers to the process in which the local government, or some agency, authority or organization on behalf of the local government, engages to enhance a community's capacity to effect economic progress in both a quantitative and qualitative manner (United Cities and Local Governments of Africa, 2016).

The concept of LED focused traditionally on sector approach strategies (Egziabher & Helmsing, 2005) but has since been evolving and has been made popular for its development from below approach and the potential and capability to place emphasis on home grown development strategies that make use of local capacities and resources to generate employment opportunities and boost locally based economic activities (Mensah, et al., 2018)

In some African countries such as Ghana and South Africa, the bottom-up sub-national level focused characteristics of LED is complemented by a decentralised system of governance and

restructuring strategies (Mensah, 2013; Meyer 2014) while in Zimbabwe it has been identified as an important part of the national economic strategy (Khumalo, 2015); with all these countries embarking on developing national policies which focus on LED.

In Zambia, the mandate for local authorities to develop strategies to implement and foster LED has been seen through the changes in the planning law which resulted in the formulation of the Urban and Regional Planning (URP) Act Number 3 of 2015, mandating local authorities to formulate Integrated Development Plans (IDPs) which encompass LED (GRZ, 2016b). Secondly, Article 152(2) of the Constitution of Zambia which mandates local authorities to promote socio and economic development and the introduction of the Zambian LED guidelines all emphasising on the formulation of Integrated Development Plans (IDPs) (GRZ, 2016a).

The role to foster these mandates and to formulate LED strategies requires a local authority to have the capacity to correctly identify their locality's main strengths and weaknesses, as well as the opportunities and threats it faces (Rodríguez-Pose & Tijmstra, 2005). Local competence is an important pre-condition in the mandate for LED which cannot be assumed to exist (Egziabher & Helmsing, 2005) because it leads to a prioritisation of LED programmes by officials, creating more jobs, institutions, support systems for economic development and increasing the competitiveness of regions (Khambule & Mtapuri, 2018). These preconditions of LED and the mandates to local authorities necessitate the need to assess the capacity of local authorities to plan and implement LED in the light of the Zambian LED guidelines focusing on Mpongwe Town Council.

1.2. Statement of the Problem

The mandate of local authorities to implement LED is backed legally as alluded to in the previous section, along with seventeen (17) new functions which are development oriented in addition to the sixty-three (63) service oriented functions that were being performed (GRZ, 2016b; GRZ, 2019). Local authorities face challenges of finances, human resource capacity and inadequate technical skills which led to poor implementation of service delivery in most local authorities (Hampwaye & Rogerson, 2010) a situation which does not seem to have improved according to Chitembo (2014), Kaoma Town Council (2015) and Chomba (2020).

Despite these challenges facing the local authorities, additional mandates have been transferred to these institutions. The formulation of the LED guidelines (GRZ, 2016a) and Article 152(2) of the Constitution of Zambia declaring the objects for Local Government to promote social and economic development (GRZ, 2016b) mandates local authorities to promote LED. However, the capacity of town councils to implement this mandate has not been ascertained

and studies by Hampwaye (2008a; 2008b; 2010) that have been undertaken on LED focused on urban councils while those that focused on town councils as undertaken by Yasini (2012) did so in the absence of LED guidelines and the revised decentralisation policy of 2013.

A lack of capacity to implement LED can result in the treatment of LED as poverty alleviation projects, failure to prioritise and barriers in the planning phase due to the limited experience in local development planning (Khambule & Mtapuri, 2018). Further, local competence cannot be assumed to exist, it is therefore imperative that the capacity of town councils to implement LED should be assessed. This study therefore, seeks to evaluate the capacity of Mpongwe Town Council to formulate and implement LED programmes.

1.3. Aim of the Study

To assess the capacity of Mpongwe Town Council to plan and implement Local Economic Development in the light of the Zambia LED guidelines.

1.4. Objectives

- i) To assess the fiscal capacity of Mpongwe Town Council.
- ii) To evaluate the human resource capacity of Mpongwe Town Council.
- iii) To assess the technical capacity of Mpongwe Town Council.
- iv) To investigate the stakeholder collaboration between Mpongwe Town Council and its stakeholders.

1.5. Research Questions

- i) How adequate is the capacity for Mpongwe Town Council to plan and implement Local Economic Development?
- ii) What is the collaboration between Mpongwe Town Council and its stakeholders?

1.6. Significance of the study

The findings of the study can provide a basis for formulating by-laws for MTC. The findings of the study will also contribute to the existing literature on LED and fill the knowledge gap on the capacity of town councils to implement LED in light of the Zambia LED guidelines. In addition, the study will help policy makers like Ministry of Local Government (MLG) to address the challenges being faced by local authorities related to LED and build capacity within councils which can enhance LED implementation. Academically, the study also contributes to literature for theoretical development which can be useful in formulating the LED policy in Zambia and filling the knowledge gaps on the capacity of town councils to implement LED in

Zambia. The study will also contribute to debates on LED in Africa and add to the limited existing literature on LED experiences of small towns in Africa.

1.7. Definition of Key Terms

Capacity - Capacity is the power of something – a system, an organization or a person, to perform and produce properly. It also refers to the ability to achieve goals as reflected by available resources and by political, managerial and technical competence (Oduro-Ofori, 2011).

Decentralization - the restructuring or reorganization of authority so that there is a system of co-responsibility between institutions of governance at the central, regional and local levels thus increasing the overall quality and effectiveness of the system of governance, while increasing the authority and capacities of sub-national levels (UNDP, 1999).

Development - An improvement qualitative, quantitative or both - in the use of available resources. It does not refer to one particular perspective on social, political and economic betterment (Abuiyada, 2018).

Fiscal Capacity - represents available organizational financial resources and relationships- both internal and external- that enable organizations to pursue their missions and fulfill their roles (Oduro-Ofori, 2011).

Human Resource Capacity -This refers to the human resources, knowledge, and processes employed by the organization such as staffing, strategic leadership and linkages with other organizations and groups (Oduro-Ofori, 2011). In this study this aspect relates to the staffing levels and qualifications of key officers in Planning, Works, Finance and Administration.

Local Economic Development - a participatory process where local people, from all sectors within a specific area, work together to activate and stimulate local economic activities, with the aim to ensure a resilient and sustainable local economy (Meyer, 2014).

Stakeholders -different public and social-actors involved in development delivery consisting of local and regional authorities, offices of Central Government and business representative organizations (Hoabes, 2013).

Technical Capacity - refers to the availability of capital equipment (such as refuse tractors, graders, utility vehicles and computers) that is necessary for planning, implementation and management of public services by the local authority (Yasini, 2012).

1.2. Structure of the Dissertation

The dissertation has been divided into eight chapters. Chapter One gives the basis of the study with a background to the motivation of the study. Chapter Two delves into the theoretical review of theories relevant to the study, in relation to Local economic development and development theories; it is followed by Chapter Three which is a review of literature of studies conducted in Uganda, South Africa, Zimbabwe and Zambia in relation to decentralization, capacity and local economic development. Chapter Four presents a description of the study area, the population, size, economic activities, climate and administration. This is followed by Chapter Five which presents the research methodology applied in the study and the approaches that were applied to arrive at the findings. Chapter Six follows after and is a presentation of the findings of the study in line with the objectives which serve as headings and this is followed by Chapter Seven which is a discussion of the research findings. Chapter Eight is the concluding chapter and is a highlight of the conclusions drawn from the findings and the recommendations thereof.

CHAPTER TWO: LITERATURE REVIEW

2.0. Introduction

Literature review is defined as a comprehensive overview of prior research regarding a specific topic. Its overview both shows the reader what is known about a topic, and what is not yet known (Denney & Tewksbury, 2012). This chapter is divided into four sections and the first section 2.1 focuses on a review of literature on the concept of LED which is followed by an outline of the various approaches of LED in section 2.2. Thereafter section 2.3 presents a review of literature on the role of local governments in LED which is followed by 2.4 which presents the empirical literature review.

2.1. Local Economic Development

The origins of LED practices can be traced as far back as the 1960s mostly in Europe which is claimed to be the cradle of LED approaches. With the advance of globalization and growing decentralization, the 1990s saw a diffusion of LED ideas and practices from the global North to the global South (Rogerson & Rogerson, 2014). Thus other authors have viewed LED as a locality based response to globalization, devolution and local level opportunities (Khumalo, 2015).

The principle of LED is that every territory has comparative advantage which can be enhanced (Mensah, 2013). It is known to aim at creating comprehensive and balanced local development strategies which are usually centred on four main axes: the improvement of the competitiveness of local firms, the attraction of inward investment, the upgrading of human capital and labour skills, and the upgrading of local infrastructure (Rodriguez-Pose & Tijmstra, 2005). The essential mission is to create jobs, promote and support small and medium-sized enterprises, improve the economic context and opportunity of the territory, and use businesses as a weapon in the fight against poverty (Mensah, 2013).

Various authors have highlighted views on the preconditions of successful LED Planning. For instance Hampwaye, (2008) (cited in Khumalo, 2015:26) states the importance of decentralization as a precondition to LED. He highlights the need for central governments to empower the local authorities with authority and power to plan and implement LED activities because it creates opportunities for development to be taken in the hands of the community. This view is also supported by Khambule (2018) who highlights the fact that decentralisation has led to a key focus on the roles of subnational governments in strengthening democracy and delivering services to the local people.

In addition, Mensah (2013) states that human resource development and institutional support systems are central ingredients of LED policy and therefore, a local competence for policy to create such institutions and support systems becomes a pre-condition for local capabilities (Egziabher & Helmsing, 2005). While the other authors have highlighted capacity as an important traditional precondition to LED, Wong (2002) (cited in Pavel & Moldovan, 2019:2) posits that capacity is an intangible factor of LED and considers (a) locational factors, (b) physical factors, (c) infrastructural factors, (d) human resources, (e) capital and finance, (f) knowledge and technology, (g) industrial structure as the traditional factors.

2.2. Local Economic Development Planning Approaches

LED is said to have passed through three waves since its origins in the 1960's (Human et al., 2008). According to Rogerson (2010) the first wave of LED activities run between the 1960s through to the early 1980s and the concentration was largely placed on marketing and investment attraction which was often linked to incentive systems, such as grants, tax breaks or loans, and the provision of hard infrastructure investments.

During the second wave which was between the later 1980s to the middle of the 1990s LED stressed on retaining and growing already existing local businesses and internal investment (Mensah, et al., 2018). The main tools for LED support included provision of business incubators, start-up support, and technical support for small to medium-sized businesses Rogerson (2010). In addition, (Human et al., 2008) also states that this period promoted an inward investment targeted at specific sectors or geographical areas.

The third wave of LED, 1990s to date, focuses on public private partnerships, soft infrastructure investments, networking as well as highly targeted internal investments attraction World Bank (2004) cited in Mensah, et al., (2018:3) which Rogerson (2010) refers to as having a more holistic approach. This wave of LED seems to be an enhancement of the second phase as it brings together all the strategies identified in the second phase to meet a common goal.

2.3. The role of Local Government in Local Economic Development

The pressure on local authorities to become more entrepreneurial has brought the spotlight further on the roles that local governments have in driving the process of LED or territorial development (Bond, 2003).

The roles of local government in LED vary and have been grouped into traditional roles such as service provision, responsibility over physical infrastructure and non-traditional roles such as creating a conducive environment for business and investment (United Commonwealth

Local Government Asia Pacific, 2014). A municipality can choose to act either as an entrepreneur, a coordinator, a facilitator or a stimulator (Human et al., 2008). As a facilitator, a municipality improved the attitudinal environment in the community or area by streamlining development and as a stimulator, the municipality takes on specific actions that induce companies to invest and remain in the community (Human et al., 2008).

LaFaive (n.d) in Human et al. (2008) however argues that local government should not use taxpayers' money to attract employers and create jobs as this results in a mere rearrangement of jobs in the private sector rather than an actual increase in the number of jobs. Hence the move to act as a stimulator for local government tends to create an illusion of jobs created when there is a mere rearrangement of jobs between sectors. Roopa, 2002 (cited in Human et al., 2008) puts forward the argument that although local government has this important role to play in LED, they need to focus on the development of trust between firms and individuals and on promoting human rights to improve the allocative efficiency of the economy rather than trying to drive the process. This argument by Roopa (2002) can only suffice in an instance where the municipality is playing the role of coordinator, which is the most important role depending on the strategy that the local authority has adopted. This role is important because it allows the local authority to drive the process, being at the centre of all development activities in the district and at the same time be able to exclusively perform all the functions which in Roopa's view should be what the municipalities focus on.

On the other hand, Bond (2003) identifies the role of local government in LED as being motivated by the recognition of the importance of integrated planning which emerged to link physical and socio-economic interests. In the role of the coordinator, a municipality establishes policy or proposed strategies for development of the area and ensures that all sectors focus their approaches and resources on similar goals (Human et al., 2008). This coordination role is well suited in the integrative planning approach to LED, the municipality is central to ensuring that the available resources are spread across all sectors and development is both sustainable and efficient.

2.4. Factors influencing local economic development implementation

Decentralization has increased the focus on the roles of local authorities in the provision of services by lower tiers of government and thus increased developmental functions in order to strengthen the mandate of local authorities in this accord. Decentralization plays an important role in the success of LED (Rogerson,2010; Oduri-Ofuri. 2011; Wekwete,2014) and it can be argued that, the quality of governance impacts on the capacity of governments to design and

implement successful development strategies (Reddy & Wallis, 2012). Similarly put, Hampway (2008b) identifies decentralization as a key underpinning for the expansion of LED planning across the developing world and in Khumalo (2015), Hampway (2008a) states that in order for local authorities to plan and implement LED activities, they require powers and authority from the central government and the participation of the community down to the village level.

Besides decentralization, Wong (2002) (cited in Kiss & Racz, 2019) highlights that the exact content of the factors (indicators) is very different from country to country. Kiss and Racz (2019) identify size of the settlement, geographical and social features, financial and human resources, institutions and organizations, technological resources, government support, policy instruments, co-operation, co-ordination, innovation and sustainability as important factors.

Oduri-Ofuri (2011) on the other hand argues that the commitment and capacity of local governments are the important factors that drive towards achieving local economic development goals and both factors have an impact on the implementation of programmes at the local level which have the potentials of promoting economic activities. The study also highlights local government mandate and legal capacity, institutional structure, organizational, technical capacity and financial capacity as parameters to measure capacity for LED planning (Oduri-Ofuri, 2011).

Capacity is defined as the ability of local governments to perform their assigned functions according to (Steiner, 2009). Grindle (1996) cited in Steiner (2009) distinguishes four types of capacity of national governments, namely technical, administrative, institutional and political capacity. From the reviewed cases the paper will focus on financial resource, human resource and technical capacity for LED implementation as the key factors influencing LED.

2.4.1. Human Resource Capacity

Local governments are faced with challenges of qualified human resources, and despite the decentralization efforts in most countries, the local authorities still remain facing challenges of human resource to interpret policy and implement LED. Although organizational capacity is desirable at all levels of governments, local governments are more likely to be targeted as having insufficient organizational capacity to perform their tasks according to Brown and Potoski in Pina & Avellanda (2017:1). It is important that human resource in local government have capacity because the individual capacities of civil servants ultimately determine service delivery of institutions (Ellis, 2014). This is also in line with findings of Khumalo (2015) who

also puts forward that the weak LED units and the general human resources incapacity can stifle the local government in fulfilling its developmental mandate.

Administrative decentralization has been cited as one of the measures that can be used to improve performance of local authorities and improve their human resource staffing and capacity. However, many developing countries continue to have local government systems that lack the ability and capacity to deliver development because they lack financial resources, human resources, and the organizational capacities needed to perform a development function (Cheema & Rondinelli, 2007). A study conducted in South Africa reveals that in light of decentralizing, district councils have passed service delivery functions on to local councils but maintain the responsibility for their financing citing the necessity to address administrative capacity gaps at the local council level and have persisted even after the capacity of the local council has been built (Ashraf, et al., 2017).

A number of authors have cited the inability of local authorities to hire and fire their staff as one of the challenges of administrative decentralization (Odoru-Ofuri, 2011; Ashraf et al., 2016; Chomba, 2020) alongside the lack of integration with provincial departments Odoru-Ofuri, (2011). In Tanzania, the findings are that the District Executive Director (“DED”) who is appointed by the central government oversees and manages all district level operations and is also responsible for the appointment of the executives of lower level LGAs (Ashraf, et al., 2017). Additionally, staffing decisions are made by associations, which is similar to Zambia, where a service commission is responsible for the appointment, transfer and disciplinary of officers in local government as opposed to local authorities making autonomous decisions (Chitembo, et al., 2014).

Farazmand in Ellis (2014) argues that governments must constantly upgrade their administrative capacities to meet the challenges of rapid globalization. Ellis (2014) on the other hand states that the inappropriate human capacity within governments and institutions inhibits efficient anticipatory responses to challenges and this causes administrative problems. These studies put forward that although the governments upgrade administrative capacities to meet various challenges, it is also important to place appropriate human capacity in various departments and institutions. This thought is confirmed by the findings of Nwankwo et al., and Ndlovu et al., in Chakunda and Chakaipa (2015) who submitted that the officials performing functions in the local government do so without the relevant qualifications to perform effectively and as a result, available resources for accelerated and sustainable rural development are inefficiently utilized for the purposes intended.

Zidan (2001) suggests that, in its strategy for economic development, any developing country will need to develop, educate, and train its human resources. In focusing on attracting private sector foreign direct investment the preparation of a segment of human resources will be targeted to meet the needs of prospective investors (Zidan, 2001). Human resources are identified as the key focus for strategy implementation as opposed to financial resources according to Lorange (1998) in Rajasekar (2014). This view is also supported by Wong (2002) in Rajasekar (2014) who states that human resources are considered the most important of the factors of LED.

2.4.2. Financial Capacity

Financial capacity is a fundamental factor to ensuring that local governments can deliver public services and function successfully in meeting other essential responsibilities (Martinez-Vazquez & Smok, 2011). The core rationale of local government capacity is that local governments are well positioned to improve how public resources are used and the extent to which diverse citizen needs are satisfied and secondly, it is the role that local governments could potentially play in dealing with several significant contemporary global challenges (Martinez-Vazquez & Smok, 2011). Steiner (2009) states that adequate finance is considered to be an essential feature of a districts' overall capacity and takes a position that without the respective financial resources, governments are not able to perform their assigned functions of policy-making and service delivery.

A study on the challenge of local government finance in developing countries by the United Nations Human Settlements Program (UN-HABITAT) conducted in Barcelona, Spain reveals that the fundamental problem confronting most local authorities in developing countries is the widening gap between the availability of financial resources and municipal spending needs (UN-Habitat, 2015). Helmsing (2005) highlights this as an increase in local government assignments with no matching resources. With most developing countries adopting decentralization approaches, the challenge that continues to be faced is of vertical imbalances at the sub national level in terms of sharing responsibilities and fiscal resources as most central governments' refuse to pay the fiscal costs of the decentralization roles and responsibilities (UN-Habitat, 2015). (Widner, 1994 in Litvack, 1997) states that central governments have used "lack of capacity" excuse for refusing to transfer their authority, financial resources, and the accompanying privileges to local units. As a result of this, most local authorities remain unable to conduct the decentralized functions and have a high dependency on central government.

In contrast to the findings of developing countries, developed countries on the other hand reveal that increasing fiscal decentralization has been a global trend in recent decades. This is evident in that, local budgets account on average for 25 percent of public expenditures in the European Union for example, but less than 5 percent in many developing countries (Martinez-Vazquez & Smok, 2011).

The financing of most cities in developing countries depends mostly on central government transfers and that the more lucrative sources of revenue potentially suitable for financing urban areas, such as income taxes, sales taxes, and business taxes, continue to be controlled by the central governments in these countries (UN-Habitat, 2015). Another advocate of this view reflects it in a study in Poland which reveals that budgetary allocations of the local authorities are generally too small for their statutory duties and this problem is heightened by the low incomes from the populations of which majority have low incomes and cannot pay high taxes (Young & Kaczmarek, 2000).

The United Commonwealth Local Governments Association (UCLGA) also highlights that most local governments are faced with challenges of limited financial resources and have difficulty in funding the LED programs (UCLGA, 2014). Other studies of local authorities in South Africa bring out the argument that LED remains an unfunded mandate to local authorities (Nel and Humphreys, 1999 in Rogerson 2000) but this is disputed by (Rogerson, 2000) who pointed out that a number of reforms have been undertaken beginning with the launch of the LED fund in 1999 and a spectrum of government departments running LED funded programs which has eased the financial burden to local authorities.

2.4.3. Technical Capacity

Litvack (1997) highlights that inexperienced, small local governments may not have the technical capacity to implement and maintain projects and they may not have the training to effectively manage larger budgets. This view also comes out in a study by (Morgan, 2009) who highlights that, small communities have limitations generally with regards to capacity and resources. An example of this is reflected by Rokhim et al (2017) in a study of Singkawang which highlights how the limited technical capacity has affected service delivery and infrastructure development in the area. It is highlighted that, the roads in the area are bad which causes a challenge to local farmers and increases the cost of produce because of the travel costs incurred.

Technical capacity is also viewed as a contributing factor to the manner of service delivery by local authorities as reflected in a case study of Chegutu Municipality on the service delivery in

Zimbabwe local authorities which reveals that lack of finance and equipment were both factors contributing to below optimum service delivery (Obert, et al., 2015). In a similar study in Zambia Chibiliti (2010) also concluded that, lack of equipment was a hindrance to service delivery by the local authorities and hence affecting the manner in which the services residents paid for were delivered.

2.5. Capacity of Local authorities for LED in Developed Countries: Cases

2.5.1. Germany

For Germany, LED has been identified as a model of development in governance because of its participatory nature and the bottom-up approach in formulation which places the needs of the people above the centralised governance system of the *lander* development plans.

The *lander* is a group of federal states, with the authority to make sub-regional plans which can override the decisions of the local authority and this undermines the constitutionally guaranteed right of the local authorities to self-govern (Lötzer, n.d.).

Local authorities in Germany are faced with a challenge of increasing scarce financial resources and carrying out the constitutional mandate to local communities as they are prohibited to implement measures that hamper the *lander* regional policies or counteract it (Lötzer, n.d.).

Findings by (Buettner & Holm-Hadulla, 2008) indicate that, Germany currently has about 12,500 municipal governments, each of which runs its own budget, employs public servants and raises revenue from various sources. This fiscal autonomy is also seen in a study by (Bruns-Berentelg, et al., 2020) which uses a mixed methods approach (Bruns-Berentelg, et al., 2020) to explore how two municipal governments (Copenhagen and Hamburg) have pursued divergent kinds of entrepreneurial governance, even as they have aimed to create similar kinds of new-build neighbourhoods. The study findings reveal that, the city of Hamburg revamped its economic status through the use of land value capture to raise funds for municipal activities, and the achievement of this progress has been shaped by local economic and political conditions.

Despite the ability to raise funds for municipal activities, the local government still cannot override the planning of the *lander* and the human resource capacity of the local people is limited as indicated in the majority of the people that work in Hamburg living outside its administrative boundaries. A situation which is supported by (Lötzer, n.d.) whose case study on Hamburg and Frankfurt reveal that the city begun to create employment for its locals by creating external linkages and branding Hamburg as a media city.

This study has highlighted the contrast between local and regional level planning and the various challenges faced. The authors have opened up the regional development approach which is not limited or restricted in operation as compared to local development which cannot override the regional development and often leaves the hinterland underdeveloped due to limited resources.

2.5.2. Australia

Australia is known as one of the first countries to establish democracy in the modern world this is evident in the autonomy of all states being able to define the powers of their local authorities. Despite this, the position of the local government's sectors position in the Australian Federation still remains weak (Ryan & Woods, 2015).

The Australian Federation has three tiers of governance which are the federal government, governments of the states and territories and the local government. There is limited coordination between these tiers and according to (Ryan & Woods, 2015) the primary relationship between local government remains with the state where there has been no concerted policy direction in recent years to devolve greater levels of responsibility for policy making, management, financial autonomy and implementation of national goals to the third tier of government.

So despite the democracy to self-govern that has been granted to the states, local authorities have still not been empowered with devolved functions from the state for decision making which is key in the formulation and implementation of local economic development plans. Decentralisation is one of the key components of LED and the lack of this has been identified as one of the main barriers preventing local governments from undertaking economic development activities according to a report by (West Australian Local Government Association, 2019).

In addition lack of support from the State and Commonwealth Governments and the lack of qualified staff are also among the barriers preventing local governments from undertaking economic development activities (West Australian Local Government Association, 2019), this is also supported by similar findings from a report by (Victorian Auditor General's Office, 2018) which states that the lack of available and skilled staff within councils to develop high-quality business cases for grant applications means that rural councils often fail to secure available grants and the insufficient collection of consistent data for economic development expenditure despite allocating sufficient funds for economic development activities.

The report by West Australian Local Government Association (2019) also reveals that the case for Western Australia local authorities is different because in there is no defined economic development function, nor specified role for any level of Government, Government agency or Minister of the State. Rather, economic development sits within an array of policies and pools of funding, with limited coordination or collaboration across agencies or tiers of Government.

This approach to economic development has been seen to be sustainable because funds are readily available and all plans from the national plans are interlinked and implementation is carried out in a coordinated manner in comparison to local governments which face constraints on their ability to raise revenue due to a number of restrictions imposed by the State Government, as a result they are reliant on funding from the State and Commonwealth in order to meet the demands of the community for services and infrastructure (West Australian Local Government Association, 2019).

2.6. Capacity of Local authorities for LED in Developing Countries: Cases

Developing countries In Africa have recorded minimal studies on LED planning experiences (Rogerson & Rogerson, 2014). LED in Africa led has been incorporated with local or community development, as poverty alleviation strategies which have focused on social goals addressing social problems than sustainable development over time (Reddy & Wallis, 2012). This section is a review of literature on the capacity of local authorities to plan and implement LED in Africa.

2.6.1. Ghana

Odoru-Ofori (2011) takes a case study approach and uses a qualitative research methodology to examine the role of the local government in local economic development in Ejisu-Juaben Municipality in Ghana. He indicates that, despite the ample evidence which shows the increasing effectiveness of local authorities in delivering social services, they have not been able to effectively promote LED.

The study revealed that the local government has inadequate capacity in terms of funds, logistics and human resources which is evident in the reliance on grants and technical support from the central government for its activities in the municipality. In addition, the findings also revealed that, there is a weak institutional set-up for LED promotion which affected negatively the coordination of LED initiatives (Odoru-Ofori, 2011).

2.6.2. Uganda

In Uganda LED became fully conceptualised in 2005, after which a LED policy was developed in 2006 with the intention to promote the establishment of local investment centres, enhanced private sector investments in Local Governments and increased locally generated revenues. A study by (Kavuma, et al., 2020) conducted in nine districts in Uganda uses a qualitative method to gain insights into implementation of LED policies, and the level of preparedness of the districts to implement the policy as a tool for economic transformation and development.

The study findings reveal that the concept, approach, and policy of LED are not well understood by all stakeholders, partly because the structures that were designed to implement the LED Policy are not functional. In addition the study also reveals that, while District Councils possess the political power to oversee the provision of public services in the districts, the technical staff lack sufficient authority to collect all potential revenue streams. This resonates with the fact that decentralisation in Uganda achieved more of political than the fiscal decentralisation (Kavuma, et al., 2020).

Further, the study also reveals that while the primary success of LED is dependent on the involvement of non-state actors, there is no clear description of the specific roles of the private sector and the civil society as critical drivers for LED (Kavuma, et al., 2020).

This study gives a picture of a country that has actualized full decentralization which is a key factor to the implementation of LED. It is also representative of a country that has allocated funding towards LED implementation through the LED policy although this has not been fully actualized.

2.6.3. South Africa

Hofisi et al. (2013) conducted a study which was exploratory and descriptive in design to explain the Local Economic Development episteme in South Africa and to explore reasons for the demise of local economic development in South Africa.

The study revealed that, despite LED being adopted as policy in South Africa, there were still challenges of lack of capacity of the human capital at local government level to implement LED strategies and lack of funding for LED activities. This is supported by the findings of (Khambule, 2018) whose article on the roles and functions of Local Economic Development Agencies in addressing key local economic development failings through a case study of three Local Economic Development Agencies in South Africa presented similar findings. The study revealed that, the lack of effective and efficient local government capacity to deliver basic

services, the inability to plan for development remain the key barrier to local development (Khambule, 2018).

The study also revealed that, LED units were established in local authorities but the inability by municipalities to deliver adequate socio-economic services especially in small towns and rural municipalities has contributed to the limited success of LED (Khambule, 2018).

The practice of LED in South Africa sets it apart from other developing countries in Africa because of its adoption of Local Economic Development Agencies (LEDAs) which emerged as potential subnational institutions to advance LED and improve economic prosperity in the local government-led development landscape (Khambule, 2018). LEDAs are subnational entities of economic development which were devised as mechanisms that would respond to the needs of the public and private sectors in order to advance inclusive and effective economic development (Khambule, 2018).

2.6.4. Zambia

A study by Rogerson & Hampwaye, (2010) reveals that the City of Ndola begun to experience economic decline between the years of 1992-2002, which was partly attributed to the effects of globalisation.

The authors state that, efforts to promote LED in Ndola such as declaration of the city as a tax free zone and declaring it an industrial zone in order to attract investment can also be linked to the first phase of LED activities which focused on place marketing through provision of such incentives (Rogerson, 2010).

The study findings reveal that, the efforts for municipal led initiatives of LED were limited by finances, a lack of political will and capacity in the local authority. The study also reveals the success of community led programs which were an alternative response to the failed municipal led strategies of LED (Rogerson & Hampwaye, 2010).

Yasini, (2012) analyses local economic development and management in the town of Chongwe. The study findings reveal that, Chongwe Town Council had limited technical capacity due to inadequate equipment for planning and service delivery. The Council staff also lacked the right qualifications for the jobs which resulted in ineffectiveness in conducting development planning and resulted in poor community participation (Yasini, 2012).

In a mixed study approach conducted by Chomba, (2020) in Mwanabombwe District, the author set out to evaluate the capacity of the new Mwanabombwe Town Council in the delivery of services and development in the district.

The study revealed that, inadequate fiscal decentralization, delayed disbursement of Local Government Equalization Fund, lack of priority in planning and budgeting, political interference and a lack of harmonization of legislation and policies negatively impacted on the financial capacity of the council and, ultimately, service provision (Chomba, 2020). The study also revealed that, the local authority faced challenges in providing services to the people because of inadequate financial and human resource capacity, despite the existence of numerous opportunities that could help to widen the revenue base (Chomba, 2022).

2.7. Capacity for LED Planning in small towns

Experiences of small towns in the Free State in South Africa reveal that it is not well institutionalized and is mainly based on a few projects. Secondly, the findings are that it is mainly those towns that are dependent on agriculture and mining that have experienced major economic decline (Human et al., 2008). In terms of capacity for LED planning there is a lack of capacity to institutionalize LED to the point where LED projects are scattered everywhere and not well financed posing a challenge to sustainable economic growth (Human et al., 2008).

The evidence of this is seen in the budgetary allocation towards LED projects, between 70 and 80% of the Free State municipalities budgets, are accounted for by salaries and allowances and general expenses while the integrated development plan project is dedicated a residual 5%, while disaster management and environment are totally overlooked (Davis, et al., 2006). This however is a reflection of local authorities budgeting in general not limiting to small towns (Helmsing, 2005; Hampwaye, 2008a; Human et al., 2008; Rogerson, 2010; Yasini, 2012).

Compared to urban areas which focus on issues of LED governance, partnerships and of questions surrounding small enterprise development, clusters and the role of the informal economy in evolving LED practice small towns are focused on external factors (both positive and negative) which have a more significant impact on LED than the ability of local government to address the relevant issues (Human et al., 2008).

In terms of capacity, Human (2008) highlights that real skills development doesn't take place and people are left to run projects without the necessary business knowledge especially, financial management skills to ensure project sustainability. Bond (2003) also contributes by

stating that low skill levels, especially amongst the poor, are a key constraint facing potential investors and poor people are unlikely to benefit from whatever new jobs there are unless they have appropriate skills.

Nel et al., (2004) in Davis et al., (2006) states that, the most successful projects in the Free State in South Africa were those driven by the private and community sectors. Further it is stated that; that there was little evidence showing that the municipalities were making any significant contribution to LED and that managing LED through municipalities created various managerial and financial problems. The challenge of managing LED through smaller municipalities is also highlighted by Pina and Avellaneda (2017) whose study finding are that there is limited in organizational capacity in smaller municipalities to design and present infrastructure projects as they have neither the technical knowledge nor the access to resources to carry out thorough cost-benefit analysis and project evaluation as a result are overly dependent on regional councils for technical support.

2.8. Stakeholder collaboration and LED

The LED approach involves local actors in such a way that it stimulates a constant process of learning-by-doing, which, to a degree, can make up for initial deficiencies in human resources (Rodriguez-Pose & Tijmstra, 2007). Ensuring that all stakeholders are on board is one of the key principles of the success of LED (Reddy & Wallis, 2012).

The participation of a variety of stakeholders in the formulation and implementation of local policies should be stimulated and facilitated, as well as liaison with formal and informal organizations in the locality. This is likely to have a positive impact on the success of LED Klugman and Narayana in (Reddy and Wallis, 2012).

It is also important that the roles of stakeholders are well defined and stipulated as this promotes integration of all partners (Mensah, 2013). Himmelman (2002) in Sobandja & Sudarmadja, (2014) identifies ten roles that are commonly played by organization (actors) in the collaborative process. These roles are convener, catalyst, conduit, funder, advocate, community organizer, technical assistance provider, capacity builder, partner, and facilitator. The lack of vertical and horizontal linkages between LED partners and other stakeholders' derails implementation and leads to duplication of activities (Mensah, 2013). This is also shown in a study in the Free State which reflected that partnership formation through the local authorities was limited but the most successful projects were those undertaken by the private sectors (Davis, et al., 2006).

Solo city is used as an example of collaborative planning. Sobandia and Sudarmadjia (2014) demonstrate that, the success of the collaboration was built on basis of the cities good governance feature, market management and higher level in education which made it attractive. Hence it can be argued that good governance and management also has a key role to play in the attraction of investors or stakeholder partnerships. Further, the success of Solo City's stakeholder collaboration is also attributed to the clearly defined roles of actors and the local governments' consistency in implementation of the plans. The lower level actors were most active demonstrating willingness to partner which was motivated by trust built in the bottom up communication channel.

2.9. Gaps

This section of literature reviewed has highlighted various studies conducted on LED practices and the capacity of local authorities beginning in developed countries, developing countries, small towns and finally the stakeholder collaborations in development planning.

Below is a summary of the gaps or shortcomings identified in literature. The case of LED in Germany and Australia gives a highlight of experiences of various countries at different rankings. This study showed that, although fiscal decentralization is not a challenge in Germany, the human resource capacity and autonomy for development planning remains a challenge. For Australia, despite the democracy to self-govern local authorities have still not been empowered with devolved functions from the state for decision making and the capacity of local authorities in the hinterland in terms of human resource remains low. These studies despite bringing out some challenges being faced in LED planning, did not focus entirely on the capacities of the local authorities to plan and implement LED but assessed LED in general terms.

In Uganda, the findings reveal that there is a correlation between decentralization and LED which enhanced the LED implementation in the country. The study also reflects an example of a fully decentralized governance system and the impact this has on public service provision showing that decentralization is a key precondition to LED. In Ghana, Eduro-Oduro's study focused on the role of local authorities in general and not on their capacity to plan and implement for LED. Secondly, the study reflected the challenges of local authorities which are cross cutting across countries that have not experienced a fully decentralized system of governance.

The study in South Africa, demonstrates an enabling environment for LED which include making LED part of the daily activities of the local authorities and putting in place policies

such as the white paper that are focused entirely on LED but this has still demonstrated the limited capacity of local authorities to see LED to the end. South Africa's experience also shows a new era in LED which focuses roles of driving the process to the private sector through LED agencies.

In Zambia, the studies undertaken by Hampwaye (2008; 2010) and Yasini (2012) are focused on urban councils and analyze LED in the absence of the Zambian LED guidelines and the revised decentralization policy, while the study by Chomba (2020) did not focus on the capacity of Mwanabombwe Town Council to implement LED, instead it focused on the capacity for service delivery in terms of equipment and the potential to unlock revenue sources.

The studies on small towns reflect that challenges of urban and rural towns differ although they all hinge on capacity as a common factor. The study did not focus on the role of local authorities in particular but focused on stakeholders and donor experiences.

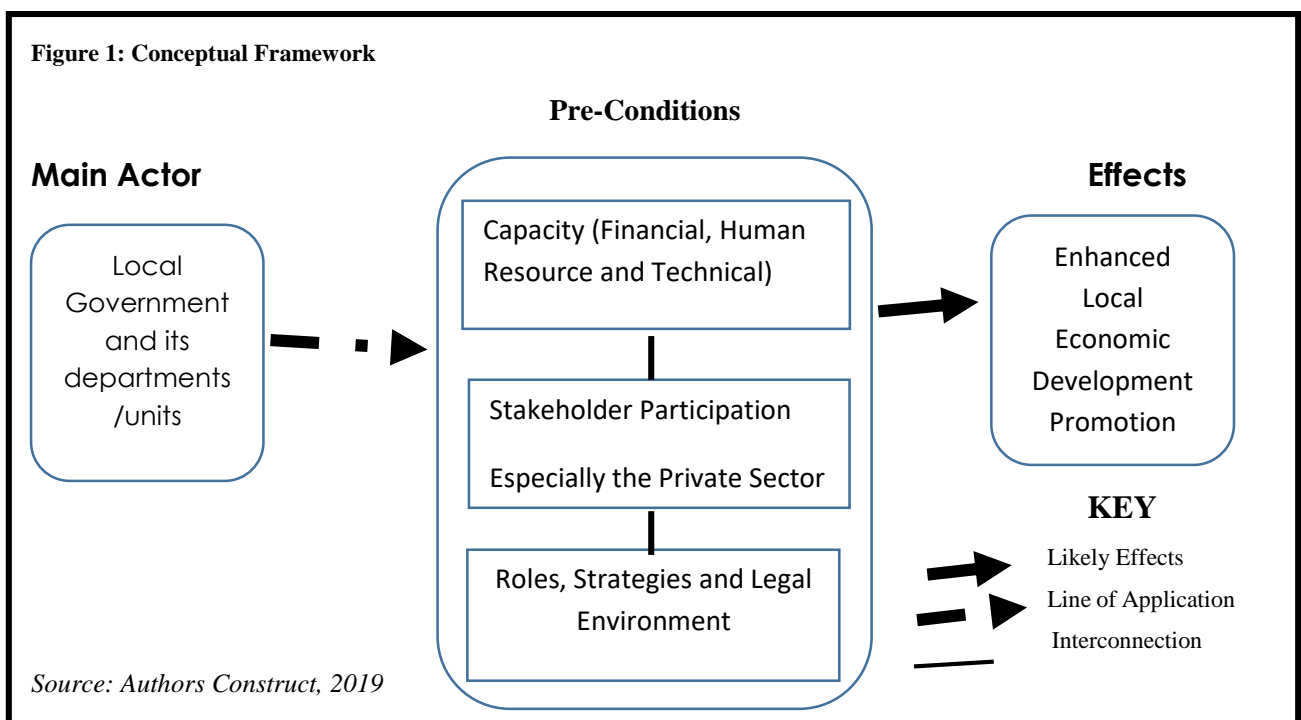
CHAPTER THREE: CONCEPTUAL FRAMEWORK

3.0. Introduction

The previous section presented a review of existing literature on local economic development experiences. This section presents concepts relating to this study that have been identified. Section 3.1 is a presentation of the conceptual framework of LED while 3.2 presents the concept of decentralization and this is followed by section 3.3 which is an outline of the relationship between the IDP and the LED concepts. Section 3.4 presents the relationship between endogenous development and LED and finally a justification for the use of these concepts is outlined in section 3.5.

3.1. Conceptual Framework

From the literature that has been reviewed, it has been revealed that the success of LED is influenced by various dependent variables such as the capacity of an institution in relation to its finances, human and technical resources. Some of the preconditions according to (Oduro-Ofori, 2011) are the roles to be played, strategies and tools to be applied, the involvement of actors or stakeholders in the process and the availability of the needed capacity in the process. The roles to be played once they are understood by the various actors will bring out the development of strategies that will influence the LED process, furthermore in order to implement the strategies developed there is need for relationships and policies that are backed by the legal mandates and availability of human and technical resources. This interlinking of preconditions and various factors that create a favorable environment for LED and lead to its success are displayed in Figure 1:



3.1.1. An explanation of the Concepts of the Framework

Figure 1 also shows the *main actor* is recognised as the local authority which is the facilitator of the process of LED and the dotted line is after represents the line of application which involves the processes that the local authority has to engage in in order to promote and implement LED. The *pre-conditions* are factors that are needed in order to create an enabling environment for LED and are envisioned to result in the success of enhanced LED, the dark lines show the interconnection of the pre-conditions as they exist. Finally the likely effects of the preconditions being nurtured by the main actor are seen in the effects of enhanced LED promotions.

3.2. The concept of Capacity

The term capacity has been identified as a broad term by various authors whose definite meaning is dependent on its usage (Oduro-Ofori, 2011; Rogerson, 2006). According to Rogerson, 2006 the term capacity is defined as that emergent combination of attributes that enables a human system to create developmental value. It is also known to refer to the ability to achieve goals as reflected by available resources and by political, managerial and technical competence (Oduro-Ofori, 2011). A framework developed by Rogerson, 2006 is used to look in more detail in the nature of capacity. It entails that:

1. Capacity is assessed based on the *foundational components or elements* such as financial resources, structure, information, culture, location, values and so on.
2. Capacity is assessed in terms of '*competencies*' when we focus on the energy, skills, behaviours, motivations, influence and abilities of individuals.
3. Capacity is used in terms of '*capabilities*' to refer to a broad range of collective skills that can be both be technical and logistical or 'harder' (e.g. policy analysis, marine resources assessment, financial management) and generative or 'softer' (e.g. the ability to earn legitimacy, to adapt, to create meaning and identity). All capabilities have aspects that are both hard and soft.
4. And lastly '*capacity*' to refer to the overall ability of a system to create value. (Source: Rogerson, 2006).

In the local government aspect of assessing capacity, the focus is placed on capabilities of policy analysis and financial management, competencies of skills and the foundational components of structure and financial resources. Table 1 shows the forms of capacity and assessment variables that have been identified.

Table 1: Forms of capacity assessment variables

Forms of Capacity	Assessment Variables
Financial	Sources of funds, amount of funds, use of funds, budgeting for LED, challenges in generating funds, expenditure patterns
Human resource	Availability of key staff, qualification of staff, staff establishment percentage
Technical	Availability of equipment, availability of planning tools, skills of personnel

Source: Author, 2019

3.2.1. Financial Capacity

The financial capacity of an institution borders on various aspects such as the ability of an institution to manage its revenue and expenditure and the manner in which this is done. Local governments are faced with various challenges of financial management such as revenue generation and delivery of services which borders on the finances. Financial capacity has been given several meanings based on the circumstance under which it is being used. In this study, the financial capacity of an institution is used to refer to the ability of the institution to generate revenue, prudently spend it and manage it within the mandates of the institution. The variables that are being used to assess this are sources of funds, the use of funds, budgeting for LED, challenges in generating the funds and the expenditure patterns as reflected in Table 1.

3.2.2. Technical Capacity

The technical capacity of local government in this study is determined in terms of the availability of skilled planning staff and their knowledge for LED planning and implementation. Also tools such as IDP that are needed for enhancing development planning and the equipment thereof. The key variables focused on are availability of equipment, availability of planning tools and the skills of personnel to develop, plan and implement LED plans.

3.2.3. Human resource Capacity

The capacity of human resource in the local government is one of the fundamental keys to successful LED implementation. In assessing the human resource capacity this study first identifies this as the availability of qualified, skilled and motivated human resource. It also looks at the staff establishment and the vacancies in key positions that are vital to the implementation of LED. The study uses the variables of availability of key staff, qualification of staff and staff establishment percentage to assess the human resource capacity.

3.3. Decentralization

This refers to the restructuring or reorganization of authority so that there is a system of co-responsibility between institutions of governance at the central, regional and local levels thus increasing the overall quality and effectiveness of the system of governance alongside the authority and capacities of sub-national levels (UNDP, 1999).

Torrise et al. (2001) on the other hand defines decentralization as the transfer of authority and power from higher to lower levels of government or from national to sub-national levels. During the 1970s and early 1980s, a large number of developing countries began decentralizing some development planning and management functions (Rondinelli et al., 1983). This was done with the expectation that delays will be reduced and that administrators' indifference to satisfying the needs of their clientele will be overcome. It was also thought that decentralization will improve government's responsiveness to the public and increase the quantity and quality of the services it provides (Rondinelli et al., 1983). Today, both developed and developing countries are pursuing decentralization policies as instruments to ensure broader participation of citizens as well as to improve local governance towards reducing poverty (Yasini, 2012).

The effects of decentralization on good governance depend to a large extent on the form and nature of the decentralization involved in the particular country (UNDP, 1999). There are four main forms of decentralization namely, devolution, de-concentration, delegation and divestment (UNDP, 1999) and three broad types which are political, administrative and fiscal decentralization (Yasini, 2012). Fiscal decentralization relates to the reassignment of expenditure (or the transfer of funds) and tax-raising (and borrowing) powers (Hart & Welham, 2016). The basic characteristics of a system for decentralized financial management includes, transparency of allocation, predictability of the amounts available to local institutions and local autonomy of decision making on resource utilization (UNDP, 1999). Fiscal decentralization transfers two things to local governments and private organizations: funds to deliver decentralized functions and revenue generating power and authority to decide on expenditures (Mollah, 2007). The key rule of fiscal decentralization is often cited as 'finance should follow function' which means that local governments should have adequate resources to carry out the functions they have been assigned and secondly, the source of local government financing should be defined (Hart & Welham, 2016). Fiscal decentralization is the core function of decentralization as the discharges of devolved functions by the local governments (LGs) require matching financial resources from the central government (Yasini, 2012).

Administrative decentralization seeks to redistribute authority, responsibility and financial resources for providing public services among different levels of government (Mollah, 2007).

It comprises the set of policies that transfer the administration and delivery of social services such as education, health, social welfare, or housing to sub-national governments (Falleti, 2004). The two forms of administrative decentralization include de-concentration and delegation (Mollah, 2007). De-concentration involves the shifting of workload from central government ministries headquarters to staff located in offices outside the national capital. The staff may, however, not be given authority to decide how those functions are to be performed (Chitembo et al., 2014). Delegation on the other hand entails the transfer or creation of broad authority to plan and implement decisions concerning specific activities or a variety of activities within specific spatial boundaries to an organization that is technically and administratively capable of carrying them out (Chitembo et al., 2014).

Political decentralization is the set of constitutional amendments and electoral reforms designed to open new or activate existing but dormant or ineffective spaces for the representation of sub-national policies (Falleti, 2004). This form of decentralization is also referred to as devolution, which entails giving autonomy and independence to local units (such as local governments) which are allowed to exist as separate levels over which central authorities exercise little or no direct control (Chitembo et al., 2014). Divestment occurs when planning and administrative responsibility or other public functions are transferred from government to voluntary, private, or non-government institutions (UNDP, 1999).

Yasini (2012) groups the benefits of decentralization into administrative, political and fiscal benefits (Yasini, 2012). In terms of fiscal decentralization, it is highlighted that it will reverse current practice which extracts resources from the periphery and concentrates these at the centre. In this manner, more resources will be retained at the local level, which will be available to support local development initiatives that can help to enhance local economies (Miller, 2002). Administratively, decentralizing from regional or local levels allows regional or local officials to disaggregate and tailor development plans and programmes to actual needs existing in their own jurisdictions (Chitembo et al., 2014). Secondly, by decentralizing functions and reassigning central government officials to local levels, their knowledge of and sensitivity to local problems and needs can be increased (Chitembo et al., 2014). Politically, decentralization may allow greater representation for various political, interest and ethnic groups in development policy decision-making and implementation, and hence could lead to greater equity in the allocation of government resources and investments (Chitembo et al., 2014). It brings government closer to the people, and thus enables citizens to be better informed and to better understand the conduct of public business (Miller, 2002) which allows people to have a voice and direct development and activities taking place within their jurisdiction as it directly affects them. Decentralization can provide a structure through which activities of various

central government ministries, local councils and non-governmental organizations involved in development in the provinces and districts can be coordinated more efficiently with each other (Chitembo et al., 2014). Information sharing is more efficient and easier because even the roles are well defined and shared responsibility can easily be achieved. In terms of local level development, decentralization is cardinal because it facilitates the performance of development functions at the local level, which cannot be performed by the centre within the traditional government hierarchies (Chitembo et al., 2014). Finally, planning for local sustainable development is effected through a participatory process in which the partners forge a collective vision for local development (Miller, 2002). Devolution is essential to this approach, and development plans produced through such a process will enjoy full support and commitment of the local community ((Miller, 2002).

Despite all the merits, decentralization has been identified to come with shortcomings such as the tendency by central government officials to resist decision making from below, another factor which has in the past inhibited decentralization programmes (Chitembo et al., 2014). Central government officials with construed plans and approaches may clash with the concepts approach of engaging the local people even though this engagement will result in resolutions that are benefitting and seen to be practical for the local people. Creation of several levels of government brings complexities to the role and functions, relationships, and revenue and power sharing with the most controversial issue being related to finance and mandates (Miller, 2002).

The concepts of LED have integrated components of decentralisation by focusing on development from the bottom-up and allowing communities to take part in decision making and directing the future of their communities and development in their localities. The next section looks at the relationship between integrated development planning and local economic development; this has been necessitated because in Southern Africa, LED is encompassed in integrated development plans and the three concepts inform the study for this reason.

The next subsection looks at the relationship between IDP and LED.

3.4. Integrated Development Planning and Local Economic Development

Integrated development planning (IDP) was identified as an approach to curb development inequalities in South Africa after the apartheid period. Through the Local Government Transition Act 1993, the Constitution of South Africa 1996 and the White Paper on Local Government 1998 IDP is recognized as the developmental approach (Malefane & Mashakoe, 2008) for municipalities. The IDP has been recognized as a function of all departments in the municipality because of its cross cutting nature and as a key tool for municipalities to cope

with their developmental role (Malefane & Mashakoe, 2008). In meeting this developmental role, the IDP takes a sustainable development approach by ensuring that planning for key social, economic and environmental sectors is incorporated in the IDP (Malefane & Mashakoe, 2008).

Drawing from its relationship with LED, the IDP considers LED as a vehicle towards addressing spatial inequalities that were created by apartheid planning (Malefane & Mashakoe, 2008). LED is an integral part of the broader strategic plan (IDP) in a municipality and because of its cross cutting nature of operation, it has a great deal of influence on the role and orientation of all sector departments and therefore represents the major part of the IDP (Malefane & Mashakoe, 2008). Both approaches seek to respond to challenges that face countries and cities with regard to decaying central business districts, communities with few economic opportunities and rural areas that lack basic infrastructure services (Malefane & Mashakoe, 2008). Both these approaches are driven by another important concept of development planning which is stakeholder participation.

3.5. Endogenous Development and Local Economic Development

Before endogenous development, the modernist development was the most popular approach to development due to its socio-economic successes. However, it created an imbalance which prioritized economic growth with very limited provisions for social justice (Millar et al., 2018). This led to the desire to seek new approaches to development such as the endogenous development. Endogenous development is conceived as a process in which rural development is the result of local initiatives and grounded largely in local resources and the benefits of development tend to be retained in the local economy and local values are respected (Malick, 2005). The concept draws from local resources to harness and mitigate development. This is done by building on and exciting the local actions for change to occur from within the existing system. Based on the above, Millar (2008) concludes that by its very definition, endogenous development can be seen to work towards sustainable, functional and people-centred development (Millar et al., 2018). Endogenous development also places emphasis on the coordinating function of the administrative and political sphere. It subscribes to a belief in the capacity of people in a locality to discover within themselves and their locality the means for the improvement of their socio-economic well-being (Margarian, 2011). In a rural context, the endogenous development hypothesis has been summarized by three constituent aspects: the territorial instead of the sectoral frame, the valorising and exploiting of local physical and human resources, and the focus on needs, capacities and perspectives of local people (Margarian, 2011).

In relation to local economic development, the endogenous development approach is well fitted because it is identified as a participatory process, it seeks to create jobs and improve livelihoods of the local people, it promotes local participation and use of local resources, focuses on territory, it is also a bottom up approach to development where decisions and structures below are supported financially from above (Oduro-Ofori, 2011).

Endogenous development has been connected to the four requirements to LED promotion of participation and social dialogue, based on territory, the mobilization of local resources and competitive advantages and local ownership of the process (Oduro-Ofori, 2011). Thus, in local economic development, the basic issues of territory, interaction between development actors, space and economic and social entities within and without and the use of locally available potentials and resources are also of greater significance (Oduro-Ofori, 2011).

The concept of endogenous development comes with a number of merits which include; supporting and promoting change that is locally informed and relevant (Millar et al., 2018). Local people have input in the development and change that is taking place which makes it relevant to the particular needs of the locality. Endogenous development also seeks optimal ways for combining local resources with external inputs without unduly sacrificing or even attempting to replace the local (Millar et al., 2018). The concept can be used in a way that marries what is prevailing with external interventions without taking away from the local people or changing the place entirely to suit external partners, which also shows that it places central importance on the need, ability and potential of people for initiating and negotiating their own development path (Millar et al., 2018). This creates the sense of ownership, especially because the people can define their own developmental roadmap.

The approach does not come without demerits, critiques of the study that argue for the importance of external linkages in cluster formation; criticize the excessive focus of the endogenous school on localized social networks and learning processes (Lee et al., 2009). It is also argued that the endogenous school ignores the importance of regional, national, and global institutions in cluster development (Lee et al., 2009).

3.6. Justification for the use of concepts

The study is influenced by the concepts highlighted above which are capacity, decentralisation, integrated development planning and endogenous development.

The concept of capacity has been identified because it is the centre of the study and it is helpful in understanding the various forms of capacity and the important variables linked to it. The review of the concept has brought to light the variables of financial, human resource and technical capacity which the study focused on. It is important that these variables be discussed because this has given direction to the study and the analysis that follows hereafter.

Decentralisation has been selected because of the nature of the concept and the manner in which it encompasses all the objectives of the study which include fiscal, technical and human resource capacity and participation. Because of its nature to plan from below and incorporate the views of the grassroots in planning and implementation of projects, the concept of decentralization relates to LED because it is premised on similar principals of bottom up decision making and community participation. Central to LED is also capacity of human resource, adequate financial resources and technical capacity and equipment, which can all be achieved through a fully decentralised system of governance.

Integrated Development Planning is key to the study because this is the key tool for planning and development in municipalities and it encompasses LED plans. An IDP is a tool for development planning in a local authority and is one of tools that enhances stakeholder participation in development planning and LED promotion. Zambia has adopted the IDP route of development planning as such the concept was key to the study.

Endogenous Development echoes the principles of LED because it focuses on using local resources (human, financial and technical) in promoting economic development of an area with a focus to create sustainable livelihoods for the community. LED incorporated with endogenous development promotes the use of resources from the local community in other words development from within, by identifying local resources that can promote economic growth and focus on sustainable development and job creation.

CHAPTER FOUR: DESCRIPTION OF THE STUDY AREA

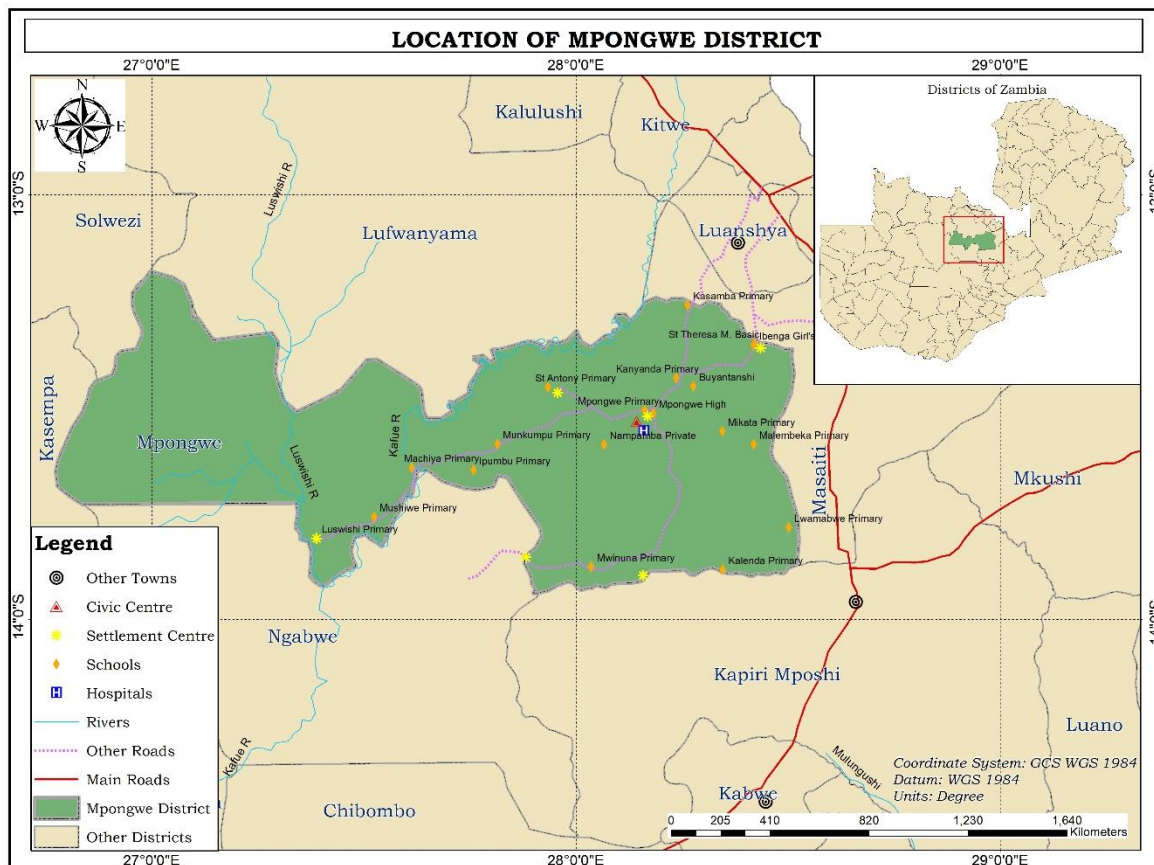
4.0. Introduction

This section presents a description of the study area, presenting highlights of the population, the location and size, socio-economic activities, infrastructure and administration.

4.1. Location and Size

Mpongwe is situated in Copperbelt Province of Zambia. It shares boundaries with 6 districts which are Kapiri Mposhi, Ngabwe (to the South), Kasempa, Lufwanyama (to the west) and Masaiti (to the north) as seen in Figure 2. It is located 82km from Ndola which is the Copperbelt Provincial Administration city and it covers an estimated total area of about 8,376 square kilometres.

Figure 2: Location Map of Mpongwe District



Source: UNZA, 2019

4.2. Selection of Study Area

Mpongwe was selected purposively because of its unique character and location in a mining province. Mpongwe is the only non-mining town on the Copperbelt and has a comparative advantage over the other towns in Agriculture orientation as the acclaimed bread basket of the

Copperbelt Region. For this reason, the study sought to assess the local councils' capacity to use the comparative advantage to its advantage and promote the economy of Mpongwe.

4.3. Population and Growth

According to the 2010 census of population and housing, the population of the district is about 94,952 of which 50.1% is male and 49.9% is female and is projected to 137,228 for 2021 which is 50.4% male and 49.6% female. The annual growth rate of the District is estimated at 3.8% and about 72.5% of the population lives below the poverty line.

4.4. Administration

Mpongwe District has one constituency which is divided into thirteen wards and six traditional leaders who are Chief Kalunkumya, Chief Mwinuuna, Chieftainess Malembeka, Chieftainess Chitema Lesa, Snr Chief Ndubeni, and Chief Machiya. The head of Government in the district is the District Commissioner, who is the overall supervisor of all Government activities in the district. The Council Chairperson is the political head of the district and chairs the full Council meetings while administrative duties of the Council are handled by the council secretary who is the chief executive officer of the local authority. Land administration is managed by the customary and state land tenure, overseen by the traditional leadership and the local authority respectively.

4.5. Infrastructure Services

The District is connected to the neighbouring towns through D486 as the main inner road which links to T3 towards Ndola and T2 towards Kapiri Mposhi as seen in Figure 2.

4.6. Economic Activities

The economy of Mpongwe is predominantly agricultural. The majority of people in Mpongwe district are small scale farmers growing maize, cassava, sweet potatoes, sorghum and vegetables. Out of these crops, maize and sweet potatoes are the main income generating crops. Traders from urban districts such as Luanshya, Kitwe, Chililabombwe and Chingola buy most of this produce. Mpongwe has an unemployment rate of 6.6%; a small percentage of the population is employed by commercial farmers and small scale industries within the district. A total of 34,392 people represent the employed population most of whom are unskilled and employed as laborers with very low incomes and 2,430 are unemployed (GRZ, 2018a). The leading commercial farm and leading employer in the district is Zambeef Plc which specializes in livestock production and rearing followed by Somawhe Estates which produces soya, wheat and maize and Zamhatch which operates a chick hatchery respectively.

CHAPTER FIVE: METHODOLOGY

5.0. Introduction

This chapter presents the methodology applied in collecting and analysing data in relation to the technical capacity of MTC, the human resource capacity, fiscal capacity and the stakeholder collaboration between MTC and its stakeholders. The next section is a highlight of the research design. This is followed by a justification of the study area which was purposively selected. The following section outlines the sample sizes along with the sampling methods which were used in making the selection. This is followed by a highlight of the data collection methods that were applied as well as the methods of data presentation and the corresponding analysis.

5.1. Research Design

A research design is the procedures for collecting, analysing, interpreting and reporting data in research studies. It also sets the procedure on the required data, the methods to be applied to collect and analyse this data, and how all of this is going to answer the research question (Lelissa, 2018). The study was exploratory in nature because this was the first time a study of this nature had been conducted in Mpongwe and was seeking to answer questions of ‘how’ and ‘what’ (Lupale, 2019).

A mixed methods research design was used which is a design that integrates qualitative and quantitative research and data in a research study. This method was born out of the idea that both qualitative and quantitative designs have weaknesses, thus collecting both of them neutralized the weakness of the other. It also leads to a greater degree of understanding being formulated unlike if a single approach is adopted to a specific study (Asenahabi, 2019). Quantitative research uses quantitative measurements and statistical analysis, it also deploys several statistical tools that allow for easy aggregation, categorization and the comparison of research data (Oduro-Ofori, 2011), and in this case data on the financial capacity in terms of revenue and expenditure and the number of human resource available was numeric thus being quantitative. Qualitative research is seen as exploration which helps to analyse research objects, identify indications and establish classifications and typologies. It again seeks the discovery of relationships between variables (Oduro-Ofori, 2011). Qualitative researches are designed to provide the researcher a means of understanding a phenomenon by observing or interacting with the participants of the study (Lelissa, 2018) and as such data on stakeholder participation was qualitative in nature and applied in depth analysis.

5.2. Data Collection Methods

Data collection is the process of gathering and measuring information on variables of interest, in an established systematic fashion that enables one to answer stated research questions and evaluate outcomes (Kabir, 2016). This section presents the methods that were applied in collecting data relating to the mixed methods approach of qualitative and quantitative research.

5.2.1. Quantitative Methods

Quantitative data was collected using two main tools which were questionnaires and review of documents. Questionnaires were administered to selected residents of Mpongwe District with the intention to generalise the sampled data to a population regarding the technical capacity of the local authority in relation to service delivery. A questionnaire is a research instrument consisting of a series of questions and other prompts for the purpose of gathering information from respondents, it can comprise of both closed ended questions where the respondent has to pick an answer and open ended questions where the respondent can construct their own answer (Kabir, 2016). Open ended questions were asked regarding the services that MTC delivers in their areas and the development challenges they see in their District.

The documentary review technique was applied in obtaining information from financial reports, budgets and reports from the finance and administration departments at MTC. This helped to collect numeric information on the financial and human resource capacity of the local authority.

5.2.2. Qualitative Methods

Semi- structured interviews were conducted using interview guides in order to collect primary data from key informants from various institutions and Mpongwe Town Council staff. A Semi structured interview is a qualitative research method that combines a pre-determined set of open questions (questions that prompt discussion) with the opportunity for the interviewer to explore particular themes or responses further (Barclay, 2018). This data collection method was used because there was an opportunity for face to face interaction with the respondents and there was room to prompt the interviewee further.

This helped to collect information on the human resource capacity and the technical capacity of the local authority relating to adequacy of equipment for service delivery and development planning and in establishing the collaboration between the local authority and its stakeholders.

All the informants were contacted before the date of the interview and appointment dates were set. The interviews were conducted at the place of work at the time of the interviewee's

convenience. During the interviews, English was the language used and clarifications were given where the interviewee was not clear. Secondly, all interviews were recorded using a smart phone as a recording device with the consent of the key informant in order to capture all the details of the interview while a notebook was used to highlight a few points. To ensure reliability, the recordings were listened to before the next interview in order to see what questions needed to be rephrased and if there was need to change the technique of asking questions.

5.2.3. Secondary Data

Secondary data sources refer to data collected by someone else earlier. It is data collected by a party not related to the research study who may have collected the data for some other purpose and at a different time in the past (Joop & Hennie, 2005).

Secondary information sources that complimented the primary information highlighted were collected on successful LED practices and cases of the Zambian LED experiences. The secondary data used in this study includes journal articles, financial reports, books, organisational reports and published thesis.

5.3. Sampling Procedure and Sample Size

Availability sampling was used in selecting the residents of Mpongwe District. Using the 2010 population of Mpongwe District which is 94,952 people, a sample size of 45 respondents from Mpongwe District was determined through *apriori* power analysis using the software G-power 3.1 (Erdfelder et al.,1996). The sample size of 45 provided statistical power of 0.95 for detecting moderate effect size at the two tailed significance level of 0.05 (Erdfelder et al.,1996). G power is a free software that covers statistical power analyses for many different statistical tests. It was designed as a general stand-alone power analysis program for statistical tests commonly used in social and behavioural research (Erdfelder et al.,1996).

The key informants were selected by purposive sampling. Purposive sampling was used for the key informants because the study does not seek to sample research participants on a random basis but to do so in a strategic way (Bryman, 2012) ensuring that, participants are relevant to the study. The study selected technocrats and experts in the field of LED and the affairs governing the institutions involved in the LED environment in Zambia. Secondly, the Zambia LED guidelines highlight six (6) institutions that are responsible for ensuring a conducive environment for LED is created in Zambia respective of their functions and these include: Ministry of Local Government, Local Government Service Commission, Ministry of Finance, the Decentralisation Committee, Ministry of National Development Planning and Local Government Training Institute. Of the six key informants only four were interviewed which

are Ministry of Local Government (MLG), Local Government Training Institute (LGTI), Local Government Service Commission(LGSC) and Ministry of National Development Planning(MNDP) while information pertaining to the other institutions was collected during the same interviews as some roles are overlapping between ministries. Other key informants include: four (4) Mpongwe Town Council officers (Council Secretary, Deputy Council Treasurer, Town Planner and Director of Works), two (2) political leaders (Council Chairperson and District Commissioner), six (6)traditional leaders and 32 stakeholders (which include Non-Governmental Organizations, Community Based Organizations, District Business Association, District Cooperatives Unit, and 5 Ward Development Committees) was selected from Mpongwe Town and National LED Role players.

5.4. Data Analysis and Presentation

Data analysis is the process of performing certain calculations and evaluation in order to extract relevant information from data (Ibrahim, 2015), it is also the examination and interpretation of data in order to elicit meaning, gain understanding, and develop empirical knowledge (Bowen, 2009). Data that has been analysed is presented narratively and in form of tables, graphs and charts.

5.4.1. Qualitative Data

The qualitative data collected from conducting semi- structured interviews with key informants using interview guides were analysed using thematic analysis by placing them in themes that were adopted by the researcher.

5.4.2. Quantitative Data

Quantitative data collected from budgets, financial reports and questionnaires was analysed using descriptive statistics which are used to summarize data in an organized manner by describing the relationship between variables in a sample or population (Kaur, et al., 2018) and the data collected from secondary sources like books and journals was analysed using documentary analysis. Document analysis is a systematic procedure for reviewing or evaluating documents, both printed and electronic.

5.5. Limitations and Data Validity

In order to examine the relationship of the lower levels of governance (WDC) with the local authority experiences of the elected committees at the time of data collection were reviewed which led to limiting the generalisation of the results. In relation to internal validity, the study ensured that information was collected from various data sources. In relation to reliability, a

research is said to be reliable when it can produce the same results even when different researchers repeat the same method in the same research context (Oduro-Ofori, 2011). So in order to ensure reliability, the methodology and processes of the research has been outlined and documented in chapter five and all the recordings, records of interviews and notebooks used have been kept as part of the study. The list of interviewees also has been kept and secondary sources of data have been itemized. The research was also reviewed by an external editor to ensure that the work is flowing and well edited.

5.6. Ethical Clearance

Mandatory procedures which include ethical principles were followed in conducting the study. An introductory letter was obtained from the Department of Geography and Environmental Studies at the University of Zambia. All relevant institutions and key respondents were contacted well in advance with information regarding why they were being contacted, where the information being requested would be used and the purpose of the study.

Each key informant was assured that high levels of confidentiality would be upheld with respect to their submissions. The data collection tools such as the interview guide did not have the identities of the respondents nor any of their personal details that could reveal their identity. Courtesy calls were also made to the traditional leaders before going on to interview their subjects and in order to obtain consent to conduct the research in their chiefdoms.

CHAPTER SIX: FINDINGS

6.0. Introduction

This chapter presents the findings of the research with respect to the human resource capacity, financial capacity, technical capacity, and lastly the stakeholder collaboration. With respect to the financial capacity, the results are presented in terms of the revenue base and the sources of revenue for MTC, revenue collection performance and the budgetary allocation to LED related activities. Findings in relation to the human resource capacity are presented in terms of the number of management positions filled, number and qualifications of key staff in each department and the performance of the LED unit. In line with the technical capacity, the findings are presented in terms of availability of equipment for service delivery, local development planning process at district level, service provision capacity in terms of road maintenance and water provision. Lastly, the findings relating to stakeholder collaboration are presented in terms of stakeholder engagement in development planning and the roles of national and local actors in LED.

6.1. Human Resource Capacity

The human resource capacity of MTC was assessed in line with the LED unit staff establishment and the Ministry of Local Government establishment, the number of management posts permanently filled, vacancy rate, LED roles clearly defined in job description and suitably qualified staff engaged in LED planning, programmes and projects.

The findings in Table 2 show that there are three vacant key management positions and one officer is serving on probation. To further analyse the human resource capacity, an analysis was also done on the number and qualifications of the key staff in each department at the local authority.

Table 2: Number of Management Posts filled and Vacancy Rate Annually

Table 2 shows the number of management posts filled and the vacancy rate for MTC.

Management Position	Establishment	In Place	Vacancy	Percentage Gap	Category of Employment
Council Secretary	1	1	0	0	Permanent
Deputy Council Secretary	1	1	0	0	Permanent
District Planning Officer	1	0	1	100	Vacant
District Treasurer	1	1	0	0	Permanent
Deputy District Treasurer	1	1	0	0	Permanent
Director of Works	1	1	0	0	Permanent
Rural Water Supply and Sanitation Coordinator	1	1	0	0	Permanent
Business Development Manager	1	0	1	100	Vacant
Socio-Economic Planner	1	1	0	0	Probation
Town Planner	1	1	0	0	Permanent
Land Surveyor	1	0	1	100	Vacant
Total	11	8	3	27	

Source: MTC, 2019

6.1.1. Administration Department

Table 3: Number of Staff in Administration Department

Description	Establishment	Staff Available		Staff Shortage	
		Number	Percentage	Number	Percentage
Council Secretary	1	1	100	0	0
Chief Human Resource Officer	1	1	100	0	0
Public Relations Officer	1	0	0	1	100
Total Departmental Establishment	3	2	67	1	33%

Source: LGSC, 2019

Table 3 shows the findings in relation to the number of officers against the required establishment in the Administration Department. The findings above reveal that the Administration Department is operating at 67% in terms of the key staff that are needed in the department and has a shortfall of 33% because the position of the Public Relations Officer is vacant.

Table 4: Qualifications of Staff in Administration Department

Job Holder	Current Job Holders Qualifications	Minimum Qualification Required
Council Secretary	<ul style="list-style-type: none"> ▪ Masters in Human Resource Management ▪ Degree in Human Resource Management 	<ul style="list-style-type: none"> ▪ Degree in Human Resource Management ▪ Member of the Local Government Association of Zambia
Chief Human Resource Officer	<ul style="list-style-type: none"> ▪ Bachelor of Arts Degree in Human Resource Management ▪ Strategic Leadership and Governance Certificate 	Degree in Public Administration and Human Resource Management or equivalent
Public Relations Officer	Vacant	<ul style="list-style-type: none"> ▪ Degree in mass communication or equivalent ▪ 3 years minimum work experience

Source: LGSC, 2019

Table 4 shows a further analysis which was done on the minimum qualifications of the job holder in the administration department in comparison to the minimum qualifications required:

6.1.2. Planning Department

The findings reflect that the department has a 71% shortage in terms of staff operating in the department with 12 vacant positions which are key to the process of LED.

Table 5: Number of Key Staff in Planning Department

Description	Establishment	Staff Available		Staff Shortage	
		Number	Percentage	Number	Percentage
District Planning Officer	1	0	0	1	100
Town Planner	1	1	100	0	0
Assistant Town Planner	1	0	100	1	100
Planning Assistant	1	0	100	1	100
Socio-Economic Planner	1	1	100	0	0
Monitoring and Evaluation Officer	1	0	0	1	100
Senior Community Development Officer	1	0	0	1	100
Community Development Officer	1	1	100	0	0
Assistant Community Development Officer	2	0	0	2	100
Market Officer	1	0	0	1	100
Land Surveyor	1	0	0	1	100
GIS Officer	1	0	0	1	100
Assistant GIS Officer	1	0	0	1	100
Water and Sanitation Coordinator	1	1	100	0	0
Chief Health Inspector	1	0	0	1	100
Health Inspector	1	1	100	0	0
Total Departmental Establishment	17	5	29	12	71%

Source: MTC, 2019

A further analysis was conducted to find out the qualifications of the senior job holders that are at the institution and the findings reveal that, the community development officer is not qualified for the job in accordance with the qualifications of the job holder as provided by the job descriptions.

Table 6: Qualifications of Staff in the Planning Department

Job Holder	Current Job Holders Qualifications	Minimum qualification required
District Planning Officer	Vacant	<ul style="list-style-type: none"> • Degree in Urban and Regional Planning or equivalent • 7 years' work experience with 2 at senior management level
Town Planner	<ul style="list-style-type: none"> • Bachelor of Science in Urban and Regional Planning • Certificate in Monitoring and Evaluation 	<ul style="list-style-type: none"> • Degree in Urban and Regional Planning or equivalent • 3 years working experience with 1 year middle management
Socio-Economic Planner	<ul style="list-style-type: none"> • Degree in Development Studies 	Degree in Development Studies or equivalent
Community Development Officer	<ul style="list-style-type: none"> • Diploma in Social Work • Certificate in Adult Education Literacy • Certificate in Rural and Urban Planning 	<ul style="list-style-type: none"> • Degree in Social Work or its equivalent • 3 years' work experience
Water and Sanitation Coordinator	<ul style="list-style-type: none"> • Master in Public Administration • Degree in Public Health 	Diploma in Water resource management
GIS Officer	Vacant	<ul style="list-style-type: none"> ▪ Diploma in Geographical Information Systems or equivalent ▪ 1 year working experience
Land Surveyor	Vacant	Degree in Land surveying or equivalent

Source: MTC, 2019

Table 6 shows a further analysis which was done on the minimum qualifications of the job holder in the planning department in comparison to the minimum qualifications.

The department does not have a GIS officer, Land Surveyor and a District Planning Officer. GIS data related to the District such as the water points, and the land under state land was difficult to obtain as the department does not have a database for spatial information or data.

6.1.3. Works Department

The findings reveal that the works department has a shortfall of staff with 67 % of the key positions being vacant and only 33% of the key staff are currently in the department as seen in Table 7.

Table 7: Number of Key Staff in the Works Department

Description	Establishment	Staff Available		Staff Shortage	
		Number	Percentage	Number	Percentage
Director of Works	1	1	100	0	0
Architect	1	0	0	1	100
Divisional Fire Officer	1	1	100	0	0
Quantity Surveyor	1	0	0	1	100
Civil Roads Engineer	1	0	0	1	100
Building Inspector	1	0	0	1	100
Road Engineer/Technician	1	0	0	1	100
Grader Operator	2	1	50	1	50
Total Departmental Establishment	9	3	33	6	67%

Source: MTC, 2019

The table indicates the number of staff in the works department against the required establishment and the percentages covered.

Table 8: Qualifications of the Staff in the Works Department

Job Holder	Current Job Holders Qualifications	Minimum qualification required
Director of Works	Bachelor's Degree in Civil Engineering	Degree in Engineering (Electrical, Mechanical, Civil, Structural and Fire)
Deputy Director of Works	Vacant	Degree in Engineering (Electrical, Mechanical, Civil, Structural and Fire)
Road Engineer	Vacant	Certificate in Civil Engineering or equivalent and must be a Member of EIZ and Fully Registered with Engineers Registration Board (R.Technician or Pr.Technician)

Source: LGSC, 2019

6.1.4. Finance Department

The findings show that the department has a shortage of 66% in terms of staff operating in the department but the vacant positions of the Valuation Officer and Senior Business Development Officer are very key, especially to the process of LED.

Table 9: Number of Key Staff in Finance Department

Description	Establishment	Staff Available		Staff Shortage	
		Number	Percentage	Number	Percentage
Council Treasurer	1	1	100	0	0
Deputy Council Treasurer	1	1	100	0	0
District Accountant	1	1	100	0	0
Chief Accountant	1	0	0	1	100
Accountancy Assistant	8	5	63	3	37
Senior Accountant (Revenue)	1	0	0	1	100
Licensing Officer	1	0	0	1	100
Senior Business Development Officer	1	0	0	1	100
Revenue Collectors	12	1	8	11	92
Valuation Officer	1	0	0	1	100
Internal Auditor	1	1	100	0	0
Total Departmental Establishment	29	10	34	19	66%

Source: LGSC, 2019

An analysis was done into the qualifications of the senior staff in the department in line with the job description of the Ministry of Local Government.

A further analysis is done into the qualifications of the jobholders against the minimum required standard.

Table 10: Qualifications of Staff in Finance Department

Job Holder	Current Job Holders Qualifications	Minimum qualification required
District Treasurer	<ul style="list-style-type: none"> ▪ Degree in Local Government Administration ▪ Diploma in Accountancy ZICA Licentiate ACCA Part II 	<ul style="list-style-type: none"> ▪ Degree in Accountancy and other professional qualification such as ACCA, CIMA, or equivalent ▪ Must be a member of ZICA. ▪ 10 years' experience with 3 years' experience
Deputy Council Treasurer	<ul style="list-style-type: none"> ▪ Degree in Local Government Administration ▪ Diploma in Accountancy ZICA Licentiate (NATECH-ZICA) 	<ul style="list-style-type: none"> ▪ ZICA Licentiate, ATD, ACCA II, CIMA II or equivalent ▪ Must be a member of ZICA ▪ 8 years' experience with 3 years at senior management level
District Accountant	<ul style="list-style-type: none"> ▪ ZICA Technician ▪ Accounting Technician Diploma 	<ul style="list-style-type: none"> ▪ Degree or professional qualifications such as ZICA Licentiate, ACCA II, CIMA II or equivalent. ▪ Must be a member of ZICA ▪ 3 years' experience with 1 year supervisory role
Internal Auditor	<ul style="list-style-type: none"> ▪ Bachelor of Administration in Finance and Accounting ▪ ACCA Part II ▪ ZICA Technician Accounting 	<ul style="list-style-type: none"> ▪ Degree in Accountancy and other professional qualification such as ACCA, CIMA and ZICA
Assistant Commercial Manager	Vacant	<ul style="list-style-type: none"> ▪ Degree in Business Administration ▪ 5 Years' experience with 2years at senior management
Valuation Officer	Vacant	Bachelor's Degree in Real Estate or equivalent

Source: LGSC, 2019

The results in Table 10 show that all the staff in the department are qualified for their jobs, in accordance with the job descriptions but there is need for the skills of officers like the Valuation Officer and the Assistant Commercial Manager.

6.1.5. LED Unit Requisites

The findings reveal that, officers at Mpongwe Town Council have not been trained in any LED planning and the institution has no LED Unit as depicted in the guidelines. Further there is no officer with LED roles clearly defined in the job description. The findings also reveal that although the position proposed to lead the LED process of socio-economic planner exists at the District level, the role is not clearly defined in the job holders' job description. A component of the responsibilities of the socio-economic planner is highlighted in Table 11:

The current job description or responsibilities of a Socio-Economic planner according to the Local Government Service Commission.

Table 11: Socio-Economic Planner Job Description

KEY RESULT AREA	PRINCIPAL ACCOUNTABILITIES (MAIN DUTIES)
Development Planning	Undertakes effectively the planning of socio-economic programmes in order to improve the wellbeing of the City's residents.
Capacity Building	Undertakes effectively capacity building of community members in order to enhance participation in development programmes.
Project Proposals	Undertakes effectively the preparation of project proposals in order to enhance developmental programmes.
Research	Undertakes timely research in order to provide relevant data for the formulation and implementation of necessary programmes
Monitoring and Evaluation	Undertakes timely the monitoring and evaluation of Council programmes in order to facilitate implementation of appropriate interventions

Source: MTC, 2019

6.2. Financial Capacity for Local Economic Development

The analysis of the financial capacity of the local government is categorised into the expenditure, revenue sources and the challenges the local authority faces in relation to collection of revenue. The analysis also looks at the patterns of expenditure, borrowing capacity and financing activities of the local authority and LED related activities.

6.2.1. Revenue Base

Mpongwe Town Council receives its revenue from various sources which include Central Governments Grants and locally generated funds. The guidelines depict a low level or level 1 local authority has a revenue base which is less than ZMW 100, 000,000.00. Table 12 presents the major sources of revenue for the local authority in the fiscal years from 2016 to 2018. Table 12 is also giving a picture of the local authorities' revenue base from 2016 to 2018. The baseline has been identified as 2016 because the Zambia LED guidelines were introduced in the same year and the period under review goes up to the end of the 2018 financial year.

Table 12: Major Sources of Revenue for MTC

Revenue Sources	Amount (K) Per Year					
	2016		2017		2018	
	Actual	Percentage	Actual	Percentage	Actual	Percentage
Owners Rates	0.00	0	124,175	1.11	124,022	0.89
Grants in Lieu of Rates	200,000	2.45	100,000	0.9	100,000	0.72
Local Taxes	29,495	0.36	35,585	0.32	59,964	0.43
Fees and Charges	514,776	6.31	790,024	7.07	876,816	6.3
Licences	156,680	1.92	62,786	0.56	83,994	0.6
Levies	1,775,022	21.74	2,115,994	18.94	2,260,321	16.23
Permits	49,630	0.61	59,039	0.53	121,931	0.88
Other Income	551,459	6.76	42,320	0.38	1,213,193	8.71
Government Grants	4,885,901	59.85	7,840,836	70.19	9,086,233	65.24
Total	8,162,963	100	11,170,759	100	13,926,474	100

Source: MTC, 2019

Overall, Table 12 has also shown that Mpongwe Town Council receives the highest share of its revenue from Government grants as seen in 2016, 2017 and 2018 as reflected in percentages of 59.85%, 70% and 65%. In terms of locally generated revenue, the main source of income is from levies followed by fees and charges. The revenue generation from levies is 21.74% in 2016, 18.94% in 2017 and 16.23% in 2018.

The Council has been performing poorly in the collection of owners rates which can be a lucrative source of income for the local authority. One of the challenges has been due to an un-updated valuation roll of the local authority has not been updated since 2009. According to the Rating Act and the LED guidelines, council's valuation rolls must be updated at least every five years.

6.2.2. Revenue Collection Performance

The revenue collection performance reflects the council's performance in meeting their targeted revenue collection estimates. The results in Table 13 indicate that, the council was not able to meet all its revenue targets from 2016, showing deficits of 42% in 2016, 20% in 2017 and 11% in 2018.

Table 13: Comparison between Estimates and Actual Revenue for MTC

Description	Revenue(ZMW)		
	2016	2017	2018
Revenue Estimates	14,052,469	14,046,224	15,609,352
Actual Revenue Collected	8,162,963	11,170,759	13,926,474
Deficit	(5,889,506)	(2,875,465)	(1,682,878)
% Deficit	42%	20%	11%

Source: MTC, 2019

The findings also show that the local authority has not been able to meet the targets of revenue collection in the years under review as seen from the deficits of 42% in 2016, 20% in 2017 and 11% in 2018. The reduction on the deficit gap between estimates and actual revenue collected has been attributed to revenue efficiency through an improvement on the controls, in this case all the funds that are collected from outside the CBD are recorded and remitted.

Secondly, the number of collection points increased and these were strategically located across the District along with increased sensitization to locals conducting business to pay for business levies which was previously shunned. MTC with the help of the LGSC has also ensured that, there is an increase in the number of strategic officers such as fire officers and public health which have helped to increase revenue collection through inspections and licensing. Finally, with regard to levies, the revenue collection performance of the local authority began to drop from 2017 in terms of percentage collection as indicated in Table 13 and this is attributed to the reduction in the amount of grain being sold outside the District. Commercial farmers reduced the quantities of production for sale outside the District because of the export ban on crops in the country.

The council will soon start losing out on crop levy because we cannot afford to continue running at a loss, most of us will now get into subsistence farming. It is unfortunate that, the villagers around here depend on these jobs so we just have to sustain them but it is becoming difficult (Commercial Farmer, 2019).

Novatek Zambia which is a local processing company expanded their business to processing of grain into animal feed and as a result many small-scale farmers have been processing their grain within the District which has led to the local authority setting up a collection point near the Novatek gate.

6.2.3. Comparison between Actual Revenue and Expenditure

In order to make a comparison between the actual revenue collected and the actual expenditure, an analysis was done to find the difference between the actual revenue collected and the expenditure of the local authority. The findings reveal that, there was an 8% deficit in 2016 and surpluses were recorded of 3% in 2017 and 10% in 2018. The recorded surpluses are attributed to monies set aside for earmarked projects in each fiscal year.

Table 14: Actual Revenue and Expenditure for MTC

Description	Revenue/Expenditure (ZMW)					
	2016		2017		2018	
	Actual	Percentage	Actual	Percentage	Actual	Percentage
Revenue	8,162,963	48	11,170,759	51	13,926,474	53
Expenditure	8,841,980	52	10,849,034	49	12,496,188	47
Deficit/Surplus	(679,017)		321,725		1,430,286	
% Deficit/Surplus	(8)		3		10	

Source: MTC, 2019

6.2.4. Financing Local Economic Development Activities

This section focuses on the LED activities that the local authority finances and how this financing is done. This was done to get an indication of the performance of the local authority towards planning for and financing LED programmes within the Local authority's budget.

a) Financing District Development Plans

The District Development Plans (DDP) are funded by the local authority from the revenue that is raised, and are tailored to guide the budgetary allocation of the local authority. Local authorities at all levels are required to formulate DDPs, Integrated Development Plans, Socio-Economic Profiles, Local Area Plans (LAPs) and Strategic Plans (GRZ, 2015). The IDP must be formulated by all councils as required by law in the URPA (GRZ, 2015). All these documents guide development and the implementation of activities and developments in the District and run for periods between one year to ten years.

b) Financing Infrastructure Projects

Financing of infrastructure projects is mostly done through the Local Government Equalisation Fund and 20% of the allocated amount should be spent on capital projects within the Districts, which is standard for all local authorities in Zambia (GRZ, 2019). Although devolution has

begun in terms of the Departments of Primary Health Care and Primary Education, the infrastructure delivery of such services is still done through the respective ministries of these departments and funding is given accordingly.

c) Road maintenance and repair on feeder roads

Financing of roads is mainly done through the local authorities' own revenue and grants like the Local Government Equalisation Fund (LGEF) (GRZ, 2019) and Constituency Development Fund (GRZ, 2006).

d) Construction and maintenance of market infrastructure

The Council is mandated to construct market infrastructure for the community through the locally generated funds. At the time of the fieldwork, the council had no market that had been constructed from locally generated funds but has plans to construct one. The existing markets in the District are makeshift markets, which are managed by the local authority but levies are paid to the traditional leaders. The local authority provides services of garbage collection at the market facilities through the public health section.

e) Water Services

Findings reveal that, Mpongwe Town Council is among the few local authorities in the country that have taken up the role of water utility companies in the District. So far, 200 households have been connected to the water service lines provided by the local authority. Funding for water related activities comes through grants from UNICEF for boreholes and locally generated funds from water bills for the water service line.

f) Skills Training and Capacity Building

The Council is not mandated by law to provide skills training services but can build capacity in the citizenry or the Ward Development Committees as well as the local authority staff by means of short term and long term staff training. The conditions of service for local authorities provide for staff to go on study leave and pursue courses in line with an officer's specialisation. Further, the Ministry of Local Government has introduced the Local Government Training Institute (LGTI) which is specifically meant to train officers in the local authorities and other citizens on courses pertaining to the functions of local authorities. The findings reveal that the institution has trained at least 50 LED officials a year through long term LED programmes accounting for 150 officials since the LED program was introduced and 10% through short term intensive programs comprising of officers from 14 councils out of the 116 Councils in the Country and from the departments of planning only.

g) Decentralization Activities

The decentralization activities are sponsored through locally generated funds these include sensitization on decentralization and commemorations related to decentralisation such as the annual Local Government Week where local authorities show case the activities undertaken and the functions of each department. Other activities and commemorations involving departments devolved to the local authority are funded by the respective departments.

6.2.5. Budget Allocations for LED related Activities

The detailed analysis of the expenditure on LED related activities was done in order to gain insights on the expenditure pattern of the local authority with regard to LED activities and how much of the budgetary allocation went to LED activities. The findings in table 15 reveal that, personal emoluments such as wages, allowances and salaries have the highest expenditure allocation of 48% while only 3% is allocated and spent on LED related activities and 4% on other services. The high expenditure on personal emoluments has also been partly attributed to the massive transfers that the local authorities have faced and findings show that the Ministry has had to help the local authorities with grants in order to meet some expenditure.

The Ministry of Local Government has given the Kabwe Municipal Council K13.5 million to settle salary arrears owed to workers since January 2019. Local Government Permanent Secretary Amos Malupenga has also revealed that government has further paid Kafue District Council K5 million to clear salary arrears (Phiri,2019).

Table 15: Budgetary Allocation for Financing LED Activities

Description	Expenditure Allocation to LED Activities		
	2016	2017	2018
Local Economic Development Activities			
Requisites	23896	163156	63658
Decentralization	0	32566	720
Services	37605	403255	51333
Staff development	39650	55765	177634
Social Assistance	18000	0	0
Non LED Related Activities			
Personal emoluments	4119141	5037422	6469349
statutory obligations	859618	1023590	887586
Office Administration			1107858
Costs	1272620	1450952	
Equipment			698377
Maintenance	1251598	1102280	
Travel Expenses	112450	973402	1434277
Services	645670	439467	377175
Other expenses	461732	212179	1228221
Total	8,841,980	10,849,034	12,496,188

Source: MTC, 2019

6.2.6. Challenges faced by the Council Regarding Revenue Collection

From the interviews that were conducted with key informants, the challenges to revenue collection of the local authority were identified and the views are expressed as shown below.

a) Level of Autonomy

The Council does not enjoy the level of autonomy to make its own decisions regarding finances. The Council budget needs to be approved by the Ministry of Local Government which regulates the local authority and cannot spend outside the approved budget.

b) Transport

Transport for revenue collection has been a challenge to the local authority. The size of the district proves to be too large for the council to cover the entire district and therefore, the focus is based on the prominent revenue generation areas.

c) Interference

The Council faces interference in its collections from the traditional leaders such as collection of market levy at the market place. The Council currently does not collect levies from the market place as this is being done by the local chief to whom the people feel their allegiance is paid. Besides this, political interference was also cited, with law makers making decisions that suit their political will sometimes or their electorates.

d) Levying properties under Customary Land

The Council faces challenges in levying properties that are under the customary land jurisdiction because investors feel their allegiance is more to the traditional leader than to the local authority.

e) Dependence on Equalization Fund

The local authority is dependent on the local government equalization fund which Central Government does not pay consistently. The dependence on this also contributes to a lack of innovation for additional revenue generating ventures.

6.3. Technical Capacity

An assessment of the technical capacity of the local authority focused on the availability of equipment for service provision and the equipment available for local economic development planning as well as the tools for development planning. The results presented in Table 16 show that the local authority is operating at 50% in terms of the equipment that is available and have a shortfall of 50%.

Table 16: Availability of Equipment for Service Provision

Description	Number of Equipment Required	Equipment Available		Equipment Shortfall	
		Number	Percentage	Number	Percentage
Excavator	1	0	0	1	100
Utility Vehicles	7	4	57	3	43
Water Bowser	1	0	0	1	100
Bull dozer	1	0	0	1	100
Tipper truck	1	1	100	0	0
Back hole Loader	1	1	100	0	0
Roller Compactor	1	0	0	1	100
Motor Grader	2	1	50	1	50
Waste collection vehicle	3	2	67	1	34
Total	18	9	50	09	50% shortfall

Source: MTC, 2019

Inadequate equipment to provide services can pause a challenge in the provision of services by the local authority and the results in Table 17 show that the council is not operating at full capacity as it should.

Table 17: Availability of tools and equipment for Development Planning

Description	Number Required	Available	Shortfall	Percentage of Shortfall
Utility Vehicles	4	1	3	75
Computers in working condition	6	1	5	83
Geographical Positioning System (GPS)	1	0	1	100
Operational data base with up to date information and software i.e. spatial data	1	0	1	100
Integrated Development Plan (IDP)	1	0	1	100
Geographical Information System	1	0	1	100
Total	14	2	12	86

Source: MTC, 2019

With regard to tools and equipment for development planning, the findings show that the Council has a shortfall of 86% of the equipment that is needed for development planning. This shows the lack of technical capacity for development planning as almost all the tools that are needed for development planning are not available.

6.3.1. Planning Process for Local Economic Development Planning

The planning process for economic development planning in the District follows the laid down procedures for development planning as provided for in the Urban and Regional Planning Act (GRZ, 2015). The process leading up to the formulation of the Integrated Development Plan is supposed to be consultative with all the various stakeholders in the District, and integrative focusing on economic, social and environmental concerns. The process involves data collection, analysis, planning, and monitoring and evaluation. All Development Plans are intended to be aligned to the Seventh National Development Plan which is developed under the key theme of “*leaving no one behind*”: It implies sustainable development, entering into planning agreements to plan for customary land and infrastructure development. An IDP contains plans on various sectoral areas including planning for LED which allows for LED related planning and implementation of projects.

The findings reveal that MTC has followed the laid down procedure in development planning in accordance with the URP Act and aligned with the Seventh National Development Plan. It has further been realised that there is a duplication of efforts that continues to manifest at the district level with local authorities being required to formulate various documents that can easily be integrated into one document. For instance, since the enactment of the URPA, in 2015, all local authorities were supposed to begin formulating IDPs, unless they had plans which were prior to the enactment of the Act and were running beyond 2015 (GRZ, 2015).

The challenge that local authorities faced with this is that the prescribed guidelines were not formulated at the time; as a result, local authorities began to formulate district development plans which were a basis for alignment to the SNDP and budgeting. A planner stated that:

“One of the disadvantages I foresee to having LED Plans is the overlapping/duplication due to multiplicity of plans, there is need to harmonize all planning tools at District level” (Senior Planner, MNDP 2019).

An analysis was done regarding the LED process at the District level in light of the LED Guidelines and the governance system/structure of the local authority (including stakeholder engagement). One of the challenges that arise with the generic LED process are that although

stakeholders are willing to partner with the local authorities according to the findings, there is still speculation of lack of capacity and misappropriation of funds as some stakeholders are quoted saying:

“One of the challenges to stakeholder engagement is the local authority’s attitudes and perceptions that people have of the local authorities which is lack of capacity to manage resources” (Common Wealth Local Government Forum, 2019)

We are willing to partner with the council on condition that they begin to make use of local resources in the area. There is dolomite and limestone here but they buy from Ndola instead of empowering us the local people” (Headman, 2019).

The findings also indicate that the council has no district situation analysis which gives baseline data of the information on the District. There is also no readily available social and economic data as confirmed by an interview conducted with a planner from the Ministry of National Development Planning (MNDP):

There is no readily available social and economic data at district level, and one of the challenges is that there are no uniform indicators for collecting the information as a result there are a number of data gaps. Although ministries such as Health have some data (Senior Planner, 2019).

Collection of data is the first and most crucial part of conducting a socio-economic assessment (Swinburn, 2006) as it helps in determining targeted interventions. Lack of this, will lead to interventions that may not address the challenges being faced.

The following are the investment potential areas for Local Economic Development in Mpongwe identified through observation and talking to the people living in Mpongwe:

- Investment opportunity in oil seeds (Soya beans and groundnuts)
- Processing facilities for edible oils (lacking)
- Processing facilities for wheat flour and other wheat products (lacking)
- Tourism market (Lake Kashiba (Plate 1), Kafue River, Wildlife and hot springs)
- Small Scale mining in Ibenga
- Beekeeping
- Livestock Processing
- Real estate due to vast land
- Milling Plants
- Agro processing industries



Plate 1: Lake Kashiba

Source: Field Work, 2019

The third stage in the LED cycle is developing a strategy and vision which is connected to the goals and objectives, programmes and action plans. This requires technocrats to be able to bring on board the stakeholders and drive the process so that there is a buy in including in the programmes from stakeholders and investors. The findings reveal that some key officers are not qualified for their positions which can cause a challenge to stakeholder engagement, especially with the community that must understand the process and own the developmental process. Further, the governance structure of the District has seen in the formulation of ward development committees which are a channel of communication with the communities and represent the interest of the community.

6.3.2. Service Provision

Article 147 (2) of the Constitution of Zambia, mandates the local authority to carry out its functions including the functions devolved from the Provincial and National Administration. Among these, the study focused on two services which are water service provision and road maintenance. The water services are provided by the local authority water scheme supplied to households through piped water and boreholes drilled by the local authority. For further assessment, a household survey was conducted to assess the water service provision and the perceptions of the locals of this service. The LED guidelines stipulate that; a medium level council should provide water to at least 60-79% of the population.

The analysis on the population with access to piped water and boreholes was done in order to assess how many people have access to water in the District. The findings show that 12,680 households have access to water services through boreholes and 200 households have access to water through the water scheme. The United Nations standard for water provision is 6 people per household; Mpongwe has an estimated 20,769 households against a population of 124,614 people according to the District Health Office Report. Of this population, 77,280 people have

access to water services and 47,334 do not have access to water services representing 38% of the population with no access to water. Figure 7 shows the variations in the access to piped and borehole water by the population.

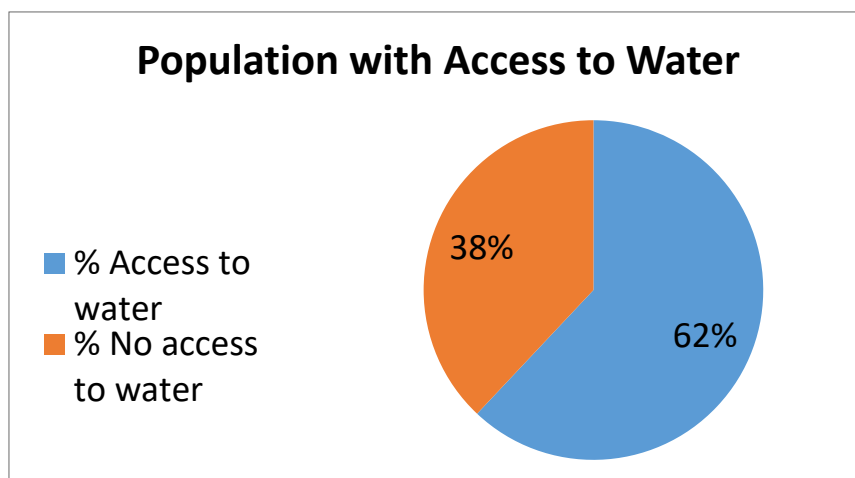


Figure 3: Variations in access to water

Source: MTC, 2019

In order to assess the capacity for water service delivery further, a survey was conducted on 45 respondents in the urban area of Mpongwe on their satisfaction or dissatisfaction of the water service provision by the local authority. Table 18 shows the water sources in the District:

Table 18: Water Sources

Water Source	Respondents N=45	
	Number	Percentage
Borehole	23	38
Council Water Utility	20	33
Well	9	15

Source: Field Survey, 2019

The research study findings in Table 18 reveal that, there are 38% of the respondents that are accessing water through community boreholes. The main challenge indicated was that, the distance to some of the water points was far and the boreholes often broke down. The study findings further reveal that 33% of the respondents are accessing water through the Councils water utility service and 15% dug their own wells. To further analyse the level of service delivery, the respondents were asked on the satisfaction or dissatisfaction levels depending on the water source and the findings are tabulated in Table 19. Of the respondents 11 were satisfied with the borehole water while 12 were dissatisfied, further, all the 20 respondents using council water utility were satisfied and none of the respondents were dissatisfied.

Table 19: Percentage level of satisfaction for water services

Water Source	Satisfied	Dissatisfied	Total
Borehole	48	52	100
Council Water Utility	100	0	100

Source: Field Survey, 2019

The findings reveal that, 48% of those depending on boreholes drilled by the local authority or their cooperating partners were satisfied with the services while 52% were dissatisfied. All the respondents using the council utility service were satisfied with the service. With regards to equipment that can be used to enhance water service delivery, 52% were of the view that, the council has inadequate equipment to deliver water services while 48% felt that, the council has adequate equipment to deliver water services. It is also worth noting that all the respondents who felt the council had adequate equipment were those that have access to running water services provided through council water utility service.

With regards to road maintenance, the condition of the roads in Mpongwe district are mostly gravel with a few upgraded to bituminous standards (or tarred) as shown in Table 20. A total of 45 questionnaires were administered and from the respondents, a total of 13% were satisfied with the condition of the roads while 87% were not satisfied as shown in Table 20.

Table 20: Road Types

Road type	Respondents N=45	Percentage
	Frequency	
Tarred	3	7
Gravel	39	93
Total	42	100

Source: Field survey, 2019

The percentages of dissatisfaction by the respondents concerning a particular condition of roads in their respective areas are summarised in Table 21.

Table 21: Levels of Satisfaction with conditions of the Roads

Level of satisfaction	Respondents N=45	
	Frequency	Percentage
Satisfied	6	13
Dissatisfied	39	87
Total	45	100

Source: Field Survey, 2019

Table 22: Condition of the Roads in Mpongwe

Condition of Road	Respondents N=45	
	Frequency	Percentage
Dusty during dry seasons	11	24
Characterised by Potholes	23	51
Characterised by Stones	03	7
Muddy during rain seasons	35	78
Floods during rainy season	9	20

Source: Field Survey, 2019

Table 22 shows the respondents responses in describing the road conditions in Mpongwe. The findings reveal that 24% of the respondents were not satisfied with the condition of the roads because they are characterised by dust during the dry season while 51% stated that it was the potholes that characterised the roads during the dry season which led to the dissatisfaction. Of the 45 respondents, 78% stated that the roads were muddy during the rainy season which led to their dissatisfaction while 20% stated that it was due to the flooding of roads during the rainy season. Plate 2 shows the state of a road in Mpongwe District characterised by potholes and dust.



Plate 2: Condition of a road in Mpongwe

Source: Field Data, 2019

6.4. Stakeholder Collaboration

This section sets out to analyse the effort to collaborate in development planning between Mpongwe Town Council and its stakeholders. The collaboration efforts are analysed in terms of the stakeholders' engagement in development planning, the stakeholders' level of engagement with a focus on community sub-structures and the progress made by National actors regarding the roles assigned to create an enabling LED environment in accordance with the LED guidelines.

6.4.1. Stakeholder Engagement in Development Planning

The engagement of stakeholders in Development Planning is analysed in line with key municipal activities to LED. This is broken down further below.

a) Local Authority Budgeting

The municipal budgeting process is sanctioned by the MLG which also approves the budget. Inputs for the budgets should be adopted from submissions by each department at the local authority and the Ward Development Committees. Findings reveal that although the WDCs make their submissions, some of the submissions are not considered and some of the input that is submitted for projects or plans are not considered. Secondly, the devolved departments are oblivious to the budgeting process and lastly findings reveal that information concerning the budget is not shared to these two respective stakeholders which poses a challenge to holding the municipality accountable for implementation. The law stipulates that before the municipality can begin to budget, the local community must be consulted and their submissions considered in the budget (GRZ, 2019). Secondly, the budget is presented to the full council meeting for approval before submission to the Ministry of Local Government for final approval

(GRZ, 2019). The challenge is that the community is seldom involved in the budgeting process and there is no feedback given to the community once the budget is approved.

b) District Development Planning

The system of development planning in Zambia takes an integrated and decentralised approach with a focus on the bottom-up approach. Findings reveal that, stakeholder consultation is done through District Development Coordinating Committees (DDCCs) where all stakeholders in the District are invited. The challenge, however, is that the documents are not shared with these stakeholders once they are formulated and are treated as documents of the local authority. Devolved government departments that were interviewed on the activities of the local authority and their involvement revealed that input is provided for instance to DDCC meetings with no feedback. Regarding the community structures, some WDCs, especially those that live closer to the local authority were well informed because their areas can easily be accessed, while those living in remote areas have information gaps and are sometimes involved at a very late stage with little room to provide input.

c) Land Use Planning

Under land use planning, the findings are that the local authority is responsible for formulating plans with the community which require socio-economic surveys to be undertaken and consultation with the locals, however, customary land is managed by the chiefs who are responsible for administering it.

d) Basic Infrastructure Provision

The study findings reveal that people that are benefiting from projects and infrastructure are consulted before implementation of any projects through WDCs at the community level and submissions received through Constituency Development and Ward Development Fund applications.

6.4.2. Roles of National and Local Actors in LED

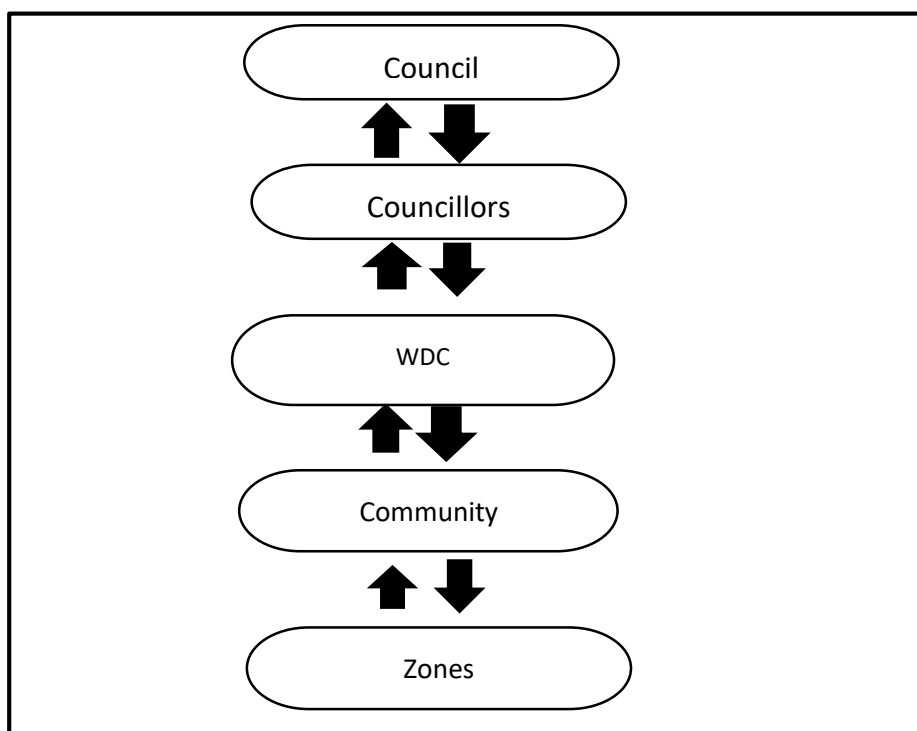
The roles of the National and Local actors are assessed in terms of functionality and the challenges that are faced in implementing and facilitating the process of LED. At local level, the study focused on Ward Development Committees which are the legally recognised channels of community participation at district level. In line with this, the council was assessed on the presence and functionality of the WDCs and the level of community participation. The following were the findings:

6.4.2.1. Ward Development Committees

The roles and functions of the Ward Development Committees (WDCs) in Mpongwe District are assessed in order to gain a deeper perspective of the importance of the committees to development planning. At the time of data collection MTC had just formulated WDCs and given orientation to the members of the committees in preparation for them to begin serving. Because of this, the committees were not assessed in terms of performance, but the study focused on how many WDCs have been formulated, trained and are operational.

The WDCs are used as channels for community participation and engagement through which the community make their submissions known. The community participation hierarchy is shown in Figure 4.

Figure 4: Community Participation Hierarchy



Source: Authors own construct 2019

6.4.2.2. Functions of WDCs in line with Local Economic Development

- a) Prepare annual ward development plans
- b) Collect revenue, levies and fees on behalf of a local authority on appointment by resolution of the council
- c) Promote community engagement in ward development planning
- d) Formulate and submit project list and budget proposals to the Constituency Development Fund Committee established under the Constituency Development Fund Act,2018

- e) Facilitate the identification of potential areas for investment and promote sustainable local economic development
- f) Identify areas for capacity building within the ward
- g) Identify potential areas of revenue sources in the ward which are likely to broaden the revenue base of the council and submit to the local authority.
- h) Develop and maintain a ward based database as guided by the local authority.

Source: (GRZ, 2016b).

6.4.2.3. Challenges faced by the Ward Development Committees:

The committees are faced by a number of challenges in line with their functions and engagement with the local authority. In line with community engagement, one respondent indicated that the relationship between the council and the community is not strong and as a result the community is left out of developmental projects. The WDCs have not formulated any ward development plans and some of the projects submitted have not been implemented. Secondly, there is nothing compelling councils to ensure these projects are implemented in terms of a law or a clause in the WDC guidelines. The guidelines of the WDC indicate that, if the financial project allocation of the WDC is not spent in the fiscal year (one year) then the allocation for that year has been forfeited. However, the projects are sometimes submitted on time and implementation is delayed by the Council.

Another constraint in the operations of the WDC is the financing for resources needed by the committee. The role of a WDC member is voluntary but most of the work that is required of the committees is strenuous and may require them to cover long distances thereby placing constraints on budget allocations. Secondly, the level of coordination at the lower level is not integrated in line with decentralization policy. The devolved line ministries still implement their activities through their own community structures sometimes bypassing the WDCs. One may say that, the WDCs are merely council structures that are not integrated in other community projects as opposed to their role of being the recognized legal community structure. With regards to timely information, receive information timely with allowances for consultation and organizing community meetings are usually a challenge. Mostly, information is received late and action is expected to be taken swiftly which affects effective participation as wide consultations are not done regarding issues such as municipality budgeting and development plans.

6.4.2.4. National LED Actors

At National level, the study focused on the National LED role players highlighted in the LED guidelines. These include Ministry of National Development Planning (MDP), Local

Government Training Institute (Chalimbana) (LGTI), Local Government Service Commission (LGSC), Ministry of Finance (MOF) and Ministry of Local Government (MLG). The findings are tabulated below.

a) Ministry of National Development Planning (MNDP)

Table 23 presents the findings of the progress made so far by the MNDP in relation to creating an enabling LED environment in the country. The MNDP seldom interacts with local authorities except through the parent Ministry which is the Ministry of Local Government, with whom the department has a cordial relationship.

Table 23: Ministry of National Development Planning LED Indicators and Progress

Indicator	Progress
Capacitating Councils for Integrated Development Planning	Yes, guidelines were developed.
Alignment of sector plans with Council IDPs or LED Strategies/ DDPs	It's in the pipeline
Socio-economic data provided at district level	Indicators are yet to be developed
Socio-economic data provided at ward level	Indicators are yet to be developed

Source: Ministry of Development Planning, 2019

The findings show that, all the targets of the MDP have not been met. Minimal progress was achieved in relation to capacitating councils for integrated development planning where the guidelines for formulating IDPs were introduced in 2018 and aligning sector plans with council IDPs or LED strategies where councils were instructed to realign development plans in line with the SNDP. Despite this however, no progress has been made regarding other targets like developing indicators for collecting socio-economic data at district and ward level.

b) Decentralisation Committee

The decentralisation committee is responsible for rolling out the decentralisation agenda in the country. Table 24 shows the progress that has been made by the committee to ensure that an enabling environment is created for LED in Zambia.

Table 24: Decentralization Committee LED Indicators and progress

Indicator	Progress
Adequate funding of devolved functions	Funding is not adequate compared to devolved functions
Ensure that the current redesign of the fiscal architecture adequately supports the process of devolution and enables the performance of powers and functions by local authorities	On going
Capacitating (both financial and non-financial) of Councils for the performance of devolved functions	Non-financial has been done

Source: Cabinet Office, 2019

The findings show that, the committee has made a few strides in the line of redesigning the fiscal architecture which supports the process of devolution and enables the performance of powers and functions by local authorities. With regards to adequately funding devolved functions, there is no progress being made and the streamlined departments have continued to get funding through central government. In the same vein, some activities are not undertaken because the local authority does not budget for them and the devolved departments have a challenge due to erratic funding. This continues to be a challenge in conducting the devolved functions coupled with the inadequate financial capacity.

c) Local Government Service Commission

Table 25 highlights the findings with regards to the progress made by the LGSC in creating an enabling environment for LED in Zambia. The study findings are that, only the performance contracts have been formulated and this is ongoing. The challenge faced by local authorities is to create LED units within the institution or to appoint LED officers because this right is reserved by the LGSC and has to be in line with the harmonisation staff establishment. A conflict also arises here because positions have been created in line with devolved functions of the local authority. However, the challenge remains with the revision of the staff establishment and office space to accommodate other officers.

Table 25: Local Government Commission LED Indicators and Progress

Indicator	Progress
LED capacity included in Council administrative structures LED responsibilities	To be implemented by 2020
Suitably qualified LED staff in place	No
Performance part of all the contracts of Town Clerks and senior managers	Yes
Review of job descriptions to include LED	To be implemented by 2020
LED responsibilities included in Council performance management systems	No

Source: LGSC, 2019

d) Local Government Training Institute

The institute was established to train people in local government administration and has been identified as the main training institute for LED in Zambia (GRZ, 2016). The study findings in Table 24 reflect the findings of the study with regard to trainings, particularly relating to local government officers. Out of the councils countrywide, only 14% have been trained in LED planning accounting for 24 local authorities out of the existing 169 and 1 officer from Mpongwe had been trained at the time of data collection.

Table 26: LGTI LED indicators and Progress

Indicator	Progress
Offer Councillor LED orientation programmes	Yes
Develop a package of LED programmes	Yes
Number of Council officials trained in LED	Long term-50 per year
Percentage of Councils with senior managers trained	Long term 50% Short term 10%
Percentage of Councils with LED officials trained	14%

Source: Chalimbana University, 2019

In summary, all the institutions have begun making notable strides towards creating an enabling environment for LED in Zambia, although they are some critical gaps such as fiscal decentralization and the percentage officials being trained from local authorities under the LGTI. The other challenge is that there has been an increase in staff turnover in the local authorities which has affected the implementation of projects. Due to this, officers who understood the roles and targets of their institutions in relation to LED in Zambia have been transferred resulting in minimal project implementation.

CHAPTER SEVEN: DISCUSSION

7.1.Introduction

This chapter presents the discussion of the findings relating to human resource capacity, technical capacity, financial capacity and stakeholder collaboration. The discussion draws from literature in terms of findings similar to other studies on the capacity of local authorities for development planning and local economic development and indicates possible solutions and responses to the various findings.

7.2.Human Resource Capacity

The results of this study are in line with previous studies on the capacity of local authorities. A study by Blum & Ashraf (2016) reveals that although there is an improvement in filling staff vacancies in local authorities, especially those close to urban areas and the capital city, inadequacies of key professional staff continue to persist, particularly in rural councils (Blum & Ashraf, 2016).

In Zambia, the case of Chongwe Council indicates that the Council did not have adequate manpower and suitably qualified staff in the Departments of Planning, Works and Treasury for effective planning, implementation and management of services (Yasini, 2012). Hampwaye (2008) notes that the failure to implement the development plans in Lusaka was partly due to the lack of capacity within local government (Hampwaye, 2008). Another study by Helmsing (2005) noted that, the capacity of Local Governments (LGs) in Africa is greatly affected by the fact that, LGs with the exception of countries like Uganda, are severely restricted in their competence to recruit, dismiss or promote their own staff (Helmsing, 2005).

Inadequate staff in the local authorities can also be attributed to inability of the Council to employ and retain staff due to poor salaries and other conditions of service (Yasini, 2012). The transferability of local authority employees may destabilize the sector and make the local government service less attractive to skilled workers who could find employment elsewhere (GRZ, 2016a).

The implementation of the decentralization policy second phase in relation to human resource was meant to build capacity within the local institutions along with the re-introduction of the Local Government Service Commission (LGSC) (GRZ, 2016b). The commission was put in place to manage the human resource of the local authorities as the single local government employer in terms of the Local Government (Amendment) Act No. 6 of 2010 (GRZ, 2016a). According to the findings by a GRZ (2016a) study, one of the challenges hampering the staff

levels is the transfer rate of officers in various councils, which is making the service unattractive to skilled officers that can find employment elsewhere (GRZ, 2016a). The transfers also have an impact on the LED process because only selected officers and councils have been trained in actualizing the process in councils.

Similarly, from the findings of this study, there is a shortage of staff in some key LED positions at Mpongwe Town Council. This has been attributed to among other things, the LGSC retaining the right to hire and fire employees (GRZ, 2016b). This has not all been done in bad faith except in instances where key positions to certain districts are left vacant while the councils continue to receive officers that they do not need at the time.

The Human Resource and Administration Department is responsible for general administration and human resources management and development (GRZ, 2014). At the district level, the department is also responsible for financial management and accounting (GRZ, 2014). The findings show that the key officers in the department are suitably qualified for the positions they hold and one key position, of the Public Relations Officer is vacant. The job description of this officer is to, among other things, be the medium of communication between the local authority and the community to undertake timely production of news articles in order to disseminate information within and outside the Council. Having this position vacant means that there is limited publicity of activities that the institution is undertaking and this may hinder LED promotion and other investment attraction related activities.

The Planning Department is responsible for managing and coordinating policy formulation, preparation of District Development Plans, integrated management information system, and monitoring and evaluating the implementation of the council profile and programmes (GRZ, 2014). The Department is also responsible for overseeing the management of funds such as the Ward Development Funds which are exclusively meant for implementing projects in the Wards within the District, District Aids Coordination funds meant for HIV/AIDS awareness projects and Constituency Development Fund which is meant for financing micro projects in the constituency. The department also spearheads social and economic planning and environmental planning in the District. According to the LED guidelines in Zambia, this department is also responsible for overseeing the LED process in the local authority (GRZ, 2016a).

The officers in the department are well qualified for their positions except the Community Development Officer who has a Diploma contrary to the requirements of the conditions of service and the job holder's job description. Incompetence on the part of the job holder can result in failure to empower the Community thereby compromising their wellbeing. The job holder requires technical skills to be able to undertake the planning and coordination of

Community based programmes, to enhance the welfare of citizens in the District and to supervise effectively the delivery of skills training programmes in order to empower members of the community. Lastly, the vacancies in the department are a cause of concern considering that, this is the lead department in driving the LED process and is leading in vacancy levels at 71%. The vacancy on the position of the District Planning Officer (DPO) entails that, there is a gap in a key senior management position to oversee the department according to the Local Government Staff establishment (GRZ, 2014). The overall job purpose of the DPO is to coordinate environmental and socio-economic planning in order to attain coordinated development in the District and a lack of this may result in uncoordinated development planning.

The Works Department is faced with a serious shortfall of staff with only three key positions filled and operating at 62% capacity with some of the key positions not filled such as the Deputy Director of Works, Roads foreman and the road technician. The Department is responsible for overseeing rehabilitation, maintenance and construction of infrastructure and provision of engineering services. This includes the maintenance of institutional buildings, architectural works, roads and drainage systems including highways (GRZ, 2014). The findings reveal that the Director of Works is the only senior officer in the department which may overwhelm the officer with the number of supervisory works. In terms of qualifications, the Director of Works is well qualified for his job in line with the job description of the job holder.

Finally, the Finance Department is responsible for revenue mobilization, accounting and management of financial resources, investment and valuation of property within the council area and promoting trade and investment in the local community (GRZ, 2014). The Department is critical to the process of LED because it plays the role of ensuring that finances are readily available and LED programmes are well budgeted for. In terms of establishment, the department has most of the key positions filled with qualified staff. However, the vacancy of some positions such as the valuation officer whose responsibility is to ensure that the preparation of property valuations is effectively undertaken in order to determine optimum market values means the institution is lagging behind in this area. Clearly, the findings have revealed that Mpongwe has not updated the valuation roll for the past ten years. The valuation officer also ensures timely rating of valuations for inclusion in the valuation rolls for the purpose of revenue collection.

The department is also faced with a challenge regarding the vacancy for the position of the Business. This officer has an important role to play in LED which entails research into and development of new ways of doing business in order to meet changes in the business

environment and to supervise and undertake the timely formulation and implementation of marketing strategies which are necessary in order to penetrate new markets.

In light of the LED guidelines, local authorities are required to establish LED units which are solely responsible for overseeing LED programmes and activities. In the case of a town council like MTC, the unit will have two officers which are the Socio-Economic Planner or Development Planner and the Administrator. MTC does not have a LED Unit because it is yet to be established under the Local Government staff establishment and the findings reveal that the role has not been clearly defined in any of the planning staff job descriptions. Finally, there is no officer in the planning department that has undergone LED training which poses a challenge in understanding the packaging for the program and budgeting for it.

A typical summary of the job description of an officer with clearly defined LED roles should include the following:

- To manage the LED function and ensure that the LED Strategy is developed as part of the DDP or IDP and implemented
- To liaise with the Town Clerk and relevant political representatives and structures
- To proactively leverage LED resources and forge partnerships in consultation with the principal donor who is the main donor in the project.
- Process Facilitation (GRZ, 2016a).

This, therefore, calls for the need for the LGSC to harmonize the staff establishment with the guidelines. However, what may be critical is enshrining some of the roles of the LED officer in the job description of either the Socio-economic planner or Development Planner who are currently in the lead of developing district strategies and plans. Besides, it is not enough to merely match the job descriptions but to also build the capacity of these officers to drive the LED process. The absence of an LED unit or an officer with clearly defined LED role means that the program of LED is not being accorded the attention it deserves and that, the program is not being driven effectively. The shortage of staff is attributed to the number of staff transfers that have been taking place sometimes within the shortest space which is causing some officers to resign from the service commission.

7.3.Financial Capacity

The Amended Constitution (2016) provides Councils with the choice to levy, impose, recover and retain local taxes. The major sources of local revenue are government grants and loans, borrowing, property rates, annual business licenses, personal levy, rent of council facilities,

fees and levies (GRZ, 2016b). A study done by Oduro, (Oduro-Ofori, 2011) revealed that the local government relies mainly on grants from the central government and its internally generated revenue for its activities in the municipality. Further, it was noted that a greater proportion of the central grants are already ear-marked before receipt and there is also less flexibility in their use and the ability of the local government to borrow additional funds is again limited (Oduro-Ofori, 2011).

In Zambia, a study conducted by Lolojih (2008) reveals that the major sources of revenue for local authorities are Government grants and loans, borrowing from the money market, property rates; personal levy, rent, fees and levies (Lolojih, 2008).

Yasini (2012) provides a case of Chongwe which is a town council and the findings reveal that the sources of revenue are rates, personal levy, licenses and levies, fees and charges and Central Government grants. The findings also reveal that the main sources of revenue are licenses and levies contributing an average 34% of the councils' total revenue and Government grants which are a major source of revenue for rural councils which have limited revenue sources (Yasini, 2012). In contrast (Hampwaye & Rogerson, 2010) undertook a study at Ndola City Council and the findings reveal that, the major sources of revenue are property rates which account for 65% of the total revenue collections. Others are market fees, personal levy, bus station fees and house rentals for the council owned houses.

A common and major challenge cited is that majority of the local authorities have lucrative income from property rates, however most of the local authorities have not updated their valuation rolls which can enable them to capture more properties and update the charges according to building value (Hampwaye & Rogerson, 2010; Lolojih, 2008).

In the case of Mpongwe Town Council, the sources of revenue are local taxes, fees and charges, owners' rates, grants in lieu of rates and government grants and the main source of revenue are Government grants which account for 65% of the total income for the period under review. Besides Government grants, from the local authorities' own revenue sources, licenses and levies are the main source of revenue accounting for 21% of the councils own source of revenue. The Council is not able to maximize their revenue collection from this source due to interferences from traditional leaders in areas like market places and lack of transport to enable the revenue collectors to reach remote areas especially those bordering other towns like Solwezi. Mpongwe is mainly an agriculture district and as such is dependent on crop levies; this source of revenue is under threat because the main commercial farmers feel they are not maximizing profit from their sales since the export ban was put in effect, considering their

reliance on exports of produce. Some farmers have opted to produce crops for consumption in order to avoid losses in the commercial farming venture.

It is common knowledge to the residents that the District is a bread basket with comparative advantage in agriculture but there is need to look into other sources of revenue and promote investment in other sectors or farming of other crops. As highlighted above, property rates are a gainful source of income that can boost the local authorities' revenue base but the council is not performing well in this area due to the failure to update the valuation roll which has not been updated for the past ten years. One of the capacity requirements of the LED guidelines are that a local authority must have a valuation roll to be updated every five years, which means Mpongwe falls short in this regard. However, the process of updating a valuation roll though it is important and necessary is costly and the bureaucracy attached to the process makes it lengthy and difficult for councils to undertake. Another area in which the council has not been realizing revenue is in the water supply and management system. The cost at which the council is managing and delivering this service is high compared to the revenue that is being realized from it. The charges for provision are also low which means the institution is running at a loss.

The lack of full implementation of fiscal decentralization has been attributed to the limited capacity of local authorities to effectively carry out their additional mandates. Helmsing (2005) cites sustainability as the major problem facing local governments. He states that responsibilities have been increased to the local authorities without appropriate adjustment in revenue powers or in transfers (Helmsing, 2005). Similarly, transfer of obligations for local authorities in Zambia has come without accompanying adjustment resources, which implies that, there is a skewed relationship between the responsibilities and matching grants. Finally, the LGEF meant for capital projects has been taken under a one size fits all approach with no consideration of the various needs of local authorities which differ in needs and LED approaches.

In terms of borrowing capacity, the local authority is allowed to obtain a loan or borrow from any other financial institution, although borrowing from outside the country is restricted under the authority of the Minister of Local Government (GRZ, 2019). According to Oduro-Ofori, (2011), the impediment to local government borrowing in the country serves as a good check on deliberate unplanned borrowing (Oduro-Ofori, 2011). He cites Kessey (1995) who noted that borrowing to finance local budgets is hardly used by local governments because of control from central governments and the credit unworthiness of these institutions themselves that find it difficult to repay. As is the case under review, an interview conducted with a key informant revealed that due to the erratic funding of the LGEF, the banks in the District have reservation

with providing loans to the local authority, which displays the reliance of the local authority on central government funding to finance external sources of revenue and what is slowly leading to the credit unworthiness of the local authority. This also highlights the relationship between the finance institutions in the District and the local authority.

In terms of budgeting for LED, the Council has not been performing because the higher percentage of expenses has been on personal emoluments mostly for payments to staff such as long service bonus, retirement benefits, salaries and allowances. One of the factors owing to this is that between the period of 2016 and 2017, the LGSC conducted massive transfers and recruitments in a bid to build capacity in the local authorities and to fill vacant positions. This programme put a strain on the local authorities' resources in most cases because the activity was not budgeted for and grants had to be obtained from Government in order to clear salary arrears that are owed to workers.

The cost of the transfers which require settling in allowances for officers at the new stations both for recruited and transferred staff was getting increasingly overwhelming for especially the small local authorities and for officers that are being transferred, both the receiving station and transferring station pay the officer's accommodation and the receiving station must also pay for the officers' movement of goods at a rate calculated against the distance one travels.

This shows that, the staff transfers also affected the expenditure pattern of the local authority. However, the study findings demonstrated that the local authority is less committed to LED budgeting and programme implementation as attested by the 3% budgetary allocation for LED.

7.4. Technical Capacity

a) Availability of Equipment

Several authors have noted that a number of councils in Zambia lack adequate equipment for both service provision and development planning. Yasini (2012) in his study on Chongwe District, noted that Chongwe Town Council lacked adequate equipment to effectively carry out development planning, implementation and management of services. (Chomba, 2020) in her study in Mwansabombwe District also revealed that, Mwansabombwe Town Council did not have adequate equipment for service provision evidenced in the lack of earth-moving equipment required for service delivery, while a light truck used in waste collection had mechanical problems

Another study done by Oduro-Ofori (2011) in Ejiru Municipality of Ghana, reveals that, a lack of technical capacity or know-how to go about certain LED projects such as fish farming led to the meagre performance of the projects in that District indicating the importance of technical

capacity in LED (Oduro-Ofori, 2011). Helmsing (2005) also observed that, many LGs lack technically competent staff in important areas such as finance, physical planning and territorial development (Helmsing, 2005).

In support of the findings from these studies above, the findings in the preceding chapter reveal that, Mpongwe Town Council lacks the adequate equipment which is essential to local economic development planning. As a key department in the process of LED the Planning department is supposed to be equipped with a database which should contain up to date social and economic data of the district and easily be accessed and retrieved. Having readily available socio-economic data is important to informing planning because it is a basis for making well-informed decisions and target resources where they are needed. It also guides what interventions can be made in which area according to the specific needs of the particular area.

Other pieces of equipment such as computers and printing machines are also important in order to be able to store and analyse data, and to print district reports and any other reports of importance to the district. The Department of Planning currently has one operational computer which is servicing the entire department. Having a departmental computer, can also make the updating and storage of District information easier, safer and well organized. Mpongwe is a vast district and in order to get adequate community participation and representation, the council needs to be able to access even the furthest wards through utility vehicles which can also be used for collecting data and conducting surveys. However, findings have revealed that the department does not have a database with readily available planning information for the district which is a key to guiding resource allocation and spatial planning. It is also limited in the number of utility vehicles which are sometimes shared with other departments and lacks adequate equipment such as computers and printers. Data shortcomings can result in impeding the correct identification of a locality's strengths and weaknesses pausing a constraint to LED planning and implementation. Further, inadequate equipment also poses a challenge in the operations of the local authority, especially the key department of planning to carry out the functions.

b) Planning Process for Local Economic Development

The planning process for LED in Zambia has been established to be integrated with a focus on sustainable development that is taking into consideration all social, economic and environmental factors as planning takes place (GRZ, 2015). Development planning in Zambia is supported by formulation of plans which inform the budgets and annual work plans of officers at local authorities. The challenge to development planning has been increased by having several development plans at local level as earlier alluded to in the findings. The cost

that comes with formulating all the plans and the gap that exists between the preparation of local level plans and the integration into the national plans poses challenges. At the District level, this level of integration in an LED process can mean bringing on board all stakeholders in the District because the process is multi-actor, multi-sectoral and multi-level in nature (GRZ, 2016a). This corresponds with the importance of having an IDP in the District with LED, due to the fact that all the municipalities' activities should be guided by the IDP which also makes it imperative that all sectors, departments and stakeholders are brought on board in the process (Malefane, 2008).

Planning for LED requires readily available socio economic data in order to make well informed decisions and target resources where they are needed. It also guides what interventions can be made and in which area these interventions can be focused in accordance with the specific needs of the particular area. Inadequate local government capacity in many countries, poor governance and data shortcomings which often preclude correct identification of a locality's strengths and weaknesses have been identified by as the major constraints to LED planning and implementation (Rogerson & Rogerson, 2014). Similarly, regarding the findings of this study, there is no readily available socio-economic data at the local council to inform spatial planning which raises a concern in the manner in which resources and projects are allocated.

With regard to willingness of the stakeholders to partner with the local authority, it is clear that the stakeholders are willing to work with the local authority, but the credibility of the local authorities is still questionable. It is common knowledge that the LGSC has been ensuring that the positions in the local authorities are held in line with qualifications but credibility is still questioned pertaining to transparency in expenditure and resource allocation.

Ward committees have defined roles and responsibilities sanctioned by legislation and policy. These are the key institutional mechanisms intended to assist local government in bringing about people-centred, participatory and democratic local governance (Silima & Auriacombe, 2013). Mpongwe Town Council has established all 13 committees which are being used for community participation with an established communication structure. The establishment of WDCs begins with representatives from the lowest level of the ward which is the zone, giving a wider representation of community establishments.

In relation to community participation through WDCs, the findings of the study are similar to findings that have been noted by other studies. Yasini (2012) noted that ADCs do not have office accommodation and equipment such as computers, printers and photocopiers which

affected the operations of the ADCs due to the fact that lack of basic equipment hampers the ability of members to prepare reports and minutes of the meetings (Yasini, 2012). Yasini's results further revealed that the ADCs lack funds which are cardinal for the procurement of equipment, office stationery and for some allowances for members (Yasini, 2012).

Another study by Silima & Auriacombe (2013) noted that the effectiveness of ward committees is considerably jeopardized by the levels of education, skills and expertise of ward committee members. It should be noted that this study reflects the situation in a metropolitan municipality, therefore it could be expected that the situation in rural municipalities is far worse. This low level of education makes it difficult for committee members to understand, interpret and fulfil their role (Silima & Auriacombe, 2013). Despite this being the similar case in Mpongwe, especially because of the rural set up, the local authority is mandated to build capacity of the members of the committee. Capacity building for the WDC is something that the local authority must conduct before the committee can begin operating, the challenge, however, is that this has not been allocated the attention and time that it deserves as this is the centre of the operations of the committees. Some areas may be found with very few literate people and this capacity building process is important to build the capacity of such members and aiding the understanding of the process.

Having few literate people may work to the disadvantage of the process as it creates opportunities for elite power capture where despite the recognized leader, the decision making process is overtaken by the elite or most respected community members. Elite capture is said to occur when advantaged groups succeed in altering projects for their own benefit, usually at the expense of other people, particularly the poor (Araujo et al., 2008 in Arnall et al., 2015). Alternatively the elite group can be used to the advantage of communities as they help the technocrats to spread certain information clearly in a language that the minority groups can easily grasp (Arnall, et al., 2015). In the case of Mpongwe, the elite capture worked to the disadvantage of the local groups because the elite wanted projects tailored to suit their needs.

In terms of timely information being a challenge, the findings have revealed that, the information does not reach the committee in good time sometimes and they may be required to make decisions haphazardly. Lack of communication or poor communication between the municipality and the ward committees is detrimental to any meaningful participation in municipal processes. The ability of ward committees to function effectively is constrained by poor municipal communication strategies and a lack of accessible information and resources at ward level. This is particularly true in relation to municipal planning processes such as the IDP and the municipal budget (Silima & Auriacombe, 2013).

c) Service Delivery

In terms of implementation of capital projects, the local authority needs an excavator, water bowser, roller compactor and another motor grader and waste collection vehicle for road maintenance. This equipment will enable the local authority to improve in the delivery of services such as garbage collection and road maintenance in the district. The results from the study show that the council lacks adequate equipment for the maintenance of road works.

As for service delivery, various authors have noted similar findings. Before the implementation of the decentralization policy, local authorities were charged with a mandate of performing over 63 functions which are generally categorized in the Local Government Act No.2 of 2016 (*see Appendix 10*). With the introduction of the decentralization policy, the functions of the local authority have been adjusted to include some devolved functions of central Government. The Constitution highlights the functions of the local authority which include collection of toll fees, licensing of motor vehicles, water service delivery, creation of markets and bus stops, road maintenance, refuse collection and so on (GRZ, 2016b).

Various studies have identified challenges in the delivery of services by local authorities. Yasini (2012) noted that the majority of Chongwe residents were not satisfied with the performance of the Council regarding service provision such as refuse collection and maintenance of roads and drainages. He further highlights that poor service provision can make the district unattractive to both internal and external investors and at the same time raise the cost of those already operating in there (Yasini, 2012). In a different study, Lolojih (2014) noted that local authorities lack the administrative, fiscal and technical capacity that is needed to deliver services effectively. It was further noted that there has been no indicator which the communities can use to measure effectiveness despite the introduction of service charters (Lolojih, 2014). The author argues further that for a local council to deliver adequate and quality services in an efficient and effective manner, it is necessary to have adequate skilled staff, and appropriate equipment in serviceable condition and materials. The study notes that councils in Zambia have insufficient numbers of the plant and equipment machinery needed for effective service provision, this is because the equipment is usually very expensive to procure and most councils do not have the financial capacity to undertake such procurement, let alone manage to keep such equipment in serviceable condition (Lolojih, 2014). Furthermore, a study by Aggrey (2005) pointed out the importance of fiscal decentralization in influencing economic growth. It is highlighted that most measures of fiscal decentralization across countries such as share of expenditure revenues of sub-national governments are positively correlated with the level of economic development. The study reveals that

decentralization generates more public resources and the local governments under decentralization allocate more funds to more pro-local economic growth goods and public service users are satisfied with the services (Aggrey, 2005).

Similarly, the results revealed that majority of the residents in Mpongwe were not satisfied with the road service provision, with 92% of the respondents stating that they were dissatisfied with the state of the roads. Further, the majority 68% eluded the dissatisfaction to the muddy state of the roads in the rainy season. In terms of water provision, the majority respondents 52% who used the borehole service were dissatisfied with the service, due to the challenges faced when the boreholes break down and the distance covered to access the service. Therefore, the poor service provision may infringe the attractiveness of the District and affect the production levels of the locals who will have to reduce production as a result of increased costs and the length of time taken to access markets for their goods.

7.8. Stakeholder Collaboration

The stakeholder collaboration was analysed in terms of the local authorities' stakeholder engagement in development planning, stakeholder level of engagement within the roles performed focusing on community sub-structures and the progress of National actors on roles assigned to create an enabling LED environment in accordance with the LED guidelines.

In relation to the findings, the stakeholders are involved in some activities, such as budgeting, but there is little or no feedback given once implementation has begun or when the budget has been approved. This makes it difficult to hold the implementers accountable and to review the performance. The same scenario applies to district development planning. The findings show that Government departments were not well-informed of some municipal activities from the onset and at implementation. It is also worth noting that some plans that are developed are not implemented due to limitation of funds. Secondly, the WDCs living far from the Council like in the areas near are not well-informed as compared to those that are closer to the CBD. This implies a weak relationship between the local authority and the stakeholders as noted in a study by (Oduro-Ofori, 2011).

In terms of land use planning, Mpongwe has six traditional leaders, which means that most of the land in Mpongwe is under customary tenure system. Planning for this land requires the local authority to enter into planning agreements as required by law in the URPA Part III Section 25 subsection 1 (GRZ, 2015). The findings, however, reveal that there have been some conflicts with the local chiefs regarding land use planning which can be a threat to LED and development planning in general. In order to resolve some of the conflicts, the formulation of

IDPs needs to be expedited so that, the planning agreements are binding and force chiefs into releasing the land for developmental purposes which the councils can pay for.

Finally, the National LED actors have made strides so far, since the enactment of the Act in 2015 (GRZ, 2015) and the development of the National LED guidelines in 2016 (GRZ, 2016). Despite these strides some ministries are lagging behind such as Ministry of National Development Planning and Decentralization Committee. The implications of this are that the expected environment that can promote LED in the country will be slow and hence local authorities will continue to face challenges. For instance, the decentralization committee which is responsible for ensuring that the current redesigning of the fiscal architecture adequately supports the process of devolution and enables the performance of powers and functions by local authorities is done, has not ensured the full fiscal decentralization takes place. Secondly, the LGSC is still in the process of developing new staff establishments, job descriptions and creating LED units, this may be among other challenges that are hindering the local authorities to fully own and implement LED. Hampwaye (2008) in his study highlighted the financial constraints as a reason to the lack of implementation of development plans and proposed fiscal capacity to be strengthened to the local authorities.

CHAPTER EIGHT: CONCLUSION AND RECOMMENDATIONS

8.0.Introduction

This section presents the conclusion and recommendations of the study. The conclusion aims to answer the question with regards to the adequacy of the capacity of Mpongwe Town Council to plan and implement Local Economic Development. The study proposes to answer the question by considering the fiscal, technical and human resource capacity of the local authority as well as the willingness of stakeholders in the District to partner with the local authority. The chapter concludes by making recommendations into promoting stakeholder participation in development activities in the District to highlight the local authorities' transparency and improving the capacity of the local authority in the key areas of technical, human resource and fiscal capacity.

8.1. Conclusion

From the findings of this study, it is clear that Mpongwe Town Council has limited skilled human resource to plan for and implement LED. The study further highlights that the Council's revenue sources are mainly Government grants, while levies and licenses are the highest source of locally generated funds. The study has also revealed that the expenditure pattern of the local authority is skewed towards personal emoluments and the expenditure exceeds the revenue collected. The study findings further show that Mpongwe Town Council has inadequate planning equipment and tools to enable LED implementation and that the stakeholders are willing to partner with the local authority under conditions of improving transparency.

The Council has not been able to maximize revenue collection from licenses and levies due to interference from traditional leaders and the lack of transport to enable revenue collection in remote areas. Another source of revenue which the council has failed to maximize revenue collection from is property rates, which is an important and lucrative source of income. This failure is due to the property valuation roll not being updated on a regular basis, which has created a shortfall in rates income. The findings have further shown that the expenditure pattern for Mpongwe Town Council is skewed towards expenditure on personal emoluments rather than on LED-related activities and service provision, which means that the council is spending most of its income on salaries, and allowances. The allocation to LED is further restrained by the absence of an IDP or Strategic Plan to guide the municipality's activities.

With regards to their human resource capacity, the study has shown that the key department in LED planning (the Planning Department) does not employ a single officer trained in LED, and this presents a significant challenge to the department's ability to understand and implement

LED. Further, the study reveals that the Planning Department does not have an adequate staff complement for their workload and, in fact, has the highest vacancy rate. The Works Department faces the same challenge, and this is widely seen as a major contributing factor in terms of the condition of roads in the District, and residents have expressed their dissatisfaction regarding road maintenance. Mpongwe Town Council has a number of key LED positions vacant in the departments of Administration, Finance, Planning and Works. These vacancies have been highlighted as potential reasons for the Council's inability to update the valuation rolls, formulation of development plans, minimal district promotion activities and community information gaps.

In terms of technical capacity, the findings have revealed that Mpongwe Town Council does not have adequate equipment for service provision. The Council does not have equipment such as a roller compactor, bulldozer, water bowser or excavator. The council is operating at 50% capacity in terms of equipment needed for service provision, and this figure takes into account utility vehicles. In terms of tools and equipment needed for development planning, the council has an 86% shortfall, which has resulted in the lack of a database with up-to-date information. Such a database is crucial for the storage and retrieval of all planning-related information and, in addition, it acts as a base for all future development planning in the District. The lack of an up-to-date database has created a situation in which the Council's work is hampered by a lack of readily available social and economic data.

The study also reveals that, in terms of community engagement and participation, Mpongwe Town Council has an established community structure operating through the Ward Development Committee. However, the individual committees lack capacity in terms of the finances needed to procure equipment, stationery and to cover allowances that will enable them to travel and take part in certain decision-making activities. The WDCs are characterized by challenges in accessing timely information, a lack of capacity to formulate ward development plans and to adequately communicate the needs of the community, in addition to challenges relating to interpreting and understanding their roles.

Finally, when it comes to collaborating with stakeholders, the findings have revealed that stakeholders are willing to partner with the local authority with greater transparency and accountability.

8.2. Recommendations

1. Local governments have been identified as having limited capacity in development planning for LED. Mpongwe Town Council should investigate the possibility of incorporating Local Economic Development Agencies (LEDAs) that can be solely responsible for driving LED in Mpongwe Africa.
2. The higher learning institutions and policymakers should encourage Research and Development in order to ensure regional markets are assessed and networks for local markets are created to ensure that products produced locally can compete on the global market.
3. The LGSC should deploy more staff to fill the vacant positions in the local authority, especially in the departments of Works and Planning, in addition to speeding up the establishment of LED units responsible for coordinating LED programs in the Council.
4. The Council does not have adequate equipment for service provision and LED planning and, therefore, there is a need to increase the LGEF to Town Councils to enable them to purchase the equipment they need for adequate service provision and LED planning. LGEF allocation and usage should not be uniform as the needs of individual local authorities differ from one another.
5. The Ministry of Local Government should develop a deliberate budgeting policy regarding LED to ensure there is adequate budget in place for the local authorities.
6. Since the Ward Development Committees do not have financial allocations for their operations, there is a definite need for national support for WDCs from Central Government, and this will motivate members and assist in meeting operational costs.
7. The Ministry of Local Government should engage local authorities to ensure that officers (in particular any individuals from Planning Departments) are trained in the LED program at the Local Government Training Institute. This will help to build the capacity of officers in LED planning and implementation.
8. The Government should ensure that full fiscal decentralization takes place in order to ease the operations of local authorities and to harmonize the works and activities at District level, as this will compel devolved departments to coordinate effectively with local authorities.

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APPENDICES

Appendix 1: Interview Guide for Council Chairperson and Chief Officers

I am a Post-graduate student from the University of Zambia undertaking a research on the Feasibility of Local Economic Development in Zambia, focusing on Mpongwe Town Council. Please take note that the purpose of this data collection and research is purely academic and it will not be used for any other reasons. The information collected here will be treated with confidentiality and if you so desire, you may conceal your identity.

Topic: Feasibility of Local Economic Development in Zambia: The Case of Mpongwe Town Council

Respondent:

Department/ Unit:

Position:

Date of Interview:

Local Economic Development

1. What do you understand by Local Economic Development? *i) What role do you think the Council plays in LED promotion?*
2. What would you say about the experience of officers at the Council in LED?
3. Can you state the areas in which Mpongwe District has comparative advantage?
4. Can you share your thoughts on what the LED initiative means to your Municipality? *i) What advantages/disadvantages if any do you foresee?*

Fiscal Capacity

1. What are the main sources of revenue for the Council? *i) What would you say about the councils borrowing capacity? ii) What is the main source of borrowing?*
2. Would you describe the Councils budgeting process?
3. How much revenue has the Council generated annually in the past three years (2016-2018)?
4. What would you say about the councils' revenue in relation to operations?
5. What percentage of the budget has been allocated to local economic development programmes?
6. What is your opinion on the expenditure and revenue patterns?
7. Would you describe the council's level of autonomy of expenditure over all funds?
8. What challenges does the Council face in revenue generation? *i) What do you suggest can be done to overcome these challenges?*

Technical Capacity

1. What type of skills do your human resource possess? *i.e. planning, monitoring, finance i) in your opinion do they have the skills to understand and interpret the LED policy?*
2. What would you say about the amount of planning equipment the institution has and the planning staffs' ability to operate it?
3. Describe the relationship between the Council and its stakeholders.
4. What collaborative efforts have been undertaken between the Council and other stakeholders in promoting LED?
5. Is there a database at the institution with all planning information?

Human Resource Capacity

1. What is your organizational structure?
2. How would you describe the staff establishment in relation to the human resource available?

Position	Establishment	Actual	Variance

3. Would you say all the key human resource personnel are qualified for the positions they occupy?

Position	Qualifications for the Position	Actual	Variance

4. What would you say about the roles personnel play in line with their job descriptions? *i) Would you say they are qualified technically and professionally qualified for these positions?*
5. Are LED roles clearly defined in the job descriptions of officers?
6. What training opportunities for staff development exist at your institution?

Thank you for your participation. Is there anything else you would like to add?

Appendix 2: Interview Guide for Planning Department Staff

I am a Post-graduate student from the University of Zambia undertaking a research on the Feasibility of Local Economic Development in Zambia, focusing on Mpongwe Town Council. Please take note that the purpose of this data collection and research is purely academic and it will not be used for any other reasons. The information collected here will be treated with confidentiality and if you so desire, you may conceal your identity

Topic: Feasibility of Local Economic Development in Zambia: The Case of Mpongwe Town Council

Respondent:

Unit:

Position:

Date of Interview:

Contact Details:

1. How would you describe Mpongwe District in terms of size, economic activities and when it was created?
2. What do you understand by Local Economic Development (LED)? *i) What do you think is involved in LED? ii) Do you think the Council has any role in LED?*
3. In relation to LED, what would you say is the experience of officers in the department? *i) Is there an LED unit at the Council?*
4. What is your municipalities' comparative advantage? *i) What challenges does the council face in promoting this sector?*
5. What key activities relating to LED is your Council involved in?
6. Can you share your thoughts on what having an LED policy would mean to your Municipality? *i) What advantages/disadvantages if any do you foresee?*
7. Can you give a brief description of the collaboration between the municipality and stakeholders in the District? *i) At what stage are stakeholders involved in development planning? ii) Do sub-district structures play any role in promoting LED?*
8. Does the planning department have the technical skills to operate development planning related equipment/software? (i.e. Handheld GPS, GIS Software, Survey equipment)
9. In relation to the assessment form attached how much equipment would you say is available for development planning?
10. Can you explain how planning information is stored?
11. What challenges relating to development planning does the department face?
12. What measures would you suggest to be put in place to overcome these challenges?

Thank you for your participation. Is there anything else you would like to add?

Appendix 3: Interview Guide for Government Department Officials

(Departments of Agriculture, Community Development, Health, Social Welfare and the District Commissioner)

I am a Post-graduate student from the University of Zambia undertaking a research on the Feasibility of Local Economic Development in Zambia, focusing on Mpongwe Town Council. Please take note that the purpose of this data collection and research is purely academic and it will not be used for any other reasons. The information collected here will be treated with confidentiality and if you so desire, you may conceal your identity.

Topic: Feasibility of Local Economic Development in Zambia: The Case of Mpongwe Town Council

Respondent: _____ Department/ Unit: _____

Position: _____ Date of Interview: _____

Contact Details: _____

General

1. How can you describe Mpongwe District in terms of its creation, size, and economic activities?
2. Can you give a brief description of your department and its main functions?

Local Economic Development

1. What do you understand by Local Economic Development?
2. What would you say is the link between LED and Decentralization?
3. Does your department play any role in promoting LED? *i) Has your department initiated any LED activities?*
4. Can you state the areas in which Mpongwe District has comparative advantage?
5. Can you share your thoughts on what the LED policy means to your Municipality? *i) What advantages/disadvantages if any do you foresee?*

Technical Capacity

1. What type of skills do your human resource possess which can help in promoting LED? *i) In your opinion do they have the skills to understand and interpret the LED policy?*
2. Describe the relationship between your department and the council.
3. At what stage would you say you are involved in development planning?

4. How would you describe the councils' capacity in terms of taking the lead development planning and information dissemination?

Fiscal Capacity

1. What do you think are the main sources of revenue for the Council?
2. Would you say you are well aware and involved in the Councils budgeting process? (for devolved departments)
3. What would you say about the councils' revenue in relation to operations?
4. What is your opinion on the expenditure and revenue patterns?
5. Would you describe the council's level of autonomy of expenditure over all funds?
6. What challenges do you think the Council faces in revenue generation? *i). What do you suggest can be done to overcome these challenges?*

Human Resource Capacity

1. What is your organizational structure?
2. Would you describe how your staff fit in the Councils establishment in line with decentralization policy?
3. Are LED roles clearly defined in the job descriptions of any officers in your department?
4. What training opportunities for staff development exist at your institution?

Thank you for your participation. Is there anything else you would like to add?

Appendix 4: Interview Guide for Traditional Leaders and Ward Development Committees

I am a Post-graduate student from the University of Zambia undertaking a research on the Feasibility of Local Economic Development in Zambia, focusing on Mpongwe Town Council. Please take note that the purpose of this data collection and research is purely academic and it will not be used for any other reasons. The information collected here will be treated with confidentiality and if you so desire, you may conceal your identity

Topic: Feasibility of Local Economic Development in Zambia: The Case of Mpongwe Town Council

Respondent:

Institution:

Position:

Date of Interview:

Contact Details:

General

1. How would you describe Mpongwe District in terms of its creation, size and economic activities?

Local Economic Development

1. What do you understand by Local Economic Development? *i) Do you think you have any role in LED?*
2. Can you share your thoughts on what the LED policy means to your Municipality?
3. Which area do you think Mpongwe has advantage over other towns?
4. What economic projects have been undertaken in your community?
5. How were these projects identified and how have they impacted the community?

Fiscal Capacity

1. Do you think the Council has financial and managerial capacity to foster LED?
2. What is your candid opinion on the expenditure and revenue patterns?
3. What recommendations can you suggest for the Council to generate more revenue?

Technical Capacity

1. Describe the relationship between the Council and its stakeholders.
2. What collaborative efforts have you undertaken with the Council?
3. How does the Council involve the community in development activities?

4. How satisfied are you with the collaboration efforts with the council? *i) Are you willing to partner with the Council in LED planning?*
5. How is information disseminated by the Council and is it well interpreted?

Human Resource Capacity

1. What would you say about the ability of the local authority to foster LED?

Thank you for your participation. Is there anything else you would like to add?

Appendix 5: Interview Guide for Potential LED Partners in Mpongwe

I am a Post-graduate student from the University of Zambia undertaking a research on the Feasibility of Local Economic Development in Zambia, focusing on Mpongwe Town Council. Please take note that the purpose of this data collection and research is purely academic and it will not be used for any other reasons. The information collected here will be treated with confidentiality and if you so desire, you may conceal your identity

(Community Based Organizations, Business and Agriculture Cooperatives, Banks, Non-Governmental Organizations, Skills Institutions)

Topic: Feasibility of Local Economic Development in Zambia: The Case of Mpongwe Town Council

Respondent:

Organization:

Position:

Date of Interview:

Contact Details:

General

1. Would you describe your institution to me in terms of objectives and vision?
2. What activities are you involved in?
3. How would you describe your relationship with other stakeholders in the District?

Local Economic Development

1. What do you understand by Local Economic Development? *i) Do you think you have any role to play?*
2. Can you share your thoughts on what the LED policy means to your Municipality?
3. What economic projects have been undertaken in your community?
4. How were these projects identified and how have they impacted the community?
5. Which area do you think Mpongwe has comparative advantage over other towns?
6. What factors do you feel pose challenges to the local economies growth?
7. Can you share your thoughts on what having the LED policy means to your Municipality? *i) What advantages/disadvantages if any do you foresee?*

Fiscal Capacity

1. What do you think are the main sources of revenue for the Council?
2. What is your opinion on the expenditure and revenue patterns of the Council?
3. What would you say about the Council's financial and managerial capacity to foster LED?
4. What challenges do you think the Council faces in revenue generation? *i) Would you make any suggestions on how these challenges can be overcome?*

Technical Capacity

1. In your opinion, does the human resource at the Council have the skills to understand and interpret the LED policy?
2. What is your view of the condition and amount of the council planning equipment?
3. How does the Council involve the community in development activities?
4. How satisfied are you with the collaboration efforts with the council? *i) Are you willing to partner with the Council in LED planning?*

Human Resource Capacity

1. Would you give an opinion on whether the human resource at the council is qualified for their positions?

Thank you for your participation. Is there anything else you would like to add?

Appendix 6: Interview Guide for National LED Role Players- Ministry of Finance

(Ministry of Local Government, Local Government Service Commission, Commonwealth Local Government Forum, Ministry of Finance, Ministry of National Development Planning, Local Government Training Institute)

I am a Post-graduate student from the University of Zambia undertaking a research on the Feasibility of Local Economic Development in Zambia, focusing on Mpongwe Town Council. Please take note that the purpose of this data collection and research is purely academic and it will not be used for any other reasons. The information collected here will be treated with confidentiality and if you so desire, you may conceal your identity

Topic: Feasibility of Local Economic Development in Zambia: The Case of Mpongwe Town Council

Respondent:

Unit:

Position:

Date of Interview:

Contact Details:

General

1. How would you describe your institution?
2. What is the relationship between your organization and local authorities?

Local Economic Development

1. What is your institutions role if any in LED promotion in Zambia?
2. How would you describe your relationship with the local authorities in LED promotion?
 - i) *Since the introduction of the LED policy has there been any increase in the LGEF?*
 - ii) *Are local authorities funded for devolved powers and functions?*
3. Can you share your thoughts on what having the LED policy means to Local authorities? *i) What advantages/disadvantages if any do you foresee?*
4. What would you say is the relationship between decentralization and LED? *i) Can you give your view of how this is working in Zambia?*
5. What is your opinion of the environment for LED in Zambia? *i) Would you say that a conducive environment been created?*
6. LED has been piloted in Zambia before and most councils did not have the financial capacity to implement it. What is different about the LED strategy now?
7. What are the challenges if any to LED promotion in Zambia?

Fiscal Capacity

1. What do you think are the main sources of revenue for the Local authorities?
 - i) In your opinion since the introduction of the LED policy in 2016 has there been any improvement in the revenue collection rates by local authorities?
 2. What is your opinion on the expenditure and revenue patterns of the Council?
 3. Are there challenges in granting councils full autonomy over revenue?
 4. What challenges do you think the Council faces in revenue generation? *i) would you make any suggestions on how these challenges can be overcome?*
 5. What is the percentage of the Council IDPs or DDP/LED Strategies that have been aligned to national budgets?
-

Technical Capacity

1. In your opinion, does the human resource in the local authorities have the skills to understand and interpret the LED policy?

Thank you for your participation. Is there anything else you would like to add?

Appendix 7: Interview Guide for National LED Role Players - Local Government Training Institute (Chalimbana)

(Ministry of Local Government, Local Government Service Commission, Commonwealth Local Government Forum, Ministry of Finance, Ministry of National Development Planning, Local Government Training Institute)

I am a Post-graduate student from the University of Zambia undertaking a research on the Feasibility of Local Economic Development in Zambia, focusing on Mpongwe Town Council. Please take note that the purpose of this data collection and research is purely academic and it will not be used for any other reasons. The information collected here will be treated with confidentiality and if you so desire, you may conceal your identity

Topic: Feasibility of Local Economic Development in Zambia: The Case of Mpongwe Town Council

Respondent:

Unit:

Position:

Date of Interview:

Contact Details:

General

1. How would you describe your institution?
2. What is the relationship between your organization and local authorities?

Local Economic Development

1. What is your institutions role if any in LED promotion in Zambia?
2. How would you describe your relationship with the local authorities in LED promotion?
Since the introduction of the LED policy in 2016, what is the number of senior council officers trained?
 - i) *What is the percentage of councils with at least LED officials trained by the Institution?*
 - ii) *What is the number of officials trained in LED country wide?*
3. Can you share your thoughts on what having the LED policy means to Local authorities? *i) What advantages/disadvantages if any do you foresee?*
4. What is your opinion of the environment for LED in Zambia? *i) Would you say that a conducive environment been created?*
5. LED has been piloted in Zambia before and most councils did not have the financial capacity to implement it. What is different about the LED strategy now?
6. What are the challenges if any to LED promotion in Zambia?

Technical Capacity

1. In your opinion, does the human resource in the local authorities have the skills to understand and interpret the LED policy?

Thank you for your participation. Is there anything else you would like to add?

Appendix 8: Interview Guide for External Partners in LED- Ministry of National Development Planning

(Ministry of Local Government, Local Government Service Commission, Commonwealth Local Government Forum, World Bank, Ministry of National Development Planning, GIZ and Zambia Development Agency)

I am a Post-graduate student from the University of Zambia undertaking a research on the Feasibility of Local Economic Development in Zambia, focusing on Mpongwe Town Council. Please take note that the purpose of this data collection and research is purely academic and it will not be used for any other reasons. The information collected here will be treated with confidentiality and if you so desire, you may conceal your identity

Topic: Feasibility of Local Economic Development in Zambia: The Case of Mpongwe Town Council

Respondent:

Unit:

Position:

Date of Interview:

Contact Details:

General

1. How would you describe your institution in terms of the relationship with local authorities in Zambia?

Local Economic Development

1. What do you understand by Local Economic Development (LED)?
 2. What is your institutions role if any in LED promotion in Zambia?
 3. How would you describe your relationship with the local authorities in LED promotion?
 - i) *Have there been any initiatives by your institution to capacitate councils for LED?*
 - ii) *What is your opinion on the willingness of stakeholders to partner with local authorities in LED promotion?*
 4. Can you share your thoughts on what having the LED policy means to Local authorities? *i) What advantages/disadvantages if any do you foresee?*
-
5. What would you say is the relationship between decentralization and LED? *i) Can you give your view of how this is working in Zambia? ii) At District and Ward levels?*
 6. Would you describe efforts if any, that have been made to align sector Ministry Plans with Council IDPs or District Development Plans? *i) In your opinion do councils have the capacity for Integrated Development Planning?*
 7. LED has been piloted in Zambia before and most councils did not have the capacity to implement it. What is different about the LED strategy now?
 8. What are the challenges if any to LED promotion in Zambia?

Thank you for your participation. Is there anything else you would like to add?

Appendix 9: Questionnaire - Residents of Mpongwe

I am a postgraduate student from the University of Zambia collecting information on residents (end user) satisfaction with services provided by the Council in terms of solid waste, roads and drainages.

INSTRUCTIONS: Put a tick against your choice of answer. Where options are provided circle the correct answer.

Part One: Personal Data

1. Gender
(a) Male. (b) Female
2. Age: _____ years
3. Length of stay in Mpongwe

Part Two: Service Delivery

1. What are some of the development problems you perceive to be in the municipality? What are the causes of these problems?
2. What services does Mpongwe Town Council provide in your area?
3. Are you
a) Very Satisfied with the services b) Satisfied c) Very unsatisfied d) Unsatisfied

If dissatisfied how can they improve?

Water Provision

4. What type of water services are provided by the Council?
a) Piped water b) Borehole c) Council does not provide any water services d) both a and b
6. Do members of your house use this service?
a) Yes b) No (if yes go to Question 7 if No skip to question 8)
7. Is the service reliable? Yes [] No []
8. What are your main reasons for not using the service? Service is too expensive [] Quality of water does not match cost [] Service is unreliable [] Not aware of service provision []
9. Do you think the council has the proper equipment for water provision? Yes [] No [].

Drainages and Roads

1. What types of roads are found in the township? Tarred [] Gravel road []
2. What are the conditions of the roads during the rainy season?
Good [] Floods [] Muddy [] other (specify).....
3. How would you describe the condition of roads during the dry season?
Good [] potholes [] Stones [] other (specify).....
4. Generally, are you satisfied with the type of roads you have in Mpongwe? Yes [] No []

Part Three: Council Expenditure

1. Do you think MTC spends its finances in an appropriate way?
(a) Yes (Skip to question 2) (b) No
2. Why do you say so?
3. Do you participate in the council’s budgetary process through the WDC?
(a) Yes (b) No (Skip to Question 5)
5. Why do you not participate?
a) There is no community participation forum b) Lack of interest c) Not aware of the process

Part Four: Local Economic Development

1. Has MTC initiated any economic development programs in your community?
a) Yes b) No c) I don’t know
2. How were the community and other stakeholders involved in LED activities?
3. Do you feel part of the development process in Mpongwe?
a) Yes b) No
4. Is the Council able to manage LED and bring everyone on board?
a) Yes b) No

Appendix 10: Functions of Local Government in Zambia (GRZ, 2019)

1. establish and maintain offices and buildings for the purpose of transacting the business of the Council and for public meetings and assemblies
2. insure against losses, damages, risks and liabilities which the Council may incur
3. Maintain law and order and ensure local security and the good administration of the Council.
4. A local authority shall, in relation to advertisements, regulate the erection and display of advertisements and advertising devices in, or in view of, streets and other public places.
5. A local authority shall, in relation to agriculture establish and maintain farms and allotment gardens;
6. take and cause the taking of measures for the
7. storage, market and preservation of agricultural produce;
8. conservation of natural resources; and
9. prevention of soil erosion, including the prohibition and control of cultivation;
10. take and cause the taking of measures for the control of grass weeds and wild vegetation and for the suppression and control of plant and insect pests and diseases;
11. maintain, protect and control local forests and wood lands;
12. control the keeping and movement of livestock;
13. establish and maintain ponds;
14. establish and maintain grazing grounds;
15. take measures for the destruction and control of bees and of dangerous animals and reptiles
16. control the slaughtering of animals where the meat is intended for human consumption
17. control the sale of meat under subparagraph
18. require the disposal of diseased animals and carcasses whose meat is unfit for human consumption
19. establish and maintain abattoirs, cold storage facilities and plans for the processing of by-products from abattoirs;
20. control the movement of the carcasses of animals.
21. A local authority shall, in relation to a public street and
 - (a) establish and maintain roads
 - (b) exercise general control, care and maintenance of all public roads, streets, avenues, lanes, sanitary lanes and footwalls forming part thereof, bridges, squares, ferries and water courses and to remove all obstacles there from;
 - (c) prohibit and control the erection and laying in, under or over, and the removal from, streets and other public places of (i) posts, wires, pipes, conduits, cable and other apparatus; (ii) temporary platforms, seats and other structures; and (iii) street decorations;
 - (d) control traffic and the parking of vehicles and establish and maintain parking meters and premises for the parking of vehicles; and
 - (e) take measures for the promotion of road safety.
22. A local authority shall, in relation to community development: (a) prepare and administer schemes for the encouragement of and participation in, community development;
23. establish and maintain a system of lighting in street and other public places;
24. establish and maintain firefighting and prevention services, and take and cause the taking of measures for the protection of life, property and natural resources from damages by fire;
25. control persons and premises engaged in or used for the manufacture, preparation, storage, handling, sale or distribution of items of food or drink;
 - a. establish and maintain premises for the sale of food and drink, including beer and other intoxicating liquor for consumption on or off the premises;
 - b. establish and maintain catering services;

26. erect, purchase and maintain buildings used as dwellings or clubs and, where it is in the public interest, for use for business or professional purposes;
27. erect, purchase and maintain buildings and facilities and encourage the erection of dwellings needed for the accommodation of persons residing within the area the
28. local authority; and (i) prohibit and control the development and use of land and buildings and the erection of buildings, in the interests of public health, public safety, and the proper and orderly development of the area of the local authority;
29. control the demolition and removal of building and require the altering demolition and removal of buildings which (i) do not conform to plans and specifications in respect of those buildings approved by the Council; or (ii) are a danger to public health or public safety;
30. require the statutory leaseholder or occupier of land to (i) remove, lower or trim to the satisfaction of the Council any tree shrub or hedge over hanging or interfering with traffic in any street or with any wires, or with works of local authority; (ii) remove any dilapidated fence or structure abutting on any public or place; (iii) paint, dis-temper, whitewash or color wash the outside walls or roof of any building forming
31. part of the premises; and (iv) tidy the premises;
32. remove from the premises any unsightly debris, including derelict vehicles;
33. provide space on which debris and derelict vehicle may be deposited;
34. prohibit, control and require the fencing of land to control the use of barbed wire and other dangerous materials for fencing;
35. in the event of the statutory leaseholder or occupier failing to comply with a notice from the local authority requiring the statutory leaseholder or occupier to perform any of the acts specified in sub paragraph
36. to undertake the work and charge the statutory leaseholder or occupier with the cost thereof; and
37. assign names to localities, and numbers to premises which shall be displayed at the premises.
38. establish and maintain parks, zoos, gardens, pleasure grounds, camping grounds, caravan sites and open spaces;
39. plant, trim and remove trees, shrubs and plants in streets and other public places, and prohibit and control the planting camping, destruction and removal of trees, shrubs, and plants in streets and other public places;
40. establish and maintain swimming baths and bathing places;
41. establish and maintain art galleries, libraries, museum and film services;
42. establish and maintain social and recreational facilities and public entertainments; and
43. establish and maintain a public transport service.
44. establish and maintain environmental health services;
45. establish and maintain cemeteries, crematoria and mortuaries, and otherwise provide for and control of
46. the dead, and destitute persons who die in the area of the local authority;
47. control the manufacture, storage, sale and use of petroleum, fireworks, gas and other combustible or dangerous substances, and to establish and maintain magazines and other facilities for the storage thereof; and
48. take and require the taking of measures for the preservation and improvement of public health and the prevention and abatement of nuisances, including measures for the extermination of mosquitoes and other insect's rats, mice and other vermin.

49. control persons, premises and land engaged in or used for the holding of any fair circus, fete or other entertainment, recreation or assembly to which the public are entitled or permitted to have access, whether on payment or otherwise;
50. prohibit or control the collection of money from door to door and in streets and other public places;
51. preserve public decency;
52. prevent damage and trespass to property, whether public or private;
53. establish and maintain public information services; and
54. Advertise and give publicity to the advantages and amenities of the area of the local authority.
55. keep and maintain (a) enumeration and registration of persons or property for any purpose connected with the administration of the area of the local authority;(b) register of births, marriages and deaths;
56. Register of clubs; and d) register of transaction in connection with land charges that may be prescribe in any written law relating to land charges.
57. establish and maintain sanitary convenience and ablution facilities and require, whenever necessary, the establishment and maintenance of those facilities;
58. establish and maintain sanitary services for the removal and destruction of, or otherwise dealing with, all kinds of refuse and effluent, and compel the use of those
59. services;
60. establish and maintain drains, sewers and works for the disposal of sewerage and refuse;
61. take and require the taking of measures for the drainage of water;
62. require and control the provision of drains and sewers and compel the connection of any drains and sewers established by the local authority;
63. prohibit and control the carrying on of offensive, unhealthy or dangerous trade;
64. establish and maintain weighing machines;
65. sell products and by products resulting from the carrying on of any of the undertakings or services of the local authority;
66. establish and maintain the business of (i) manufacture;(ii)wholesale; and(iii) retailer;
67. undertake mining operations and control;
68. provide and maintain supplies of water and, for that purpose, establish and maintain waterworks and water mains; and
69. take and require the taking of measures for the conservation and the prevention of the pollution of
70. Supplies of water.
71. carry out communication services with the approval of the Zambia Information Communication Technology Authority;
72. establish and maintain postal services with the approval of the Director of Postal Services;
73. establish and maintain twin town contacts;
74. provide municipal public works only in respect of the needs of municipality in the discharge of their responsibilities to administer functions specifically assigned to the local authority under the Constitution or any other written law;
75. pontoons, ferries, jetties, piers and harbors, excluding the regulation of international and national shipping and matters related thereto;
76. manage storm water management systems in built up areas;
77. develop trading regulations;
78. manage museums;
79. establish and maintain facilities for the accommodation,
- 80.
81. care and burial of animals; and
82. Manage refuse removal, refuse dumps and disposal of solid waste.