

THE INFLUENCE OF COMMUNITY PARTICIPATION ON  
SUSTAINABILITY OF LIVELIHOOD PROJECTS: A CASE OF THE  
THIRD NORTHERN UGANDA SOCIAL ACTION FUND (NUSAF 3)  
LIVELIHOOD INVESTMENT SUPPORT (LIS)  
IN ADJUMANI DISTRICT, UGANDA

BY

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## DECLARATION

This research project report is my own original work and has not been presented for a degree in any other university or any other award.



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## **ABBREVIATIONS AND ACRONYMS**

CARE	Cooperative for American Relief Everywhere
CDO	Community Development Officer
CIG	Community Interest Groups
DFID	Department for International Development
FHI	Family Health International
IDP	Internally Displaced Persons
IHISP	Improved Household Income Support Program
ILO	International Labour Organization
LIPW	Labour-Intensive Public Works
LIS	Livelihood Investment Support
LRA	Lord's Resistance Army
NDO	NUSAF 3 District Officer
NGO	Non-Governmental Organization
NRM	National Resistance Movement
NUSAF	Northern Uganda Social Action Fund
NUSAF 3	Third NUSAF (2015-2020)
OXFAM	Oxford Committee for Famine Relief
PLWHIV	People Living with HIV/AIDS
PWD	People with Disabilities
SDG	Sustainable Development Goals
SL	Sustainable Livelihood
SLA	Sustainable Livelihood Approach
SLF	Sustainable Livelihood Framework
SLP	Sustainable Livelihood Pilot
TAAC	Transparency, Accountability and Anti-Corruption
UBOS	Uganda Bureau of Statistics
UGX	Ugandan Shillings
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children Fund
USAID	United States Agency for International Development
USD	United States Dollars

## ABSTRACT

Sustainability in livelihoods (SL) is increasingly seen as one of the important strategies of eradicating household poverty in economically, socially and environmentally responsive manner. A qualitative study was conducted to assess how community participation in the selection, targeting and design of livelihoods project influence sustainability using a case study of the third Northern Uganda Social Action Fund (NUSAF 3) Improved Household Income Support Program. The data collected were analysed both descriptively and inferentially using Chi-Square Tests. NUSAF was one of the recovery and development programs initiated by the Government of Uganda with funding from the World Bank for the people of Northern Uganda to support the return, re-integration and rehabilitation of Internally Displaced Persons (IDP) from IDP camps following the end of the Lord's Resistance Army (LRA) hostilities in Uganda by 2004. Northern Uganda is the poorest region of Uganda and the study was aimed at contributing to sustainability of livelihoods for poverty reduction in the region. The study was carried out on one of the 55 districts of the region and using multi-staged probability sampling, questionnaire-based interviews were used to collect qualitative and quantitative primary data from 77 individual members of 45 village level Community Interest Groups (CIGs). The study covered the two types of livelihood activities supported by NUSAF 3 in Adjumani District, that is, animal traction for crop production and produce buying and selling. Results of the study suggested that community participation in selection influences sustainability in livelihoods projects. The study found two different rate of sustainability for the two sub-project types, where community had limited participation in the selection of the sub-projects. Animal traction sub-project emerged more sustainable than the produce buying and selling. Additionally, community participation in targeting was found to be influential on sustainability and targeting in NUSAF 3. However, it was found that community participation in project design has no significant influence on sustainability of livelihoods. The conclusion of the study was that NUSAF 3 was economically sustainable at 83%, while the study recommends environmental sustainability not to be neglected in projects by implementing the mitigation measures and evaluating existing livelihood activities like village savings for potential contribution to environmental degradation, which is highly affecting livelihoods through unreliable rainfall patterns and rising temperatures.

# **CHAPTER ONE**

## **INTRODUCTION**

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

Sustainability of livelihoods is a very important aspect of development as the lack of a sustainable livelihoods results into abject poverty, which manifests itself in deficiencies of basic needs of life like food, incomes, health, education, standard of living, peace, among others. However, livelihoods must involve the active participation of the communities, who bear primary responsibility for providing their own basic needs mentioned above.

This study, therefore, sought to assess the influence of community participation on sustainability of livelihoods projects using a case study of the third Northern Uganda Social Action Fund (NUSAF3) in Northern Uganda.

According to Chambers & Conway (1991), a livelihood includes the abilities, the material and social resources and activities required for a means of living for individuals, households and communities. Hence, a livelihood is sustainable when it can cope with and recover from stresses and shocks, and maintain and enhance its capabilities and assets both now and in the future.

Three theories were used to conceptualise sustainability in livelihoods: (a) the theory of Sustainable Development, (b) the theory of Sustainable Livelihood Approach to Sustainable Development, and (c) the theory of Participation, which shall be discussed in depth in the following paragraphs.

### **The theory of Sustainable Development**

This theory holds that human beings live simultaneously in two environments, one is biosphere, which is the natural environment (ecosystem) consisting of the soil, waters, forest, plants, air, animals, living organisms and so on. The second environment is the anthroposphere, which is an artificial environment created by humans for their comfort while on earth (Konstańczak, 2014). Examples of the components found in the anthroposphere environment could include housing estates, roads, airports, farmland, resorts, factories, technology, culture, etc.

The theory further argues that whenever humans expand their artificial environment, it reduces and depletes the natural environment (ecosystem) almost proportionally, leading to ecological crisis in form of floods, droughts, air pollution, extinction of other species, diseases, and so on. Yet, humans cannot survive on the artificial environment alone if the natural environment is depleted. It can result into extinction of the entire human species on earth. So the best option is for humans to not only endure the crisis it has created, but create a secure environment for himself and the ecosystem by balancing the use of both environments.

### **The theory of Sustainable Livelihood Approach to Sustainable Development**

The concept of sustainability in livelihoods first came to light in the report of the Advisory Panel of the World Commission of Environment and Development (WCED) in 1987 (Chambers & Conway, 1991) and (Court et al., 2005), and was used to argue that favorable conditions must be provided for people to acquire assets and their capabilities should be enhanced to withstand and recover from shocks and stresses. It emphasizes that focus should be the livelihoods of the poor and involving them in both the identification and the

implementation of activities where appropriate, without sticking to a standard procedure of conventional approaches of taking a specific sector.

In early 1990s, the Society for International Development with support from Netherlands, began a three-year, multi-country project on Sustainable Livelihoods and People's Everyday Economics experimenting SL alongside civil societies in nineteen (19) countries. They contributed to the research for alternatives to mainstream development strategies and developed further the theory of sustainable livelihoods approach to sustainable development (Lisocka-Jaegermann, 2015). So sustainable (livelihood approach to) sustainable development is not only about behaving carefully with the limited natural resources, but ensuring that the potential for further functioning and development in the interest of future generations is maintained and secured (Konstańczak, 2014). The SLA to sustainable development then gained increasing popularity with non-governmental and development organizations like the UNDP, CARE, OXFAM, among others from the early 1990s to date.

A sustainable livelihood project as per Oino et al (2015) implies that, the community or beneficiaries are capable of continuing to reap the benefits of a project to address their emerging needs, in which case, to continue running the project for wealth creation (creating assets) to respond to and recover from inherent eventualities. This is to say if a project is delivered, the beneficiaries themselves should be able to wholeheartedly embrace the project activity as part of their own economic activity after the donors withdraw.

According to Velten et al (2015) the concept of Sustainable Livelihoods is a popular model which has also been adopted in agriculture, however, it has been too wide with a lot of ambiguity and complexity in implementing it as different actors have different



interpretations. Their literature review recommended interdisciplinary research to analyse the different perceptions in parallel projects.

Natarajan et al (2022) also recognized the sustainable livelihood (SL) framework as a particularly useful conceptual framework for visualising the conditions of the rural South and equipping scholars and livelihoods practitioners with practical solutions. The SL, therefore, is an analytical device for improved understanding of livelihoods and poverty.

### **The theory of Participation**

According to Irungu (2015), the participation theory is believed to have originated from political sciences and development theory. The theory is said to have evolved around the conviction that the suffering of the world's poor people is attributed to development, and therefore, the involvement of everyone when development decisions are made and implemented is crucial. The community participation principle was believed to have begun gaining popularity from the 1970s progressively until today. Chambers & Conway (2013 and 1991) over-emphasized the significant role the elite rich, often living in urban areas, could play in eradicating poverty among the rural poor, however, the duo decried the ever failing attempts to impose a standard top-down program on the rural poor without proper analysis and understanding of their needs and involving them.

The view echoed in this theory therefore formed the backbone of the study, because it has not considered possibilities that some imposed projects may actually be sustained, and what factors would cause that.

### **1.1.1 Independent Variable: Community participation**

Oweka (2013) defines community participation as “the process of exchanging information, listening to and learning from stakeholders with the goal of building understanding and trust on issues of mutual interest”. Oino et al (2015) believes that community participation should be a “genuine involvement of local people as active participants and equal partners whose concerns and experience are intrinsic to the project's success.”

Therefore, community participation is the involvement of community in the identification, planning, implementation and monitoring of a project with a view of having the community own up the project for their short, medium and prolonged benefit.

Empirical researches suggest that community participation significantly influences sustainability. This is logical because project facilitators are not permanently deployed within the communities or shall not be working for the individuals and households forever. Community participation is therefore an important independent variable to measure in terms of how it influences sustainability.

### **1.1.2 Dependent variable: Sustainability of livelihoods**

Stirman et al (2012) conducted literature review on sustainability and noted that different researchers used different terminologies to mean sustainability, such as “long term implementation”, “routinization”, “maintenance”, “durability” just to mention but a few. However, each definition tend to carry a central meaning of “the continuation of some or all components” of a project or “the desired recipient-level outcomes that occurred after initial efforts to implement, fund, or study a new practice were complete”.

According to Chambers and Conway (1991), sustainability of livelihoods raises many questions falling into two groups: whether livelihood is sustainable environmentally, in its effects on local and global resources and other assets; and whether it is sustainable socially, that is, able to cope with stress and shocks, and retain its ability to continue and improve. Oweka (2013) adopts a similar definition which puts sustainability as “a set of practices that address the social, economic, and environmental needs of present and future generations”.

In consideration of the above views, sustainability of livelihood is therefore a livelihood’s ability to deliver stable economic, social and environmental benefits to all stakeholders involved without any significant direct or indirect consequences capable of reversing such achievements.

### **1.1.3 Community participation and sustainability of livelihoods**

Empirical studies have confirmed positive relationship between community participation and sustainability where livelihoods activities were implemented in bottom-up approach (Irungu, 2015; Oweka, 2013; Stirman et al., 2012; Oino et al., 2015) Theoretic review of literature as seen earlier also tend to echo similar views that where communities participate in selecting, planning, implementing, and monitoring a project, the project sustainability is likely to be high as opposed to where a project is imposed on the community by the project proponents. However, researchers are quick to mention that conditions vary from one location to another, due to the type of beneficiaries involved, attitudes and behaviours, capacity, skills, nature of project and so on, therefore signifying continuous research on the contributing factors and the sustainability of different projects as conditions are not uniform across projects.

#### **1.1.4 Overview of the community participation in NUSAF 3**

Northern Uganda Social Action Fund (NUSAF), just like most projects financed by the World Bank was in community-driven approach, meaning the communities were to take a centre stage in the decision, monitoring and implementation of the project. The project targeted the most vulnerable among the Lord's Resistance Movement (LRA) war-affected population, some of whom were living in Internally Displaced Persons (IDP) camps, returnees, female-headed households, orphans, people with disabilities (PWDs) and People Living with HIV/AIDS (PLWHA).

The first NUSAF project of total budget USD 133 million, implemented from 2003 to 2009, named NUSAF 1, was more of public infrastructure dubbed Labour Intensive Public Works (LIPW) implemented in a community-based cash-for-work modality in which primary schools, hospitals, staff houses, boreholes, vocational schools, and access roads, among other community infrastructure, were successfully constructed for beneficiary communities, although there was a small component of Improved Household Income Support Programme (World Bank, 2015).

The second NUSAF (NUSAF 2), with a total budget of USD 100 million, implemented from 2009 to 2014, was more of livelihoods investment support projects aimed at increasing household level incomes among the most vulnerable people. The World Bank (2015) reported that the previous investments in livelihoods through the Improved Household Income Support Program (IHISP) have had a positive impact on people's lives, but the community structures formed by the project did not last. As household poverty continued to rise, the Government of Uganda and the World Bank agreed on the third NUSAF.

NUSAF 3, implemented from 2016 to 2020, had a total budget of USD 130 million, of which USD 43.5million (representing 33.46%) was allocated for Livelihood Investment Support, USD 5 million for strengthening Transparency, Accountability and Anti-Corruption (TAAC), USD 61 million for Labour Intensive Public Works (LIPW) and USD 20.5 million for Safety Nets Mechanisms and Project Management (World Bank, 2015). NUSAF 3's LIS project component was the case studied in this research project.

The Livelihood Investment Support (LIS) component, was to build on the experience gained from the first two NUSAF projects implemented earlier. It comprised an Improved Household Income Support Program (IHISP) and a Sustainable Livelihoods Pilot (SLP). The IHISP greatly focused on enhancing the capacity of groups before giving them start-up grants and imploring them to start saving in their groups, unlike the SLP designed typically to create sustainable community self-help financial institutions and establishing a functional evolving village fund. The LIS targeted 100,100 households in 55 districts. Participating interested groups (with 10-15 household representatives per group) were to receive a maximum fund of USD 5,000 (World Bank, 2015) equivalent in local currency.

In Adjumani District, under the IHISP, from the range of investment categories recommended by the World Bank, that is, agricultural production, value addition / agribusiness, and vocational skilling, the agriculture production sector was chosen, with one-hundred and fourteen (114) Community Interest Groups (CIG) provided with animal traction for growing of cassava, simsim, soya beans, maize and ground nuts for both consumption and market, and twelve (12) groups from the urban areas were to be given startup capital to buy produce from the rural farmers and sell to urban residents. Each animal traction group was to receive thirteen bulls, six ox ploughs, assorted drugs, four

spray pumps, thirteen yokes, chains, ear tags, and injection syringes/needles, including three drenching guns for feeding.

The SLP groups were to receive USD 10,000 revolving business financing loan capital per group and five villages were piloted per district, meaning that not all the districts were to benefit in this as a pilot project planned for 8 districts out of the 55 districts of NUSAF 3.

An empirical study conducted by Golooba-Mutebi & Hickey (2009) observed that limited independent research has been carried out on the impact of NUSAF, and even the few that tried, were not comprehensive enough. Hence a full-scale evaluation is recommended to assess what happens after the project and what contributed to whatever the outcomes may be.

## **1.2 Statement of the problem**

According to the World Bank (2022), up-to 719 million people globally lived below the poverty line, that is, lived on less than United States Dollars (USD) 2.15 per day by 2020, which is a sharp increase in the population of the poor by 11% from 2016. This happens despite global efforts to fight poverty, increase access to education, increase food security, reduce unemployment, eradicate gender inequality, provide affordable healthcare, reduce climate change and achieve peace, among other measures towards the Sustainable Development Goals (SDGs).

In Uganda, over the past three decades, the Government of Uganda under the National Resistance Movement (NRM) has made remarkable progress in its quest to eradicate poverty and rally households to create wealth by switching from subsistence agriculture to commercial agriculture and value addition. According to published reports, between 1992

and 2017, the proportion of the population living in monetary poverty fell dramatically from 56% to 21% (UNICEF, 2017).

However, statistics published by the Uganda Bureau of Statistics (UBOS), (UBOS, 2020) indicate that in all indicators measuring poverty level, Northern Uganda tops the four geographic regions of the country in severe poverty levels. The percentage of people who were chronically poor were 21.6% compared to 0.5% in Central, 4.9% in Western and 10.7% in Eastern. The percentage of those who were never poor was low at 48.1% in the North, followed by Eastern region with 62.5%, while Western and Central regions have the highest percentage of rich people at 81.1% and 91.8% respectively.

Additionally, compared to a base period of 2015/2016, more 16.6% of people in the North have slipped back to poverty by 2018. Eastern region followed in by 14.3%, then Western by 7.5% and Central by 4.7%. Even in terms of number of meals taken per day, there has been a drastic decline that is the number of households having three meals per day reduced consecutively from 2013/14, 2015/16 and 2018/19 from 47%, 47.4% to 39.7% respectively (UBOS, 2020).

The above statistics tend to indicate low rate of sustainability or little progress in achieving sustainable livelihoods in the North, despite the numerous livelihood enhancement projects that have been already supported by the government and development partners in the region before and even after NUSAF.

Household poverty has further been worsened by the Covid-19 pandemic and severe effects of climate change experienced in 2022, which resulted into protracted drought and deadly floods that contributed to serious food insecurity, loss of livelihoods, deaths, damages to

homes and disruption of household incomes prerequisite for purchases of essential goods and services in an economy which has mainly been liberalised.

Apart from the already grappling effects of Covid-19 pandemic, geopolitical conflicts like the Russia-Ukraine war has negatively affected world economies as the affected parties are the leading world exporters of grains and fertilizers, including to third world countries like Uganda. The impacts of the Ukraine war are already being felt at household level in Uganda, and the extend it will add to the appalling poverty situation is unknown, hence the need to urgently explore what could improve sustainability of livelihoods of the poorest populations to adapt to tough unprecedented socio-economic times ahead and recover from shocks through sustainable livelihood approach.

### **1.3 The objectives of the study:**

1. To assess how community participation in the selection of project influence sustainability of livelihood projects in Northern Uganda.
2. To evaluate how community participation in targeting influence sustainability of livelihoods project in Northern Uganda.
3. To assess how community participation in project design affects sustainability of livelihoods project in Northern Uganda.
4. To evaluate the sustainability of NUSAF 3 Livelihood Investment Support in Adjumani District, Northern Uganda

### **1.4 Value of the study**



As reasons for sustainability or lack of it have partially been found, the findings of this study may also be incorporated by donors/organizations in planning for livelihood projects in the future to increase the success rate of livelihood projects and prevent failures.

Lastly, scholars, academicians and other researchers may find the research useful in reviewing the curriculum for project planning, policies, and management for livelihoods projects, particularly.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.1 Introduction**

This section reviews the work published by other researchers on sustainability of livelihoods and enabling factors. Factors that influenced the sustainability of livelihood projects in other projects, problems that were encountered and what research findings established would be the best measures to lessen the risk of unsustainability of livelihoods so as to realize the ultimate dream of livelihoods – to reduce household poverty. The literature review is structured into three parts, highlighting clearly theoretic views as expressed by authors interested in the topic area in academic books; journals published about the issues of livelihoods and sustainability in the broader terms supported by research from elsewhere not directly linked to the case study and lastly, research findings directly linked to the case study. Focus was based on agriculture and related businesses as being the predominant activities in the region of the study and the sub-project of the case study.

#### **2.2 Determinants of sustainability of livelihood projects**

In addition to community participation, other factors also affect the sustainability of livelihoods, the following are some factors that also determine sustainability.

##### **2.2.1 How project management affects sustainability**

Project management broadly encompasses all project management tasks, which include, project planning, design, implementation, monitoring/evaluation, controlling, and close out activities. It also includes leadership responsibilities in change management, quality

management, risk management, human resources, communication management, project procurement, stakeholder management and other disciplines of management. This affects how a project may be sustainable or not. A project without skilled project managers is bound to face numerous challenges and consequently fail. However, specific empirical study would be recommended to measure project management influence on sustainability, which was studied as intervening variable in this research project as “the provision of ongoing support”.

### **2.2.2 How natural and man-made disasters affect sustainability of livelihoods**

Natural factors are conditions attributed to nature over which humans have no influence. This include drastic changes in weather conditions (except climate change attributed to human action), natural disasters like earthquakes, tsunamis, floods, drought, volcanic eruptions and pandemics which, from the onset affect people’s livelihoods. Wars and armed conflicts are human actions that uproots people from their land and affect the sustainability of their livelihoods.

### **2.2.3 How government policies affect sustainability of livelihoods**

Deliberate government policies may improve or expunge sustainability. For example, government’s education policies, land use, taxation policies, natural resource management policies like aggressive extraction of non-renewable natural resources affect environmental sustainability.

### **2.2.4 How behavioral aspects of individuals or societies affect sustainability**

Research has shown that behavioral aspects are important for social change at both individual and society level. Behavioural aspects include culture, beliefs, attitudes skills, among others. For example, an individual’s or society’s attitude to development issues

influence how they manage resources and create assets to address their future needs in the event of emergencies or unforeseen circumstances.

### **2.3 Empirical review on sustainability of livelihoods and factors affecting**

This section reviewed literature of sustainability of livelihoods with focus on community participation.

### **2.4 Community participation in selection of livelihood project and sustainability**

A study of community participation in livelihoods project among rural women of the Kwazulu-Natal province of South Africa found that the participation of women made some livelihoods projects sustainable, and lack of participation was influenced by sometimes individual and or structural reasons so the community development focus should be to grant access, participation and growth (Mazibuko, 2017).

Wawira (2013) concluded that marketing initiatives, flexibility to change from initial position of business is key for entrepreneurs to switch at critical times and adopt new business strategy and markets.

Hempel and Fiala (2012) in their guide on measuring success of youth livelihood interventions observed that evidence-based programming is very crucial. Evidence-based programming entails that sufficient empirical data is collected on the targeted population, existing skills, market and behaviours. With this approach, if gaps exist with beneficiaries, programming can include specific capacity development with the livelihood project component.

This above findings tend to suggest that project selection should not be entirely the work of project beneficiaries, but data should be collected and analysed before using participatory approach, before coming up with the right project.

## **2.5 Community participation in targeting and sustainability of livelihood projects**

The concept of community targeting encompasses how communities get to know about a project and the criteria used for beneficiary selection. This is very important as social inclusion is key and targeting the wrong people for the right reasons altogether may not achieve any tangible results.

The influence of powerful people in society; the non-existent nature of ongoing support provided to the people and the inception of the projects, have been reported to be the major challenges for the failures of NUSAF 1 projects (Golooba-Mutebi and Hickey, 2009). Bahiigwa et al (2005) observed that in most interventions, the focus has been to target the poorest rural population believed to be living in poverty, however, there is a lot of ambiguity about poor people, in terms of classification for example. They content that targeting the poor people alone may not be sustainable if the people with big land size and livestock are not included for better results. Hence, they recommended that any interventions for the poor should focus on reducing their vulnerability, increasing accountability and the needs of the poor, whom are often discriminated against in the society, and as a result, resources meant for them end up benefiting the rich.

Rigorous targeting exercise in livelihood interventions has been associated with greater sustainability after a year of intervention. Although the cost-impact ratio is higher than that of the other methods of intervention, like Cash Transfers (Sulaiman, 2016). Nevertheless,

the study recommended community participation to aim for the extreme poor in the community. This provided a good reference point for comparison with the NUSAF 3 project.

FHI 360 and Technoserve Inc (2014) in its quarterly report on the support in livelihood projects among vulnerable people in Swaziland established that priority populations within each community should be exposed to and be able to participate in multiple interventions. This considers some vulnerable individuals such as PLWHIV.

Dongier et al (2018) also agree that community should be directly involved in the targeting process for resources to go to the poorest and marginalized individuals or groups in the community. The involvement of beneficiaries in livelihood assessment is also emphasized for refugees and host communities (UNHCR, 2012).

Wong (2012) highlights social inclusion as major challenges of community-driven development (CDD) in World Bank implemented projects. She recommends improvements to be done in how communities are targeted by benchmarking between countries, among others.

## **2.6 Participation of community in the design of project and sustainability**

Community-driven development (CDD) concept is widely promoted in projects funded by the World Bank and recognizes the benefits of fully involving the communities in the interventions meant for their own development, from inception, design/planning, implementation, monitoring and evaluation. This concept promotes sustainability by community participation in decision-making, action, ownership and so sustainability becomes easy.

Chambers (2013) made an extensive observation and study on rural poverty, however, without using case study livelihood programmes or projects, hence he recommended the need for continuous careful evaluation and analysis to compare initiatives designed to alleviate poverty. In his theoretic analysis the key factors contributing to vicious cycle of poverty in the rural setting partly emanates from the elite.

However, Ulrichs and Slater (2017) underline the importance of cash transfers given to households and individuals in creating financial reserves to support them in times of emergency.

Oweka (2013) found that community based project (with community participation in monitoring and evaluation) contributes to sustainability. Stacey et al (2021) echo similar viewpoints including the need for the provision of ongoing support, using available locally-situated project facilitators and considering grassroots assessment and feasibility study as factors contributing to sustainability of livelihoods. Wong (2012) agrees that all parties interested in the livelihood intervention must be involved throughout the intervention including in decision-making on choice of project.

Heikkinen et al (2022) observed the necessity of co-creative and experimental vocational skills to be incorporated into university curricula by policymakers to promote sustainability. Olaye & Onajite (2015) tend to agree that adult education promotes sustainable livelihoods through human capacity development. The duo suggest that education in entrepreneurship is highly needed more than before at grassroots levels as formal education empowers a few privileged in the society. Their submission recommends reviewing how basic education could be tailored to provide skills for the poor to know about vulnerability and risk management in terms of livelihood systems and be able to

make remedial choices in health, gender equity, family planning and basic farming and trading practices to promote sustainability.

Nguyen (2013) found that despite local communities having traditional skills, it may not be relevant in the modern setting, for example, use of forest, fishing, and cultivation in his study on the role of education on the livelihoods of the Muot community in Vietnam. This view tend to have been bought and proposed for NUSAF 3 in the Project Appraisal Document.

Tur-Porcar et al (2018) studied factors affecting entrepreneurship and business sustainability and found that behavioral factors contributed most to the sustainability of businesses. Their analysis showed that entrepreneur's behavior and beliefs are key for developing an awareness of the need to engage in sustainable entrepreneurship.

Another study conducted on a similar project in Kampala's suburb of Kawempe found out that bureaucracy with accessing project fund, inadequate capital, poor sensitization and members' poor commitment, ignorance and low level of education among challenges to successful community-driven livelihood projects (Kyomukama, 2017).

Agaba (2014) studied three variables in relation to sustainable agriculture practices in a Northern Uganda district of Nwoya. He concluded that farmer characteristics, social interaction and economic factors like ability to access loan and limited land size also influence adoption of sustainable farming practices. Golooba-Mutebi & Hickey (2009) found that lack of access to land for women who were granted NUSAF 1 funds for carrying out animal farming due to customary land policies, which give no ownership right to women, also affected NUSAF 1 in the Acholi sub-region. DFID recommends that



community sensitization should also include “lesson learning and the dissemination of knowledge about the importance of land” as a way of integrating land reforms in poverty reduction strategies (DFID, 2002). Bahigwa et al (2005) argue that enabling environment, including review of the taxation policy of Uganda, for people to devise their own means to climb out of poverty should be implemented in Uganda and their view tends to agree with World Bank’s recommendation to the government to prioritize policy developments to sustain agriculture. They found that most of the poor rural population in Uganda have limited land, often between 0.5 and 1 hectare of land, which could not allow them to expand. While the World Bank (2016) also faults the fiscal policies and inadequate infrastructural developments like electricity which directly affects the rural poor.

## **2.7 The provision of ongoing support and sustainability**

The provision of ongoing support during a livelihood project includes all project management activities from inception, planning, implementation, monitoring and evaluation. This was factored in the NUSAF 3 project proposal document. It required dedicated and skilled project facilitators who were situated within the beneficiary communities. Their role would be to help groups solve conflict, offer guidance in changes, receive complaints and address them and motivate groups to work hard, among others, attend group meetings regularly. Without this, any issues arising during implementation would not be noticed and corrective action would not be taken at an early stage. The absence of monitoring gives room for groups to disintegrate, resources to be misused by some members and confusion could come in over what to do.

Oino et al (2015) found that institutional capacity of the project implementers is key for a project to be sustainable, thus concurring with Golooba-Mutebi & Hickey (2009) report that partially blamed local government capacity to monitor and implement NUSAF 1 for its failures. Oino et al (2015) also pointed out community-based project design as one of the factors for the sustainability of projects.

Golooba-Mutebi & Hickey (2009) reported that their interviews across three districts of Acholi and Alur strongly suggested that a good number of the NUSAF 1 received large sums of money they had never had before and were left to fidget with nobody to supervise, and given them necessary guidance and skills to manage business. Therefore, their view was that provision of project management support was key during livelihood project implementation.

Okwany (2017) conducted a study about financial management and the effectiveness of NUSAF (1 and 2) in Kitgum. His findings were that beneficiaries lacked effective budgeting knowledge and basic financial management skills, which consequently affected the accountability of NUSAF sub-project funds (2017). Okwany also stressed the need for continuous supervision and physical oversight at project sites by NUSAF staff. This agrees with the findings of Golooba-Mutebi (2009) that beneficiaries were left on their own as NUSAF staffing capacity was limited in providing continuous support to the beneficiaries. Irungu (2015) also gave credit to the provision of ongoing support in form of extension services for project sustainability in research conducted in Busia County of Kenya.

Golooba-Mutebi and Hickey (2009) found that the problems cited most often with the NUSAF 1 were conflicts within groups coupled with weak capacity to manage resources and corruption involving group facilitators and leaders. Late disbursement of funds,

inadequate supervision and skills training and weak capacity of local governments were also blamed for the poor performance of NUSAF 1 in putting a sustainable household living conditions.

## 2.8 Conceptual Framework

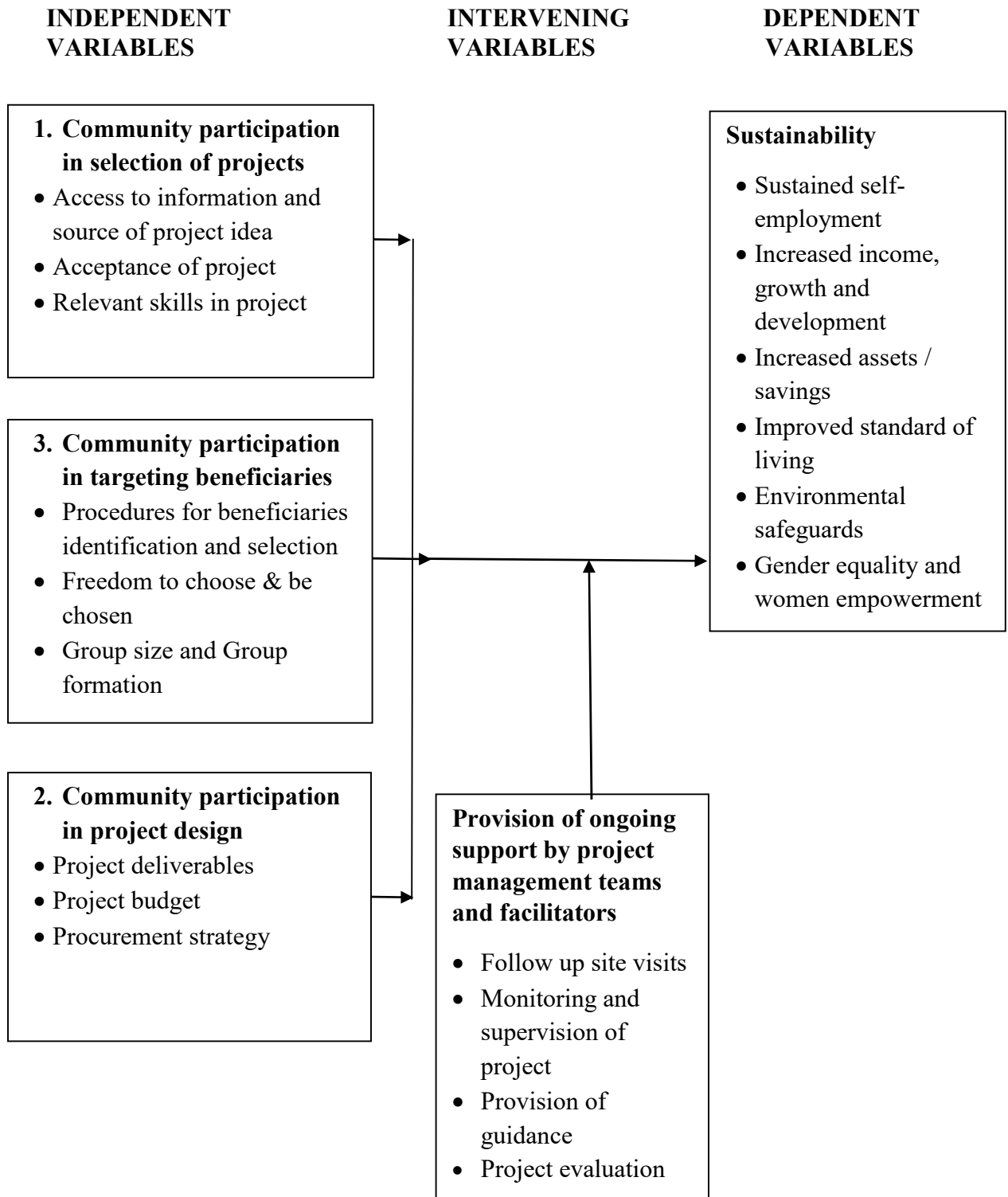


Figure 1.0 Conceptual Framework

In figure 1 above, community participation in selection of projects, targeting, and project design were the independent variables which influence sustainability (the dependent variable). On the other hand, the provision of ongoing support by project facilitators also contribute to sustainability as intervening variable.

## **2.9 Summary of the Reviewed Literature**

The literature reviewed left unanswered questions for further research. Summary of the review can be seen in Table 1, however, the general impression is that most livelihood researchers look at the short-term success of a project, rather than long-term sustainability. For example, if a project restocked livestock to a community. The sustainability issues associated with the livestock are both environmental and social. Environmentally, the increase of livestock in an area results into desertification, which affects rain patterns and result into drought which could claim the lives of the livestock in the future. Overgrazing also spoils the top soil for crop production for the future generation. In some communities, presence of cattle result into cattle raiding activities and promotes social conflict and injustices like child marriage.

So in overall, sustainability has been confused with the immediate success of a project. Livelihood project donors and implementers concern themselves with short-term success of the project rather than long-term impacts. And secondly, projects do not put the required emphasis on environmental issues while planning for and implementing projects. This is demonstrated by the less mentioning of environmental sustainability in the literature reviewed. Therefore, a comprehensive study incorporating all the above aspects is key to realizing the true meaning of project sustainability with livelihood projects.

**Table 1: Summary of literature reviewed**

Title of Study	Author , Year	Findings	Knowledge Gaps
The Impact of Community Driven Development Funds on Livelihoods of People in Kawempe Division, Kampala District	Kyomukama, 2017	Bureaucracy with accessing project fund, limited sensitization, limited capital, uncommitted members, ignorance and low level education among challenges to successful community-driven livelihood projects	Report outlines what appears to be short-term challenges faced in project implementation, but no information on long-term sustainability
Governing Chronic Poverty under Inclusive Liberalism: The Case of the Northern Uganda Social Action Fund	Golooba-Mutebi & Hickey (2009)	The non-existent nature of ongoing support provided to the people and the inception of the projects. People were given large sums of money and left on their own without training	This is short term, there is gap on long-term impacts
Influence Of Community Driven-Development Approach On Achievement Of Sustainable Community Livelihoods: A Case Of Western Kenya Community Driven-Development And Flood Mitigation Project (WKCDD/FMP) In Busia County, Kenya	Irungu (2015)	Provision of ongoing support in form of extension services for project sustainability	Immediate effects, but there is study gaps on long-term impacts
Community Participation and Sustainability of Livelihoods Projects in Uganda: A case study of	Oweka (2013)	The need for the provision of ongoing support, using available locally-situated project facilitators and considering on the ground assessment and feasibility	There is gap on what ongoing support contributes in the long-run

AAH U Bweyale Town Council		study as factors contributing to sustainability of livelihoods	
The Dilemma in Sustainability of Community-Based Projects in Kenya	Oino et al (2015)	Institutional capacity of the project implementers is key for a project to be sustainable	There is no clear definition of the capacity. E.g. if number of staff, what qualification and how many per CIG is a gap on essentially what is capacity.
Governing Chronic Poverty under Inclusive Liberalism: The Case of the Northern Uganda Social Action Fund	Golooba-Mutebi & Hickey (2009)	Lack of access to land for women who were granted NUSAF 1 funds for carrying out animal farming due to customary land policies, which give no ownership right to women, also affected NUSAF in the Acholi sub-region.	Little is known about the situation in the rest of Northern Uganda as this seems to be just one part of the region

According to Stirman et al (2012), many empirical studies examined initial efforts in livelihood project implementation, but very few researches have been conducted to determine what happens after implementation. In view of this and the observations made on the literature reviewed, there was knowledge gap about how projects plan for sustainability and what affects sustainability, which the study attempted to address.

## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.1 Introduction**

This chapter highlights the research design, target population, procedures employed for sampling, data collection, the determination of sample size and ethical issues considered in the study.

#### **3.2 Research Design**

The study adopted a qualitative research design which presents qualitative characteristics of sustainable livelihoods projects in environmental, social and economic aspects as they are within the case study. However, both qualitative and quantitative data were collected and analysed.

The study used a case study methodology as opposed to other methodologies because case study examines the problem in a live project. Yin (2009) defined a case study as “*an empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident [and relies on multiple sources of evidence]*”. As Yin recommended, contextual conditions were studied regarding Northern Uganda, whereas differing situations may prevail with the same type of project in other places. Yin recommends a case study when there is interest to understand a complex social phenomenon, which is true of sustainable livelihoods and the chronic poverty dilemma as various researchers produced rivaling findings which required further investigation.



A case study was particularly valued for its flexibility to gather emerging issues in the course of data collection, and to ensure this was achieved, the data collectors were practically trained prior to data collection on how to ask good questions, be good listeners to exercises adaption and flexibility while maintaining firm track of the interest of study and avoiding bias.

### **3.3 Target Population**

A total of 126 sub-projects in 126 villages in the eleven sub-counties of Adjumani District of Uganda formed the population of the study. The sample frame, therefore, included the 126 community interest groups / villages which received the NUSAF 3 LIS.

### **3.4 Sample Size and Sampling procedure**

Although sampling should not be used while conducting a case study research, the geographical broadness of Adjumani District dictated on sampling as traversing 126 villages was basically impractical in terms of cost and time. Therefore, the study sampled the targeted population of Adjumani using probability sampling method, so that the findings could be used to make generalization on Adjumani and Northern Uganda as a whole.

The research used multi-stage random sampling technique to sample the population according to constituencies, sub-counties, parishes and villages. Adjumani District has two constituencies of Adjumani East and Adjumani West with five and six sub counties respectively. Two sub-counties were randomly picked from each constituency, followed by their parishes and villages, which were listed in alphabetical order, before randomly

picking either odd or even serial numbers using systematic random sampling procedure. ILO (2010) underscores the importance of this sampling method for its advantage of convenience, coverage, supervision and cost of research.

The above rigorous exercise resulted into the sampling of a total of 45 CIGs of different sub-projects, which were either animal traction or farm produce buying / selling business groups. For purposes of ensuring that the study was inclusive of both gender, two members of each of the 45 groups were targeted for interviewing, thus producing a sample population of 90 individuals.

The minimum required sample size was estimated using Krejcie & Morgan Table which determines sample size using the below formula:

$$S = \frac{X^2 NP(1-P)}{d^2(N-1)+X^2 P(1-P)}$$

*S* = required sample size

*X<sup>2</sup>* = the table value of chi-square for 1 degree of freedom at the desired confidence level (3.841)

*N* = the population size

*P* = the population proportion (assumed to be 50% since this would provide the maximum sample size)

*d* = the degree of accuracy expressed as a proportion ((.05)

**Sample size calculation:**

Thus, using Krejcie and Morgan (1970) formula,

$$S = \frac{X^2NP(1-P)}{d^2(N-1) + X^2P(1-P)}$$

$$S = \frac{(1.96)^2 * 90 * 0.5 * (1 - 0.5)}{(0.05)^2 *(90-1) + (1.96)^2 *0.5*(1-0.5)}$$

$$S = \frac{86.436}{1.183}$$

$$S = 73$$

Hence, the required size of sample was 73.

### **3.5 Data Collection Tools / Instruments**

The research used mixed methods, tools and instruments for data collection. Structured survey questionnaire was used in one-on-one interviews to collect primary data from the NUSAF 3 beneficiaries. The data collectors also used observation to verify the existence of the projects during the interviews, for example, the oxen and ox-ploughs were seen in working conditions at the compounds of some of the respondents and evidence of their use were also seen by presence of cultivated farmlands at the vicinity.

Secondary data was collected in terms of demographic data aggregated by villages, parishes, sub-counties, and gender as published by relevant institutions and online sources. To establish baseline data of incomes levels, secondary data of the previous NUSAF 1 and 2 projects were also collected and particular interest was put on establishing the changes in income status to ascertain if there were improvements or prevalence of the status quo.

Data collection also included implementation of outputs/outcomes pertaining to sustainability in environmental, social and economic viewpoints.

### **3.5.1 Piloting the Instruments**

The designed survey questionnaire was administered for two respondents prior to the actual commencement of data collection for trial purpose and the responses were analyzed to demonstrate that the data collection instruments correctly collected the required data before five enumerators were deployed. There was no much to improve in the questionnaire, apart from removing detailed questions about group conflict as they fell outside the scope of this study. The flow of questions were in chronological order and data collected were all useful. This exercise helped the researcher to communicate to the data collectors in simple terms the purpose of the study and procedures to be followed for the best outcome.

### **3.5.2 Validity of the Instruments**

Validity of an instrument is the extent to which a test or an instrument measures what it is supposed to measure. The instruments designed for the research were reviewed by the research supervisor as an expert researcher and necessary adjustments in the content were made before use.

### **3.5.3 Reliability of the Instruments**

According to Zohrabi (2013), the essence of research is for the data collected and findings drawn from it to be reliable, which mainly encompasses consistency, dependability and applicability of results obtained for similar contexts. To achieve this, respondents were encouraged to give free and honest answers as much as possible. In the course of data collection, if any response to some questions contradicted earlier answers, the data collectors, trained to reference that, encouraged the respondents to give truthful answers.

The data collectors encountered instances where some onlookers attempted to give answers on behalf of the actual persons been interviewed in some villages. The data collectors advised groups to allow privacy for free and independent responses from one person at a time.

### **3.6 Data Collection Procedure**

Five experienced data collectors were deployed after a brief training and the piloting in Adjumani.

The data collectors, armed with copies of the introduction letter, list of sampled NUSAF 3 sub-projects previously obtained from NUSAF Desk Office, were deployed one per sub-county for a period of three days. Pachara Sub County been the widest sub-county had more additional day allocated for data collection. Because of the distances between villages, each data collector was to reach three sub-project villages per day. Upon arrival on the sampled villages, the data collectors consulted local people for direction to any of the NUSAF 3 IHISP project beneficiary members.

After filling out the questionnaires, submission was organized on the fourth day. During the handover of questionnaires to the researcher at the end of data collection, a short post data collection meeting took place with the data collectors to discuss their general findings and observations. This meeting further reinforced the researcher's grasp of the general situation on the ground based on observations made by data collectors that were not otherwise included in the questionnaire.

### 3.7 Data Analysis Techniques

The data collected was entered into Statistical Packages for Social Sciences (SPSS) computer application for analysis. The entire data was also exported to Microsoft Excel for specific manipulations. The resultant information were organized and presented in appropriate charts, frequency and contingency distribution tables in Chapter 4. Analysis and interpretation took descriptive and inferential form.

### 3.8 Ethical issues

Fleming and Zegwaard (2018) emphasizes ethical considerations for all researchers.

Prior to the commencement of interviews, the respondents' consent were sought and confidentiality upheld as per procedures given to data collectors.

The data collection was also organized at the convenience of the respondents. In this regard, enumerators visited respondents at the afternoon hours of the day to avoid interfering with respondents' gainful work in the early hours of the day.

### 3.9 Operational definition of variables

Table 2: The operational definition of variables, indicators and measures

<b>Objective</b>	<b>Indicator</b>	<b>Measurement</b>	<b>Approach of Analysis</b>	<b>Level of Analysis</b>
To evaluate the sustainability of NUSAF 3	Environmental sustainability: remedies implemented	Nominal	Qualitative	Descriptive

	i) Members planted and sustained their tree plantation (Y/N)			
	<p>Social sustainability measures identified in proposal implemented</p> <p>Women formed at least 50% of beneficiaries in CIGs</p> <p>i) The most poorest households were targeted through a fair process (Y/N)</p> <p>Group sustainability:</p> <p>ii) % of groups members satisfied with their groups for future projects</p>	Nominal	Qualitative	Descriptive
	<p>Economic sustainability: Livelihood project</p> <p>% of projects sustained / failed sustained by group and is still running</p> <p>#of projects still running</p>	<p>Ratio</p> <p>Ratio</p>	Quantitative	Descriptive
	iii) Institutional sustainability NUSAF 3 structures adopted by Local Government (Y/N)	Nominal	Qualitative	Descriptive
	Improvement in income level of beneficiaries	Ratio	Quantitative	Descriptive

	Amount of income changes i) % increase in annual household incomes			
	ii) Group savings and lending maintained for access of credit Groups holding regular saving meetings (Y/N)	Nominal	Qualitative	Descriptive
	iii) Beneficiaries satisfaction % of beneficiaries satisfied with project	Ratio	Qualitative	Descriptive
	iv) Group have success stories attributed to NUSAF 3 Benefit derived from NUSAF 3	Ratio	Qualitative	Descriptive
To assess how community participation in selection of project affect sustainability of livelihoods	Project deliverables: Animal traction Agriculture produce buying and selling #of CIG projects implemented according to plan Identification of livelihood activities and business planning: Group freely participated in choosing activity (Y/N)	Ratio        Nominal	Quantitative        Qualitative	Descriptive        Descriptive



To assess how community participation in project design affect sustainability	Project implementation methodology	Nominal	Qualitative	Descriptive
	Procurement / budget	Nominal	Qualitative	Qualitative
	Project timeline	Nominal	Qualitative	Qualitative
To evaluate how community participation in targeting influence sustainability of livelihoods	Target group & Targeting: Groups involved in targeting (Y/N)	Nominal	Qualitative	Descriptive
	Group size			
	Eligibility of members			

## CHAPTER FOUR

### DATA ANALYSIS, PRESENTATION, INTERPRETATION AND DISCUSSION

#### **4.1 Introduction**

This chapter contains the different categories of data, analysis, discussions and presentation.

#### **4.2 Response rate**

During data collection, 77 of the sampled 90 participants were interviewed, which surpassed the minimum required sample size of 73 as determined by Krejcie & Morgan (1970) table, meaning that the response rate was 86%, and therefore, in terms of precision, it is advantageous as the bigger the sample size, the better the representation of the population.

#### **4.3 Demographic characteristics of respondents**

The researcher collected aggregated data of respondents by gender, age, marital status, education level and occupation as these variables affect different groups of people in a given society in many different ways in terms of sustaining livelihoods.

##### **4.3.1 Analysis of respondents by gender**

As it was deemed important to understand the holistic view of livelihood challenges faced by both men and women, one woman and one man were interviewed from each Community Interest Groups. This was not only to check gender equality in receiving

livelihood support projects, but also to assess the plight of women particularly in the whole issue.

**Table 4.1 Frequency Distribution of Respondents by Gender**

<b>Gender</b>	<b>Frequency</b>	<b>Proportion (%)</b>
Male	37	48.1
Female	40	51.9
<b>Total</b>	<b>77</b>	<b>100.0</b>

Source: Primary Data

From the respondents interviewed, there were more women 40 (51.9%) than men 37 (48.1%). This was because vulnerability was used to target beneficiaries for NUSAF 3 project and more vulnerable women existed than men in the society, for example higher number of widowed women, elderly and single mothers.

#### **4.3.2 Analysis of respondents by Age**

Age is a very important variable to measure because it affects livelihood activities in many ways. For example younger people are physically more energetic and are ambitious, in contrast, elderly people have reduced physically ability to undertake hard labour. Therefore, economic activities thrive where young people make majority of the population. Similarly, the modern generation tend to shun dirty traditional jobs for white collar jobs like working in factories, driving taxis and riding motorcycles, and this could affect a project if it is not in line with the desires of the corresponding generation.

**Table 4.2: Frequency Distribution Table of Respondents by Age**

<b>Class Boundary</b>	<b>Frequency</b>	<b>Proportion (%)</b>
20 - 29	8	10
30 - 39	27	35
40 - 49	24	31
50 - 59	7	9
60 - 69	8	10
Missing Data	3	4

Total	77	100
Source: Primary Data		

In the research, 51 of the respondents interviewed, representing 66% of total respondents were in the productive and mostly non-school going age bracket of 30 to 49 years. This is the right age bracket for agriculture. A few are in the young adult, school-going age and the elderly above 50 years of age.

### 4.3.3 Analysis of respondents by marital status

Data was also collected on marital status of the respondents interviewed. Marriage is very pivotal in creating demand at household level, which stimulates commitment to work and ensuring continuity of livelihoods. Individuals who are not yet married do not view the need to work the same way as those who have to meet the daily needs of their families, for example, paying school fees, feeding, clothing, and healthcare. Family demand is the force behind people having to work hard as it involves societal, religious and legal implications on the parents.

**Table 4.3: Frequency Distribution of Respondents by Marital Status**

Code	Marital Status	Frequency	Proportion (%)
1	Single	2	2.6
2	Married	66	85.7
3	Separated	1	1.3
4	Divorced	1	1.3
5	Widowed	7	9.1
<b>Total</b>		<b>77</b>	<b>100.0</b>

Source: Primary Data

From the data collected, 85.7% of the participants were in marriage, therefore, making the family level demand inevitable and could also affect how a livelihoods is embraced and sustained.

#### 4.3.4 Analysis of Respondents by Education Level

Education plays a crucial role in the society, more so in poverty reduction and sustenance of livelihoods, therefore, data on the education level of the respondents was also intentionally collected. The aim was to assess the education level of those who were targeted for NUSAF 3. Whereas, basic education knowledge could help a person write his/her name or manipulate basic numeric calculations, many research studies have established that skills acquired through formal and informal education could be source of livelihoods, and translate into sustainability of livelihood projects.

**Table 4.4 Frequency Distribution of Respondents by Education Level**

<b>Code</b>	<b>Education level</b>	<b>Frequency</b>	<b>Proportion (%)</b>
1	Not attended any school	8	10.4
2	Primary School level	37	48.1
3	Secondary education level	25	32.5
4	High School level	2	2.6
5	Diploma Level	2	2.6
	Missing in System	3	3.9
	<b>Total</b>	<b>77</b>	<b>100.0</b>

Source: Primary Data

From the data collected, 8 (10.4%) of the respondents had no basic education; 37 (48.1%) attended at least a primary level class; 25 (32.5%) attended secondary level; while 2 (2.6%) each attended high school and diploma level. This implies that majority of the respondents had some basic education, which could also contribute to sustainability.

#### 4.3.5 Analysis of response by occupation of respondents

The data on occupation of respondents was also collected because the sustainability of a livelihood very much also depends on the interest, experience and skills of the people. So it was important to establish what the respondents were doing before in life to make a

living. The occupation of the respondents interviewed is presented in Frequency Distribution Table 4.5.

**Table 4.5 Frequency Distribution of Respondents by Occupation**

<b>Code</b>	<b>Occupation</b>	<b>Frequency</b>	<b>Proportion (%)</b>
1	Agriculture	59	76.6
2	Retail business	7	9.1
3	Unskilled labour (casual labour, e.g. watchman, etc)	7	9.1
4	Skilled labour (e.g. vocational, technical, etc)	3	3.9
5	Professional (e.g. teacher, doctor, etc)	1	1.3
<b>Total</b>		<b>77</b>	<b>100.0</b>

Source: Primary Data

By occupation, 76.6% of the participants were employed in the agriculture sector, while 9.1% were involved in retail business dealing in farm produce, which is still in the same agriculture value chain. About 15% were employed as unskilled, skilled and professionals combined, but were also active in the agriculture sector as source of side incomes and household food. This illustrates how agriculture is the predominant source of livelihoods employing majority of the population in the region.

#### **4.4 Community participation in the selection and sustainability of livelihoods**

##### **projects**

##### **4.4.1 Sources of decision on sub-project type**

Data on how the types of livelihood were selected was important talking about community-driven projects. It is obvious that communities should be consulted and what is provided should reflect on their interest if they should sustain it. Table 4.9 highlights the different sources of decisions and the sustainability of the sub-projects.

**Table 4.7 Contingency Table of Decision-makers on Type of Sub-Project and Sustainability**

<b>Code</b>	<b>Sustainability</b>	<b>Beneficiary</b>	<b>Group Member</b>	<b>Leaders</b>	<b>Project Personnel</b>	<b>Total</b>
1	Project Sustained	1	5	21	37	<b>64</b>
2	Project Not sustained	0	3	3	6	<b>12</b>
<b>Total</b>		<b>1</b>	<b>8</b>	<b>24</b>	<b>43</b>	<b>76</b>

Source: Primary Data

### **Pearson's Chi-Square Test of Homogeneity**

This test was chosen because it is better suited for comparing categorical variables of two or more groups of variables, that is, the proportion of success and failure where decision was made by different groups of people.

### **Hypothesis**

Null Hypothesis ( $H_0$ ): There is relationship between decision-makers on the selection of projects and sustainability of livelihoods projects.

Alternative Hypothesis ( $H_1$ ): There is no relationship between decision-makers on the selection of projects and sustainability of livelihoods projects.

### **Computation of Expected Frequencies:**

Expected frequency,  $E = (RT * CT)/N$ , where RT= Row Total, CT = Column Total, and N = Total Sample size.

**Table 4.7.1. Expected Frequencies distribution of project selection decision-makers**

<b>Sustainability</b>	<b>Beneficiary</b>	<b>Group Member</b>	<b>Leaders</b>	<b>Project Personnel</b>
Project Sustained	0.84	6.74	20.21	36.21
Project Not sustained	0.16	1.26	3.79	6.79

The degree of freedom,  $V = (R-1)(C-1)$ , where R = number of rows in the contingency table and C = the number of columns in the contingency table.

$$V = (2-1)(3-1) = 1*2,$$

$$V = 2$$

At the significance level of 0.05, the critical value as per Chi-Square Table is 5.991.

**Computation of Chi-Square ( $X^2$ ) Test Statistic:**

$$X^2 = \sum \frac{(O - E)^2}{E}$$

Where:

- $X^2$  is the chi-square test statistic
- $\Sigma$  is the sum of
- $O$  is the observed frequency
- $E$  is the expected frequency



**Table 4.7.2: Computation of the Chi-Square Statistic for community participation in selection of livelihood projects & sustainability**

Observed Value (O)	Expected Value (E)	(O-E)	(O-E) <sup>2</sup>	(O-E) <sup>2</sup> /E
1	0.84	0.16	0.0256	0.030
5	6.74	-1.74	3.0276	0.449
21	20.21	0.79	0.6241	0.031
37	36.21	0.79	0.6241	0.017
0	0.16	-0.16	0.0256	0.160
3	1.26	1.74	3.0276	2.403
3	3.79	-0.79	0.6241	0.165
6	6.79	-0.79	0.6241	0.092
$\Sigma(O-E)^2/E$				<b>3.347</b>

Therefore, the calculated p value ( $X^2$ ) = 3.347.

Result: the calculated Chi-Square statistic, 3.347 is less than the critical value of 5.991, therefore, we fail to reject the null hypothesis ( $H^0$ ) and the conclusion was that who decides the type of livelihoods projects influences sustainability.

Further to the above statistic, the study found that NUSAF 3 personnel and local leaders were the ones who decided on what to be given to the CIGs. 43 (55.8%) of respondents interviewed indicated that NUSAF 3 officials came to them through their community leaders informing them that they would receive ox-ploughs and oxen for those in the ox-traction sub-projects as presented in Table 4.7. In other words, a decision was already made on behalf of the beneficiaries. This was the same for the produce buying and selling groups.

Despite the fact that the livelihoods sub-project decision for NUSAF 3 came from the NUSAF personnel and local leaders, the sustainability of the CIGs sub-projects was at 83%, which is quite significant.

However, the top-down nature of decision-making negatively affected some CIGs more than others. For example, about three produce buying and selling groups were affected to the extent that either their groups disintegrated and distributed the NUSAF 3 funds among members before dissolving the groups because the whole idea was not in line with individual choices or had to unilaterally switch from the “imposed” produce buying and selling to a viable second-hand clothes business, which was reported to be very successful. Another produce buying and selling group distributed the food stock among the members and dissolved their group upon accusing some of their members of stealing stock like beans in water jerry-cans in pretext of coming to clean the food stores.

While some members of the animal traction regretted not having been consulted. Some said they would have opted for heifer restocking and business startup funds instead of animal traction. As a result of the above, some groups reported that they had distributed the pairs of oxen and ox-plough as loose items among the group members. This makes it unsustainable as a member who received an ox alone, for example, would not be able to plough the land as the animal traction component must be a complete set and if items are distributed out to individuals, sustainability could not be guaranteed.

The produce buying groups indicated that they were not linked to the local animal traction groups, from whom they could have locally bought farm produce for resale purpose as they had to traverse Adjumani District to neighbouring Gulu District to buy produce for resale purpose. Besides, the excess beans they bought using NUSAF 3 money from Gulu got spoiled in their stores, which resulted into heavy losses.

Similarly, some of the animal traction groups mentioned that they had met challenge of where to sell their produce like simsim, which had to rot in their houses over lack of linkage to local market.

#### 4.4.2 Analysis of existing skills of beneficiaries

Data was collected to examine the level of skills of the individuals in relation to the activity they were supported in. Data was also collected on where beneficiaries acquired their skills from, and whether or not, the NUSAF 3 project impacted any skills as part of the project. This was linked to the decision on selection because the researcher wanted to assess if community choices were based on the confidence in their individual existing skills or complimentary skills that the project should offer.

**Table 4.8 Table Showing Respondents' Confidence in Own Skills**

<b>Response</b>	<b>Frequency</b>	<b>Percentage</b>
Yes	63	81.8
No	14	18.2
<b>Total</b>	<b>77</b>	<b>100.0</b>

Source: Primary Data

63 (81.8%) of respondents expressed confidence in their skills in relation to the activity financed by NUSAF 3, while 14 (18.2%) were not confident in their skills as shown in Table 4.8.

In analysis of how the respondents acquired their skills, 36 (46.8%) of the respondents relied on the traditional skills acquired through informal education at their homes and 35 (45.5%) did receive training from NUSAF as part of the LIS. Only 3 (3.9%) acquired their skills from formal education as presented in Table 4.9.

**Table 4.9 Sources of skills**

<b>Sources of skills</b>	<b>Frequency</b>	<b>Percentage</b>
Traditional knowledge	36	46.8
NUSAF 3 training	35	45.5
Formal education	3	3.9
Missing in system	3	3.9
<b>Total</b>	<b>77</b>	<b>100.0</b>

Source: Primary Data

The interpretation, therefore, is that very few beneficiaries (45%) received any training from NUSAF as component of the project to enhance their capacity to manage their project well. The rest of the beneficiaries were relying on their traditional knowledge.

#### **4.5 How community participation in targeting influence sustainability of livelihoods project in Northern Uganda.**

##### **4.5.1 Methods for targeting beneficiaries**

The study collected data on how project beneficiaries were targeted. It was found out that vulnerability was the criterion used for selection of the majority of beneficiaries for NUSAF 3 IHISP in Adjumani District. The study found that some villages were better organized than others. Some villages recognised the most vulnerable households amidst them without competing with them in government programmes for the needy, hence the communities nominated the right people for any project and the communities memorised records of who benefited previously, so when new interventions come, priority is given to people who never benefited before. An exception was one village in which the LC Chairperson was accused by community members of diverting all government projects to benefit his close relatives and allies.

However, since the number of the vulnerable people was bigger than the targeted number in villages of respondents interviewed, most of the villages explained that the final selection of the few number of people to benefit was done through a fair and transparent process, where all the vulnerable would be invited to their respective parish centers to pick a lottery. Those who luckily picked positive numbers won the NUSAF 3 IHISP and were then guided on how to form a CIG. Those who randomly picked blank papers were to try their luck in future projects.

This was a fair and transparent process, where each vulnerable member in the village had equal chances of benefiting. However, as there was limit on targeted numbers in most cases, projects like NUSAF 3 leave out many people. And it creates income inequality between those who got and those who didn't, and eventually, making the project unsustainable taking the society as a whole, because those who did not benefit may resort to environmentally and socially unsustainable coping mechanisms, like cutting trees for burning charcoal for sale, forcing girls to early marriage, child labour, prostitution and so on.

#### **4.5.2 Methods of identification of members and formation of groups**

Data was collected on how groups were formed. This was deemed very important as it determined group cohesion and members' ability to work together without a destructive conflict, which could result into group disintegration and the outright failure of the group's sub-project. The researcher held a view that the freedom for members to choose to associate with a group of their interest would mean that members would join people whose behavior and enthusiasm were compatible to work together. Table 4.10 presents how groups were identified.

**Table 4.10: Contingency table on how beneficiaries were targeted**

<b>Sustainability</b>	<b>Community Leaders Targeting</b>	<b>Group leader Targeting</b>	<b>Beneficiaries Targeting</b>	<b>Project Staff Targeting</b>	<b>Total</b>
Project Sustained	9	1	50	4	<b>64</b>
Project Not Sustained	1	0	11	0	<b>12</b>
<b>Total</b>	<b>10</b>	<b>1</b>	<b>61</b>	<b>4</b>	<b>76</b>

Source: Primary Data

### **Hypothesis**

Null Hypothesis (H<sub>0</sub>): How beneficiaries were targeted proportionally affects sustainability.

Alternative Hypothesis (H<sub>1</sub>): How beneficiaries were targeted does not proportionally influence sustainability.

### **Computation of Expected Frequencies**

Expected frequency,  $E = (RT * CT)/N$ , where RT= Row Total, CT = Column Total, and N = Total Sample size

**Table 4.10.1 – Computation of Expected Frequencies of Targeting Methods**

<b>Sustainability</b>	<b>Community Leaders Targeting</b>	<b>Group leader Targeting</b>	<b>Beneficiaries Targeting</b>	<b>Project Staff Targeting</b>
Project Sustained	8.42	0.84	51.37	3.37
Project Not Sustained	1.58	0.16	9.63	0.63

The degree of freedom,  $v = (R-1)(C-1)$ , where R= number of rows in the contingency table and C = the number of columns in the contingency table.

$$V = (2-1)(4-1) = 1*3,$$

$$V = 3$$

At the significance level of 0.05, the degree of freedom ( $v$ ) of 3, the critical value as per Chi-Square Table is 7.815.

**Computation of Chi-Square ( $X^2$ ) Test Statistic:**

$$X^2 = \sum \frac{(O - E)^2}{E}$$

Where:

- $X^2$  is the chi-square test statistic
- $\Sigma$  is the sum of
- $O$  is the observed frequency
- $E$  is the expected frequency

**Table 4.10.2 Computation of Chi-Square Statistic of homogeneity**

Observed Value (O)	Expected Value (E)	(O-E)	(O-E) <sup>2</sup>	(O-E) <sup>2</sup> /E
9	8.42	0.58	0.34	0.04
1	0.84	0.16	0.02	0.03
50	51.37	(1.37)	1.87	0.04
4	3.37	0.63	0.40	0.12
1	1.58	(0.58)	0.34	0.21
0	0.16	(0.16)	0.02	0.16
11	9.63	1.37	1.87	0.19
0	0.63	(0.63)	0.40	0.63
$\Sigma(O-E)^2/E$				<b>1.42</b>

Therefore, the calculated p value ( $X^2$ ) = 1.42.

Result: The calculated Chi-Square statistic, 1.42 is less than the critical value 7.815, therefore, the hypothesis cannot be rejected. The conclusion was that beneficiary targeting proportionally affected sustainability.

Further to the above, the study found that the most significant method was where communities participated in targeting. The study found that 62 (80.5%) of respondents willingly identified themselves and formed their groups based on their individual choices. Only 10 respondents (13%) were recommended by their local leaders, 4 (5.2%) by NUSAF facilitators, and one member (1.3%) indicated that he/she was invited to the group by the group leader. The sustainability rate was high as 50 of the beneficiaries who participated in targeting sustained their projects, contributing to 78% of the sustained projects, compared to lesser proportions where local leaders, group leaders and project personnel targeted the beneficiaries with less to no community participation at all. Most of the groups were formed on voluntary basis and managed to co-exist beyond the project period. Groups were found at their group centers holding meetings and were seen holding saving meetings.

### **4.5.3 Group size**

Group size is another important aspect in group activity to consider as it enhances cooperation, control and group administration. The bigger the group, the more difficult it becomes to control as there is divergence in decision-making, characters and behaviours. Again, where the shared resources like ox-ploughs and oxen are limited, the roster for each member to receive the service takes longer while the rainy season is shorter. This directly affects sustainability, where the oxen may be over-used to meet the needs of all members of the group. Table 4.11 presents the different sizes of groups found during the study.



**Table 4.11 Frequency Distribution Table Showing Different Sizes of Groups**

<b>Group size</b>	<b>Frequency</b>	<b>Proportion (%)</b>
10	1	1.3
12	53	68.8
15	12	15.6
18	1	1.3
26	3	3.9
28	1	1.3
30	5	6.5
Missing in System	1	1.3
<b>Total</b>	<b>77</b>	<b>100.0</b>

Source: Primary Data

The study found out that different sizes of groups were formed, e.g. one member interviewed belonged to group size of ten members; 53 others belonged to group size of 12 members; 12 others to group size of 15 members; 1 member to group size of 18 members; 3 individuals belonged to group size of 26 members; another one to 28 group size; five (05) individuals belonged to the biggest group size of 30 members. The groups meeting the NUSAF Project Appraisal Document of size 10-15 members were 66 of the 77 (85.71%) while 11 (14.29%) groups' sizes fell outside the NUSAF proposal.

However, even where the group size was bigger, the study found that the funding provided for the big group was the same as for the small group or even less in some cases. For example, most groups of size 12 received 5 pairs of oxen and 5 ox-ploughs. While in other groups, 12 members received 6 pairs and 6 ox-ploughs. The extreme is where a member interviewed from one group/village informed data collectors that their group of 15 received only 1 pair of oxen and an ox-plough under NUSAF 3. The reasons for these inconsistencies were not clear. In the researcher's view, this presents a serious problem of sustainability. If 15 Households were to share 1 pair of oxen, the bulls could be overworked and fail to perform, or fall sick and die. Therefore, not the same level of benefit could be

expected from all groups if the scales of benefits were changed without clear explanation, which should be avoided in the future.

#### **4.6 How community participation in project design affects sustainability of livelihoods projects in Northern Uganda**

The way a project is designed and who designed it is one aspect that greatly affects the success of a project. A community-driven project design should have inputs of the community on how the project should be implemented.

##### **4.6.1 Project deliverables**

The types of sub projects supported by NUSAF 3 IHISP in Adjumani District were profiled in order to compare with the existing capacities. The researcher argues that if a project enhances the existing capacity, it would be sustainable compared to giving something very new, although beneficiaries may prefer the new activity if they deem it effortless and fetches quick money as opposed to their back-breaking traditional farming. But sometimes the saying is that “old is gold”, hence a project seeking to enhance traditional agriculture to modern farming is worthwhile.

**Table 4.11.1 Contingency Table Showing Response on Sub-Projects and Sustainability**

<b>Code</b>	<b>Type of project</b>	<b>Animal traction for crop production</b>	<b>Buying and selling of produce</b>	<b>Total</b>
1	Projects Sustained	60	4	64
2	Projects not Sustained	1	11	12
	<b>Total</b>	<b>61</b>	<b>15</b>	<b>66</b>

Source: Primary Data

## Hypothesis

Null Hypothesis (H<sub>0</sub>): There is relationship between project sustainability and project deliverables

Alternative Hypothesis (H<sub>1</sub>): There is no relationship between sustainability and project deliverables.

## Computation of Expected Frequencies

Expected frequency,  $E = (RT * CT)/N$ , where RT= Row Total, CT = Column Total, and N = Total Sample size.

**Table 4.11.2 Expected Frequencies Distribution of Sub-Projects and Sustainability**

Sustainability	Animal Traction for crop production CIGs	Produce Buying and selling Business CIGs
Project Sustained	51.37	12.63
Project Not Sustained	9.63	2.37

Source: Primary Data

The degree of freedom,  $v = (R-1)(C-1)$ , where R= number of rows in the contingency table and C=the number of columns in the contingency table.

$$V = (2-1)(2-1) = 1*1,$$

$$V = 1$$

At the significance level of 0.05, degree of freedom 1, the critical value as per Chi-Square Table is 3.481.

## Computation of Chi-Square (X<sup>2</sup>) Test of Independence:

$$X^2 = \sum \frac{(O - E)^2}{E}$$

Where:

- $X^2$  is the chi-square test statistic
- $\Sigma$  is the sum of
- $O$  is the observed frequency
- $E$  is the expected frequency

**Table 4.11.3 Computation of Chi-Square Statistic of Independence of deliverable and sustainability**

Observed Value (O)	Expected Value (E)	(O-E)	(O-E) <sup>2</sup>	(O-E) <sup>2</sup> /E
60	51.37	8.63	74.504	1.45
4	12.63	(8.63)	74.504	5.90
1	9.63	(8.63)	74.504	7.74
11	2.37	8.63	74.504	31.46
$\Sigma(O-E)^2/E$				<b>46.54</b>

Therefore, the calculated Chi-Square,  $X^2 = 46.54$

Result: The calculated Chi-Square statistic, 46.54 is greater than the critical value 3.481, therefore, the hypothesis can be rejected. The conclusion was that project deliverables have no relationship with sustainability.

#### **4.6.2 Project budget**

According to the NUSAF 3 Project Appraisal Document, the project was to cater for groups of 10 to 15 households, where each group would receive a maximum of USD 5,000 equivalent to 18 million Ugandan Shillings. A household was to be represented by one member, therefore, making 10 to 15 individuals in each group.

The research found that for each group, different level of funds were provided. For the produce buying and selling, for example, each group received 18 million Ugandan Shillings, which was in accordance with the maximum fund provided for by the World

Bank per a group. While for the animal traction sub-projects, the groups received five pairs of oxen and five ox-ploughs; in some instances six, which translated to about 9,750,000 Ugandan Shillings, where the price of an ox and a plough was Shillings 800,000 and 350,000 each respectively, according to most of the respondents. The animal traction sub-projects received in addition to the above, funds for seeds and tree seedlings, but no information was clear about how much was provided for the seeds and other accessories.

In the above analysis, produce buying and selling groups received more funds than ox-traction farmers. This perhaps explains why some respondents underscored the need to increase the budget in similar projects in the future.

#### **4.6.3 Procurement planning**

Project procurement is a very important element to factor in project design. It is more so risky with agriculture projects which are seasonal. Procurement must be rigorously planned in consideration of prevailing supply chain realities on the ground. For example, if a project is providing one-off agricultural inputs like seeds and tools, the source of the inputs and the lead time by when the materials would be available to the farmers to plant, germinate and grow for the farmers to be able to acquire their next seeds must be well calculated, otherwise, such a project shall not be sustainable.

The study found out that NUSAF 3's procurement was not planned with the community. For example, most cassava farmers interviewed decried the late arrival of cassava cuttings procured by NUSAF and the long transportation of the stocks in bags, which bruised the buds and affected the germination rate of cassava. The farmers mentioned that if NUSAF had involved them, they would have got cassava cuttings from within the community in a very timely manner to beat the season. The animal traction groups also decried small calves

procured by the NUSAF contracted supplier, which took two years or more to mature into big bulls to be used as oxen. It created extra work of caretaking and training. In conclusion, community participation in planning project procurement is very crucial. Nobody should underestimate the capacity of communities, in ensuring transparency, value for money and timely procurement.

#### **4.7 Assessing the Sustainability of NUSAF 3 LIS in Adjumani District**

##### **4.7.1 Acceptance rate of NUSAF 3 IHIP**

Data was collected on whether respondents accepted the sub-projects which they were given. This is important to compare synergy with response on whether the sub-project was selected in a participatory approach. Table 4.12 presents how the project was accepted.

**Table 4.12. Acceptance of NUSAF 3 sub-project by respondents**

<b>Response</b>	<b>Frequency</b>	<b>Proportion (%)</b>
<b>Yes</b>	72	93.5
<b>No</b>	5	6.5
<b>Total</b>	<b>77</b>	<b>100.0</b>

Source: Primary Data

The study found that 93.5% of the respondents interviewed liked the sub-project, only 6.5% didn't. The researcher concluded that NUSAF 3 IHISP had high acceptance rate.

##### **4.7.1 Sustainability rate of NUSAF 3 IHIP sub-projects**

The study collected data on how many NUSAF 3 IHIP sub-projects were still operating by the time of the data collection. This was the key method by which the actual sustainability of livelihood as source of employment could be determined. If the supported livelihoods activity stopped existing, then the conclusion to be drawn was that the project has not been

sustainable after project implementation period. Table 4.13 shows number of CIGs still operational and those not.

**Table 4.13. Operational status of sub-projects supported**

<b>Response</b>	<b>Frequency</b>	<b>Percentage</b>
Still existing	64	83
Not existing	12	16
No response	1	1
<b>Total</b>	<b>77</b>	<b>100.0</b>

Source: Primary Data

83% of respondents interviewed had their NUSAF 3 livelihoods activities existing (sustained), while 16% were not sustained and the data for one person was missing. This was quite significant level of sustainability achieved, although most of which were from the animal traction sub-project.

While 11 of the 12 respondents that indicated that their activity had not been sustained come from the produce buying and selling CIGs, therefore, suggesting that the sustainability of animal traction project was higher than that of produce buying and selling. This perhaps explains, why some 7 of the 11 respondents above from the groups of produce buying and selling actually indicated that their first choice was also animal traction if they were to participate in selection of sub-project type. The researcher took note of numerous complaints raised by groups in this category during data collection which included: i) disagreement on type of project, ii) lack of market link, iii) group dishonesty and theft, iv) corruption by group leaders, and v) intra group conflicts.

Compared to animal traction sub-projects mostly located in rural areas, the researcher also noted complexities when organizing groups in urban areas, possibly because the urban

areas constitute people from different backgrounds, whereas villages still have strong blood lineage or clan relationship, which make rural people viable to organize themselves to work together.

#### **4.7.2 Economic sustainability**

Expected growth in incomes is the major reason for carrying out livelihoods. A sustainable livelihoods should be able to fetch incomes that can meet both the current and future needs of the persons involved, otherwise, the livelihood activity is economically considered not sustainable. Table 4.14 presents summary opinion of the beneficiaries as to whether or not the NUSAF 3 LIS contributed to changes in the income status of the beneficiaries in Adjumani District.

**Table 4.14 Respondents feedback on NUSAF 3’s increase of their incomes**

<b>Response</b>	<b>Frequency</b>	<b>Percentage</b>
<b>Yes</b>	75	97.4
<b>No</b>	2	2.6
<b>Total</b>	<b>77</b>	<b>100.0</b>

Source: Primary Data

The study found that the NUSAF 3 project was a great success in that 75 (97.4%) of respondents interviewed said that the IHISP project increased their incomes and changed their lives, while only 2 (2.6%) mentioned that the project did not change their lives. The two respondents indicated during data collection that their oxen provided died and another was stolen and there was no replacement provided by NUSAF 3.

One visibly excited female respondent beneficiary expressed her appreciation for the animal traction sub-project saying:



“Now I can cultivate more gardens using the ox-plough than when I used to dig using my hands. I have generated more income, which has helped me to pay the school fees of my children.”

Another group member was quoted as saying:

“in our group, we generated more saving which we were able to lend to one of our members who is paying tuition fees for her daughter at the university.”.

Another member of the produce buying and selling mentioned that the project had helped him build his first ever permanent house. For most of the beneficiaries interviewed, the NUSAF 3 LIS project doubled their incomes.

#### **4.7.3 Analysis of estimated annual household income before and after receipt of NUSAF 3 in Adjumani District**

Income is one important indicator for assessing economic growth and development. In the study, it was found that the mean annual income of 58 respondents after the receipt of the NUSAF 3 LIS was UGX 1,352,711.86 up from UGX 685,932.20 before the intervention, which was 97% increase in the mean estimated annual income. Figure 2 shows the estimated annual household income distribution of NUSAF 3 beneficiaries before and after.

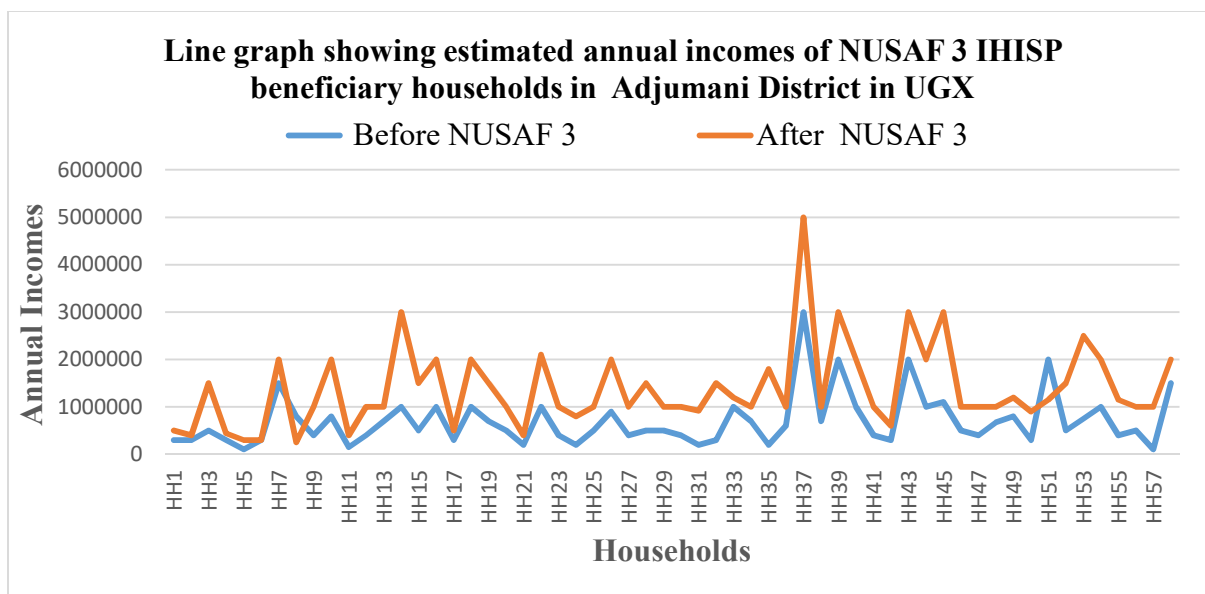


Figure 2: Line Graph Showing Income Levels Before and After NUSAF 3 for 58 Respondents  
 Source: Primary data

In Figure 2, the estimated annual income after NUSAF 3 is above the annual income before NUSAF 3, suggesting an increase in income level attributed to the NUSAF 3 LIS project. Before NUSAF 3, reported annual incomes of most beneficiaries were below UGX 1 million Ugandan Shillings, however, after NUSAF 3 support, the reported incomes of most beneficiaries hit or passed 1 million Shillings. So in conclusion, NUSAF 3 LIS was economically more sustainable.

#### 4.7.4 Environmental sustainability

The study also evaluated whether the NUSAF 3's IHISP project complied with its environmental sustainability measures as stated in the NUSAF Project Appraisal Document, for example the lessening of the effects of cutting down of more trees to open more land for farming since animal traction would be used compared to the initial use of handheld hoes.

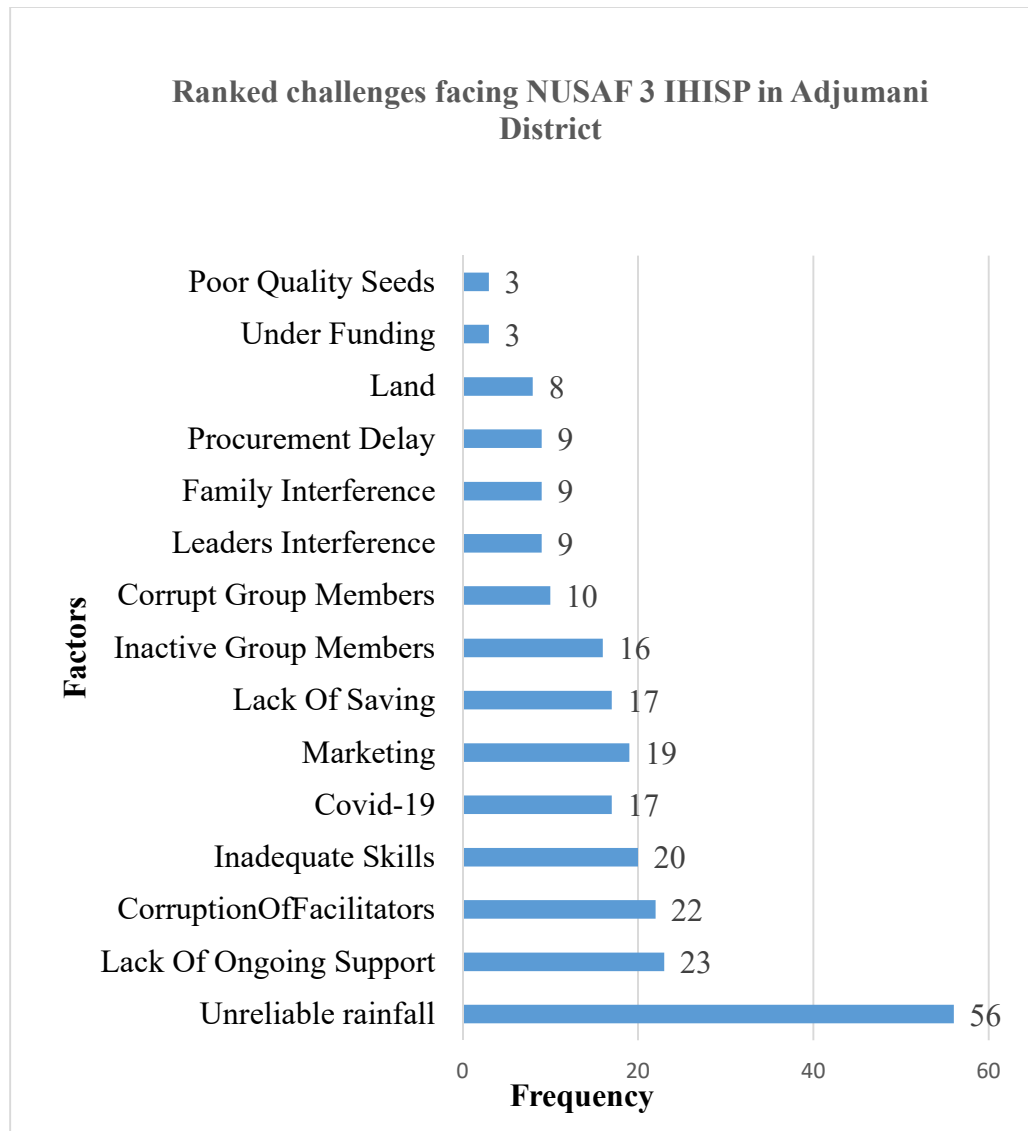
However, all the animal traction respondents interviewed claimed that they were asked to withdraw the money for the tree seedlings from their group funds and pay it in cash to the NUSAF Desk Office for the joint procurement of the seedlings, which they did not receive. One of the LC III chairpersons of the affected sub-counties interviewed, mentioned that he had made a follow-up of the seedlings with the NUSAF office on assuming office after the farmers raised the matter to his attention, however, he was unsuccessful. The researcher believes that this will affect the environmental sustainability of NUSAF 3 as the increased number of trees cut to clear more land for farming attributed to the use of the animal traction have not been replaced.

#### **4.7.5 Social sustainability**

The aspect of social sustainability of a project covers how projects contribute to the improvement of ways of life of the beneficiaries, through equality such as gender and income equality, diversity, and peaceful-coexistence, among others. The NUSAF 3 IHISP had a very clear plan in the Project Appraisal Document, for example, ensuring that the most vulnerable were targeted, gender equality was upheld, as well as promoting social protection and safety nets mechanisms. The study found that social inclusion measures outlined in the project document, especially, targeting the extremely poor and gender equality were implemented.

#### **4.7.6 Analysis of challenges of the IHISP of NUSAF 3**

In any intervention, identifying and analyzing challenges is very important as it also provides basis for mitigation of risks within a project and similar projects in the future. Research data was collected on different challenges faced by the IHISP. Figure 3 highlights the different challenges.



**Figure 3: Other factors that affected NUSAF 3 IHISP in Adjumani District**

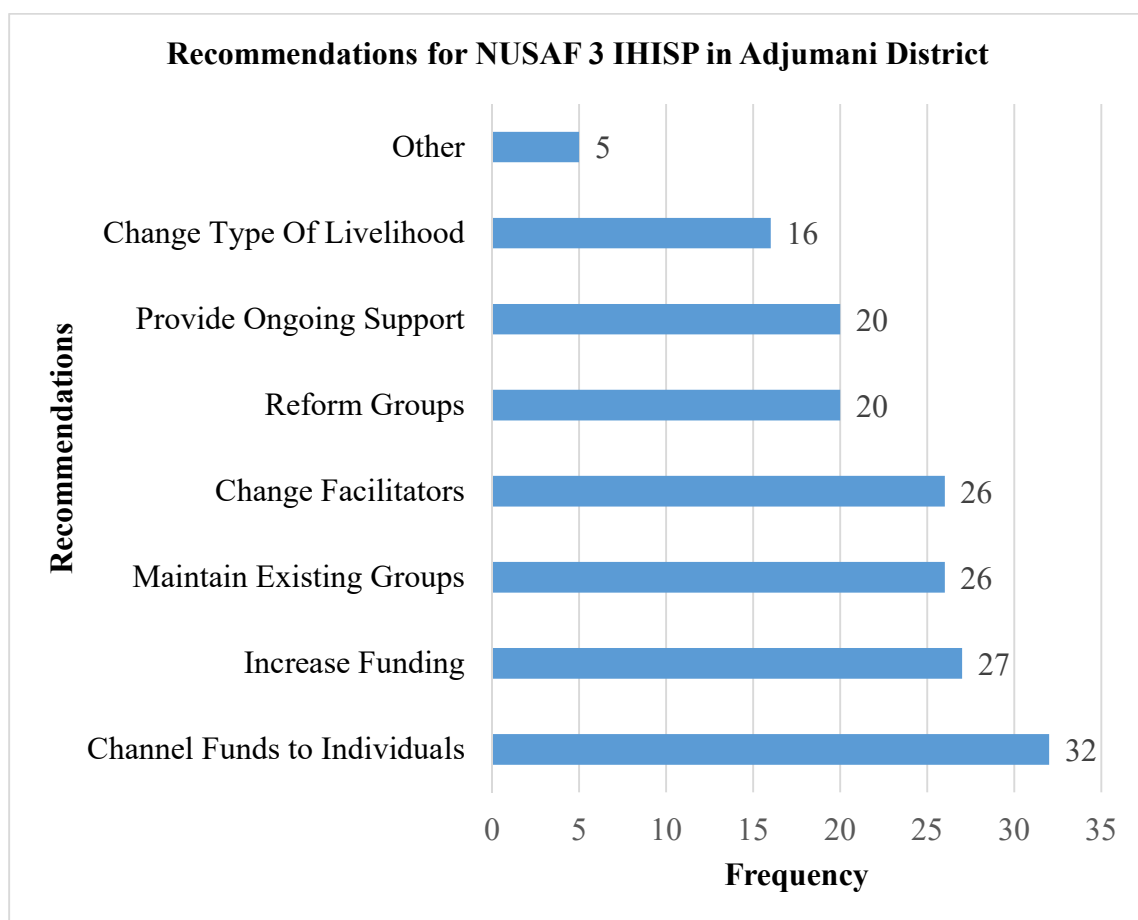
Source: Primary Data

The challenge of climate change characterized by unreliable rainfall pattern was the top ranked challenge reported by 56 respondents (72.7%). This not only affected the animal traction sub-project groups, but also the farm produce buying and selling groups as it created food scarcity in the market and led to skyrocketing of food commodity prices. The challenge of unreliable rainfall was followed by lack of ongoing support reported by 23

respondents (29.9%), corruption of facilitators by 22 respondents (28.6%) and inadequate skills by 20 by respondents (26%) and goes declining to the other factors as in Figure 3.

#### 4.7.7 Recommended measures for similar projects

It is important to collect recommendations from project beneficiaries as key stakeholders to enhance the performance of future projects, and to avoid recurrence of existing potential setbacks which are not identified and planned for in new projects. Figure 4 shows the ranked recommendations obtained from the respondents.



**Figure 4: Suggested Recommendations for NUSAF 3 IHISP**

Source: Primary Data

From the participants interviewed during the study, the highest number of beneficiaries, 32 respondents representing 41.6% prefer channeling funding direct to individuals instead of groups. While 27 respondents, representing 35.1% recommended increase of funding, whereas 26 respondents (33.8%) called for their facilitators to be changed attributed to corruption accusations and just an equal number called for existing groups to be maintained. The importance of the factors declined to 20 respondents (26%) recommending reforms in their groups and the strengthening of provision of ongoing support. Only 16 respondents (20.8%) advocated for change of type of livelihood.

Interestingly, no recommendation came up about the alarming rate of climate change, although participants were able to identify it as a challenge. Global warming effects are the greatest challenge to livelihoods of the people (Baudoin et al., 2014). This therefore calls for rigorous and concerted efforts to ensure practical environmental sustainability measures are included in projects aiming to ensure true sustainability.

# CHAPTER FIVE

## SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

### **5.1 Introduction**

This chapter contains summary of findings of the research with focus on the variables studied, draws conclusions with reference to reviewed literature, theoretic framework and makes recommendations which should guide future similar livelihood projects and research in the topic area.

### **5.1 Community participation in project selection and sustainability of livelihoods**

The study found that project selection decision has some proportional influence on sustainability in livelihoods projects. However, the proportion slightly varied. From data collected and analysed, projects selected by the project beneficiaries has the highest proportion of sustainability (100%), followed by local leaders (88%), then project personnel (86%) and project decided by group members (63%). Therefore, there is evidence to conclude that community participation in project selection determines sustainability in livelihoods.

Although the biggest proportion of the NUSAF 3 sub-project activity were conceived by NUSAF project staff rather than the communities themselves, the activity, especially of the animal traction for crop production met the expectations of most of the beneficiaries, because the assistance was in line with their predominant economic activity – agriculture. In fact to many respondents, the animal traction was a sigh of relief because they were digging by hand before the intervention, which simply helped them to double on what they

were doing before. Besides, other farmers also hired the ox-ploughs, which created additional income streams.

## **5.2 Community participation in targeting and sustainability of livelihood projects**

The study found that community participation in targeting influences sustainability. The high stake of community in deciding who should benefit, when and how showed better results in the sustainability of the animal traction sub-projects of NUSAF 3. The proportion of sustained projects as a total of the different mechanisms of targeting showed slight variances. 82% of projects where targeting was by beneficiaries were sustained (66% of beneficiaries interviewed), compared to 90% proportion of projects where targeting was by local leaders (12% of participants interviewed); 100% each by NUSAF personnel (5% of participants interviewed) and group leaders (1% of participants interviewed).

Therefore, by the proportion of sustainability, there is sufficient evidence to suggest that community participation contributes significantly to sustainability. This concurred with some of the findings of Golooba-Mutebi (2010). However, community participation appears to be more suitable where the criteria is very clear, like vulnerability, which can be assessed by any type of person. Therefore, the study concludes that where targeting includes other criteria, such as motivation, education level, behavior, attitude, skills, capacity, which require certain competence to determine, careful analysis should be done.



### **5.3 Community participation in project design and sustainability of livelihoods**

The study found that community participation in the project design (deliverables, budget, and procurement planning) does not influence sustainability.

It was found that community did not participate in the formulation of NUSAF 3 IHIPS in Adjumani District as the project financier, the World Bank, already laid out deliverables and implementation plan. For example, communities did not participate in the procurement planning.

### **5.4 Intervening effect of providing ongoing support and sustainability**

Apart from the dependent variables of community participation, the study found that providing ongoing support within a livelihood project intervenes in ensuring that the project is sustained. A number of challenges which were faced by the different groups could have been addressed by NUSAF by making a close follow-up, such as field monitoring, supervision and provision of timely guidance to the beneficiaries. For example, the group of produce buying and selling that reported challenge of where to buy the agriculture produce from. The beneficiaries indicated that they had to travel to Gulu, a neighbouring district in the region to purchase beans for resale in Adjumani Town Council. This increased transportation and handling cost. Monitoring could have assisted to link the local animal traction groups to sell their farm produce to the nearby buyers from the produce buying and selling from Adjumani Town Council and also address any other emerging issues. In some groups, the group leaders were accused of lack of transparency on the group funds saved on the group accounts, as a result, the status of their funds were unknown to the other members. Again, close monitoring could have

addressed this challenge. According to many of the animal traction groups, NUSAF facilitators or officials did not return to check on them again after they received their ox-ploughs and oxen. It appears NUSAF projects come like an outburst of a dam and, therefore, makes the provision of quality project management and government oversight very challenging because of limited staffing capacity. Rolling out projects simultaneously in 126 villages in a district is so demanding in terms of manpower to have a meaningful ongoing support.

### **5.5 Sustainability of NUSAF 3 IHISP in Adjumani District**

The study found that NUSAF 3 IHISP was generally a success as it contributed to growth in the income level of beneficiaries in Adjumani District, which resulted in the improvement of living conditions of the people.

#### **5.5.1 Economic sustainability**

In terms of economic sustainability, most of the livelihoods sub-projects have been sustained as 64 participants, representing 83.6% of total respondents interviewed confirmed that their activities were still ongoing. They were also saving in their respective lending and saving groups. Therefore, the project created a sustained source of self-employment and access to the acquisition of assets.

#### **5.5.2 Social sustainability**

The groups have cohesion, majority of the group members interviewed indicated that they were happy in their groups, who were committed to a common goal of saving. This could also be attributed to how the groups were formed at will and the inter-relationship and peaceful co-existence which existed between members of the same village community.

This relates to Lohan et al (2013) study that found positive co-relation between group cohesion and group performance, although the same study varied on group decision making under time constraints.

### **5.5.3 Environmental sustainability**

The study found that the sub-projects also contained aspects of group saving, which is worthwhile for saving of cash to meet future needs. However, a challenge discovered with it was that farm harvests were not done on weekly basis, yet group members committed themselves to saving on weekly basis. Members interviewed said that they carried out a range of other side income generating activities to ensure that they could generate cash on weekly basis to be able to save in their respective groups. Some members were actively saving in multiple groups, hence opening different fronts of financial obligations within their communities. For example, some members also carried out side businesses, like fish selling, charcoal burning and selling, among others. No wonder charcoal burning is rampant activity in Northern Uganda. The study notes that this is a blessing in disguise because the number of trees cut down for charcoal could surely accelerate global warming, therefore, risking sustainability of the environment as per Chambers and Conway (1991) and the theory of sustainable development, which emphasizes deliberate care for the ecosystem. Worse still, the NUSAF 3 project did not even comply with the environmental mitigation measures of providing tree seedlings to the animal traction CIGs.

## **5.6 Conclusions of the study**

Community participation in selection is the most crucial independent variable that influences sustainability, followed by community participation in targeting. While no

sufficient empirical evidence has been found to conclude that community participation in project design also do influence sustainability of projects.

### **5.7 Policy recommendations**

#### **Selection of project type in consideration to access to land**

The research found that among households depending on agriculture as source of livelihoods, the availability of land played a vital role. However, where the project is implemented in groups, all group members should have the land on which they could carry-out an activity. 10% of the respondents alluded to the challenges of land in the research. Those who do not have land should have been identified prior to the support and be considered for alternative sub-projects. The study recommends government policy on access to land for all, by identifying through existing community structures vulnerable households in communities who may have no land in their places due to their vulnerability as recommended by (DFID, 2002).

#### **Regulation of village saving and lending activities**

The study also recommends that government should set a clear policy on group saving practice. Saving targets and frequency should be based on realistic annual or seasonal income patterns rather than the current weekly for those in the agriculture sector. Weekly savings should be restricted to only safe sources of income without harming the environment and exposing the members to psychological distress and family conflicts over failure to repay group loans.

### **Targeting and social inclusion**

Targeting must involve both the community and an external project staff just for moderation purpose and to ensure social inclusion. For example, a society may reject one member of its own for some behavioural reasons or otherwise. The study recommends a third neutral party is required to be present during targeting to foster inclusivity.

### **Project design / planning for climate smart technology**

For agriculture to be sustainable, future projects should identify and design climate-smart methods of agriculture like irrigation using solar pumped boreholes and water from the river for communities along the Nile River.

In the future, similar projects should consider injecting the money in phases by location, but not rolling out a program simultaneously across a wide geographical area with very tight timeline. This overwhelms local governments' capacity to monitor and control the project. If possible, some of the NUSAF funds should be dispensed through private sector companies like commercial banks as zero interest loans.

### **Provision of ongoing support**

In the medium and long-run, the study recommends the government to step up monitoring, oversight on projects and conduct impact evaluation to measure the achievements of all completed projects to avoid repeating old mistakes in future projects and prioritizing resources to socially, economically and environmentally viable activities.

The result of the study recommends enhanced sensitization, because the sensitization provided by NUSAF 3 was insufficient. For example, many members of the produce buying and selling reported rental payment as one of their challenges. These beneficiaries needed to have been sensitized that rent was part of the cost of operating a business and should be factored within the existing capital. Other farmers, seemed not to have understood the sustainability goal of NUSAF 3, for example, some farmers were demanding for the other seeds of their desire to be provided by NUSAF to change, seemingly unaware of the fact that they were expected to sell their produce and buy the type of seed that they wanted to change to without looking back to NUSAF for another support.

The existing transparency and accountability mechanisms must be put into use to curb corruption. Corruption was consistently reported as one of the top challenges by beneficiaries even in the earlier NUSAF 1 and 2. For example, the study found that the method of selection of the beneficiaries was not transparent at all in some villages and was determined by the village community leader. In some instances, NUSAF facilitators were accused of interfering with the procurement for the project. Some were accused of influencing the award of the contracts. In one village, a respondent mentioned that one NUSAF transparency and anti-corruption monitoring team came to their rescue when they found a supplier delivering tiny calves, which the team rejected and tasked the supplier to deliver the right size of bulls.

## **5.8 Suggestions for further research**

As the focus of this study was animal traction project and produce buying selling, a study is recommended on the other types of sub-projects such as the vocational skilling financed through NUSAF 3's IHISP in Adjumani and other parts of Northern Uganda.

A study is also recommended to compare the context in other districts where NUSAF 3 was implemented.

A study is also recommended on the extent of exclusion by NUSAF 3 and similar livelihood projects possibly through a survey, to ascertain exactly the percentage of the most vulnerable who received intervention and how best future programs could target a wider vulnerable population.

The study did not attempt to dig deeper into the actual gender components of the groups and, therefore, recommends a special survey for gender responsiveness of NUSAF 3.

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## APPENDICES

### Appendix 1: Questionnaire for data collection on NUSAF 3 IHISP

1. Interview Date: -----
2. Interview Location: -----
3. Interviewer: -----

#### SECTION 1: General data (filled for ALL respondents).

**INSTRUCTION: FILL THE BLANKS IN CAPITAL LETTERS AND CIRCLE THE CORRECT ANSWER.**

4. Respondent No. -----
5. Category of respondent (determined by whether or not, respondent received NUSAF 3 support?):  
[1] NUSAF 3 IHISP Beneficiary  
[2] NUSAF Project Staff (including CDOs)
6. Respondent's village where support was received: -----
7. Sub-County: -----Parish-----
8. Respondent Gender: [1] Male [2] Female
9. Respondent Age: -----
10. Marital Status of Respondent: [1] Single [2] Married [3] Separated  
[4] Divorced [5] Widowed
11. Educational Level of Respondent [1] Not attended any school [2] Primary education [3] Secondary education [4] High School [5] Diploma  
[6] Degree [7] Masters
12. Occupation of respondent:  
[1] Agriculture,

- [2] Retail business,
- [3] Unskilled labour (e.g. porter, cook, watchman, etc)
- [4] Skilled labour (e.g. welder, plumber, electrician, etc),
- [5] Professional (e.g. teacher, doctor, etc)

13. Type of livelihood support project beneficiary received funds in: [1] Ox Plough (inclusive of tree seedlings), [2] Buying and selling farm produce

14. If response to preceding question is ox-plough, select crop of specialization

- [1] Cassava [2] Ground Nuts [3] Maize [4] Simsim [5] Soya Beans

**SECTION 2: COMMUNITY PARTICIPATION IN PROJECT SELECTION**

15. Who decided on the type of livelihood activity the responding beneficiary received through NUSAF 3?

- [1] the respondent,
- [2] suggested by another member of the group
- [3] suggested by local leader
- [4] suggested by NUSAF 3 staff / CDOs

16. Was the respondent interested in the choice of livelihood activity selected for financing by NUSAF 3? [1] Yes, [2] No

17. What was/is the first choice of livelihood of the respondent if different? -----  
-----

18. For the type of livelihood project received by the beneficiary, is the respondent confident with his/her livelihood, environmental skills and experience to carry out the activity? [1] Yes, [2] No

19. Was the respondent confident with the skills and experience of the other members of the group to carry out the activity? [1] Yes, [2] No

20. How was the skill acquired?

[1] Informal education from home

[2] Specific training by NUSAF 3

[3] Training from basic school

[4] Training from vocational or technical school acquired before the project

[5] NUSAF 3 staff / CDOs continued to mentor group members

### **SECTION 3: COMMUNITY PARTICIPATION IN TARGETING& PROJECT DESIGN**

21. What was the method of implementing the livelihood activity in which the respondent participated? [1] Individual [2] Group [3] Family

22. If the livelihood was undertaken in a group, how were the groups formed?

[1] Group was already existing for livelihood activities, e.g. Saving and Lending

[2] Members willingly formed the group for the NUSAF 3 project,

[3] Community leaders recommended the group members

[4] NUSAF 3 technical project staff / CDOs formed the group,

[5] Members were selected by group leader

[6] Other

23. How many members were in your group? -----

24. If your group received oxen/ox-plough, how many pairs? -----

25. How much money was given in total for your group for buying and selling produce?

----- (as applicable)

**SECTION 4: NUSAF 3 PROJECT SUSTAINABILITY**

- 26. Is the respondent still operating his/her livelihood activity initiated through the funding from NUSAF 3 project? [1] Yes, [2] No
- 27. Did respondent receive tree seedlings?
- 28. Is, yes, has beneficiary planted and maintained the trees on his/her farm?
- 29. Does respondent consider NUSAF 3 to have changed his/her income status and condition of living? [1] Yes, [2] No
- 30. What was the value of funds or asset in kind from the NUSAF 3 by the individual?  
UGX -----
- 31. What was the estimated annual income level of the respondent before NUSAF 3?  
UGX-----
- 32. What is the estimated annual income generated by the NUSAF 3 livelihood for the respondent at present? UGX -----

**SECTION 5: GENERAL CHALLENGES AND RECOMMENDATIONS**

- 33. In your own view, what were the challenges faced by the NUSAF 3 livelihood projects?
  - [1] lack of or inadequate ongoing support by project facilitators
  - [2] inactive group members
  - [3] inadequate skills/capacity to undertake the livelihood activity
  - [4] corrupt practices of some members of the group
  - [5] interference of local leaders
  - [6] late disbursement of funds



- [6] lack of saving attitude
- [7] family member's interference
- [8] marketing challenge
- [9] lack of land
- [10] effects of Covid-19,
- [11] natural factors
- [12] corrupt practices by technical staff
- [13] Others (specify) -----

34. What is your recommendation for a similar livelihood project to be sustainable in the future?

- [1] channeled to individuals,
- [2] groups should be reformed
- [3] channeled to existing group
- [4] type of livelihood should be changed
- [5] the project should use new technical staff
- [6] Funds should be increased
- [7] funds should be reduced
- [8] mentoring, monitoring and ongoing support should be increased
- [9] Other (specify) -----

THE END. Any Questions?. Thank you for your time.

## Appendix 2: Introduction Letter for Data Collection



**UNIVERSITY OF NAIROBI**  
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Our Ref: **L50/37605/2020**

**November 3, 2023**

### **TO WHOM IT MAY CONCERN**

**RE: INTRODUCTION LETTER- ERIKU RICHARD ARK**

The above named is a registered Master of Arts in Project Planning Management student at the Faculty of Business and Management Sciences, University of Nairobi. He is conducting research on "**Sustainability of Livelihood Projects: A Case of the Third Northern Uganda Social Action Fund (Nusaf 3) Livelihood Investment Support (Lis) In Adjumani District, Uganda**"

The purpose of this letter is to kindly request you to assist and facilitate the student with necessary data which forms an integral part of the thesis.

The information and data required is needed for academic purposes only and will be treated in **Strict-Confidence**.

Your consideration will be highly appreciated.

A handwritten signature in black ink, appearing to read 'J. Wanjare'.

**Prof. Joshua Wanjare**  
**Associate Dean, GBS & R**  
**Faculty of Business and Management Sciences**

*JW/pgg*

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