

# The implementation of development aid in the sector of water, sanitation and hygiene: a case study of Lebanon

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Bachelor Thesis

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## Abstract

This bachelor thesis provides knowledge about the factors and stakeholders involved in the implementation and the effectiveness of development aid in the sector of water, sanitation and hygiene (WASH), using Lebanon as case study. The descriptive research question posed is: *What are the factors influencing the implementation of development aid by sector-specific state actors in the sector of water, sanitation and hygiene in Lebanon between 1990 and 2017?* Three sub-questions addressing relevant concepts have been formulated examining the factors supporting and hampering the implementation process, the stakeholders involved in the process and the effectiveness of aid implemented. The research method of a realistic literature review following the criteria of Pawson (2005) is used to conduct a qualitative data analysis of secondary data. Three programme theories addressing each of the three sub-questions have been constructed and refined by extracting data from pre-selected policy papers published by state actors. Due to an insufficient amount of data the central research question can only partially be answered. However, this research identified further relevant factors supporting the implementation, identified that other stakeholders are involved apart from the respective governments and that most papers address monitoring and evaluation. For future research it is recommended to look for a more comprehensive amount of data, in order to fully answer the research question.

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## 1.0 Introduction

This Bachelor thesis addresses the issue of development aid implementation in the sector of water, sanitation and hygiene in Lebanon. According to the 'Fragile state index' Lebanon is considered as a fragile state, the country is ranked on place 43 out of 178 countries (Fragile State Index, 2017). To increase the water supply for the people in fragile states, development aid from bilateral and multilateral donors is needed to secure access to drinking water, improve sanitation facilities and hygienic conditions. In particular, in Western Countries people should acknowledge that access to water is a human right. "On 28 July 2010 the United Nations General Assembly explicitly recognized the human right to water and sanitation and acknowledged that clean drinking water and sanitation are essential to the realisation of all human rights" (UN, 2010). Besides that, Goal 6 of the 'Sustainable Development Goals' set by the UN aims to 'Ensure access to water and sanitation for all', which demonstrates the urgent need of progress in this particular sector (UN, 2017). Not only recognize international organization the urgency of the matter, but states as well, according to the German Federal Ministry of Economic Cooperation and Development, "one of the key challenges of the 21th century is to secure a sustainable water supply and provide a growing world population with as much safe water as they require in order to meet their basic needs" (BMZ Water Strategy, 2017). Yet, many people in fragile states, including Lebanon, are dealing with inadequate water supply and have to face insufficient sanitation utilities, thus experiencing a low level of hygiene. People in Western countries wonder, what happens with the large amount of money donated or lent by governments, by private donors or by international organizations to fragile states?

The problem addressed in this study is the insufficient development aid in the sector of water, sanitation and hygiene, more specifically whether this depends on the factors influencing the implementation process, its stakeholders or effectiveness of aid in this sector. Particularly in Lebanon the scarcity of water is a huge problem for the population. "Lebanon experienced a civil war that lasted for more than 15 years from 1975 to 1990. The duration and severity of the war led to a huge devastation of the physical, human and social capitals" (Dibey, 2007:1). The consequences of the civil war and the conflicts that followed afterwards are still visible today. Lebanon is a densely populated country, according to the World Bank (2016) there are around 6 million people currently living in Lebanon, the Government of Lebanon in October 2016 estimated that 1,5 million of those are Syrians who fled the conflict in Syria (Government of Lebanon, 2017). The high influx of refugees entering the country in a short period of time has challenged the country in a new way and has "put the country's water supply under mounting pressure: UN- Habitat estimates that demand on water services has increased by almost 30 per cent since the crisis began" (Walnycki, 2017). The refugee crisis Lebanon faces, makes the case of Lebanon an urgent one. "But the backstory to Lebanon's water crisis far predates the influx of Syrian refugees. Decades of civil unrest and underinvestment, followed by episodes of conflict driven by regional and sectarian tensions, have splintered towns and cities"

(Walnycki, 2017). This statement shows that not only the high influx of refugees in the past years has put the system under pressure. Foremost the civil- war like circumstances persisting in Lebanon for decades make it increasingly difficult to maintain water services. Since the end of the civil war in 1990 up until today Lebanon heavily relies on development aid due to its enduring instability. In 2016 Lebanon has, according to the World Bank, received 1,138,520,000 US Dollar of net official development assistance and official aid (The World Bank, 2016). In spite of the development aid given by bilateral and multilateral donors, the water crisis in Lebanon is worsening. The depicted situation in Lebanon lead to the following research question: *What are the factors influencing the implementation of development aid by sector- specific state actors in the sector of water, sanitation and hygiene in Lebanon between 1990 and 2017?* The long history of instability and the current developments make Lebanon an interesting and unique case to investigate.

### **1.1 Political-administrative context of Lebanon**

The Lebanese Republic with its capital Beirut is located in the Middle East, neighbouring the countries of Syria and Israel. Since its independence from France in 1943 the country has been marked by its crisis but also by prosperity built on its position as a regional centre for finance and trade. The civil war lasting from 1975-1990 was followed by years of social and political instability. The Lebanon-based Hezbollah militia and Israel exerted attacks against each other and fought a brief war in 2006. Lebanon is officially a sovereign state and a parliamentary republic. The population of Lebanon consists of Shia Muslims, Sunni Muslims, Christians and Druze, also Palestine and Syrian refugees are living in the country. This diversity is also reflected in the government of Lebanon, shown by the last parliamentary elections in May 2018. Lebanon has a highly fragmented political landscape. Politically, the ‘Taif Agreement’, ratified in 1989, provided the basis for the ending of the civil war and the return to political normalcy in Lebanon. The Lebanese government is resilient on the one hand, and instable on the other hand because political positions are given based on religious affiliation. This makes the country politically challenging. The complexity of Lebanon can be shown by the example of the legal system, which is a mixed legal system of civil law based on the French civil code, Ottoman legal tradition, and religious laws covering personal status, marriage, divorce, and other family relations of the Jewish, Islamic, and Christian communities (CIA, The World Factbook: Lebanon, 2018).

The water sector in Lebanon is characterized by administrative challenges. The Council for Development and Reconstruction is a Lebanese governmental organization that is in charge to rebuild infrastructure after the civil war in 1990 and the war with Israel in 2006, which also is responsible for rebuilding of water and sanitation facilities. The Water law 221 passed in 2000 was a milestone, because it reorganized the entire sector. Since then the water supply is managed by four governmental regional water providers and sanitation is organized decentralized by municipalities (Aquatat:Lebanon, 2008). Apart from that the Ministry of Energy and Water is responsible for policy setting, which also published the ‘National Water Sector Strategy’ in 2010. The ‘National Water

Sector Strategy' set the goal "to ensure water supply, irrigation, and sanitation services throughout Lebanon on a continuous basis and at optimal service levels, with a commitment to environmental, economic and social sustainability". USAid compiled a water and development country plan for Lebanon (n.d.: 2) which describes the situation in the country: "Lebanon is on the threshold of water scarcity, with surface water heavily exploited and groundwater already in overdraft. Lebanon has a slightly higher rate of household connections (79 percent) than the average for the Middle East North Africa (MENA) Region (75 percent), but trails behind many countries of the region, including Egypt and Algeria (80 percent), Morocco (90 percent)." The 'Global Water Strategy' (2017:29) published by the U.S. Government further outlines the precarious situation in Lebanon "Only 48 percent of the population has access to safely managed water, while 20 percent has access to safely managed sanitation. Unsustainable water use practices, poor management of wastewater, and water treatment problems collectively reduce the availability of drinking water. Much of the country's infrastructure remains outdated and vastly inadequate to provide reliable service delivery." Beyond that explains the BMZ Strategy Paper (2017:5) another dimension of water scarcity and warns that "Competition for water will increase – both nationally, and in relation to transboundary water bodies. This can give rise to social, domestic and transboundary conflicts that adversely affect social stability and regional development. As water scarcity increases there is a growing risk that violent conflicts may ensue." This word of warning is also a matter of concern for Lebanon and the neighbouring countries. In order to improve the water supply, sanitation and hygiene situation in developing countries and as well in other fragile states has UNICEF initiated the WASH Programme, "WASH is the collective term for Water, Sanitation and Hygiene. Due to their interdependent nature, these three core issues are grouped together to represent a growing sector. While each is a separate field of work, each is dependent on the presence of the other" (UNICEF, 2016). The WASH Initiative was founded 2009 and is a coalition of international NGOs, national governmental authorities and local grass-roots movement. The core of the WASH agenda, are the targets of the sustainable development goal 6 of the UN, which aims to 'ensure availability and sustainable management of water and sanitation for all'. The programme is made to educate and raise public awareness and is therefore linked to the education and health systems of the countries, which is also the case in Lebanon. Due to the initiative the sector including water supply, sanitation and hygiene is often named WASH sector in the media, in policy papers or in other reports. The abbreviation WASH is used interchangeably with water sector in this study.

According to the World Bank it is difficult to make statements about the Lebanese poverty rate, because "The latest official poverty rate is based on data from 2011-12 and cannot be used for poverty projections due to the substantial structural changes that the country has been undergoing in large part due to the large refugee influx" (World Bank, 2018). The influx of Syrian refugees also contributed to a higher level of unemployment in Lebanon. Further details about Lebanon's economic situation, the country suffers from a very high degree of public debt and has in terms of the ratio of debt-to-GDP the

third highest public debt in the world. That has severe consequences for the governments' ability to invest in the Lebanese infrastructure and other public goods, since 48% of domestic governments' revenue is already spend for the interest payments. Moreover, the Lebanese economy is service-oriented and the main growth sectors are banking and tourism but also trade is extremely important to Lebanon's economy. The combined value of exports and imports equals 121 percent of the GDP (Index of Economic freedom, 2018). Beyond that, "the International Monetary Fund warned that Lebanon's economic situation remains fragile due to slow GDP growth and rising public debt" (The Daily Star Lebanon, 2018) . This illustrates that Lebanon relies heavily on foreign aid. The major bilateral aid donors to Lebanon are Western states, especially the USA and some European countries and also Western-allied Gulf countries such as Saudi Arabia or Kuwait, and Iran (Combaz, 2013). To conclude, the Lebanese economy is fragile and has been challenged by the civil war in Syria as well as by the high influx of Syrian refugees entering the country in the past years.

This Bachelor thesis is organised as following, this first chapter introduces the topic of the thesis, discusses the context and the scientific and societal relevance of the thesis, the second chapter presents the theoretical and conceptual framework, the third chapter addresses the methodology used, the fourth chapter provides the analysis and the last chapter concludes the main findings of the analysis and gives an answer to the central research question of the thesis.

## **1.2 Societal and scientific relevance**

In previous research the focus either has been on the impact of donor countries aid allocation (White, 2003) or on strengthening state capacity in fragile states conducted by for example Eade (2007) and Brinkerhoff and Morgan (2010). Besides that a lot of research has been conducted on the effects of foreign aid on economic growth, for example Monkam's research (2008). This study is scientifically relevant because it facilitates new insights of the case of Lebanon in this specific sector and therefore contributes to the existing literature. However, societal relevance relates to the importance of the research for the society as a whole (Geurts, 1999). The chronic water scarcity is experienced in different ways but undoubtedly affects the entire population, from the wealthy Lebanese living in the capital city of Beirut down to the poorest refugee family living in camps. In addition, the findings can be used for a more effective implementation of development aid in the sector of water, sanitation and hygiene in other fragile states as well. Besides that, the research is not only of relevance for fragile state but shall also provide a better insight in the process of development aid spending by state-actors of developed countries. In addition to the societal relevance is the research conducted in this study relevant for the scientific world as well. For scholars, this study complements existing research on development and provides an opportunity to better understand the conditions under which aid can be most effective. The topic is interesting from a theoretical point of view because previous studies have rarely employed on the factors influencing the implementation of development aid in this specific

sector. The knowledge gained from this research is adding to the existing pool of information in this interdisciplinary field of research.

### 1.3 Central research question & sub-questions

The central research question asked in this Bachelor thesis is the following:

What are the factors influencing the implementation of development aid by sector- specific state actors in the sector of water, sanitation and hygiene in Lebanon between 1990 and 2017?

The following sub-questions have been defined to give a more precise answer to the central research question:

1. What are the factors that support and hamper the implementation of development aid in the sector of water, sanitation and hygiene?
2. Who are the stakeholders involved in the process of sector- specific development aid implementation?
3. To what extent is development aid given by state actors to the sector of water, sanitation and hygiene effective?

The central research question is a descriptive question followed by three descriptive sub- questions, which are added to get a more detailed picture of the core concepts such as development aid, implementation factors and aid effectiveness. Moreover, the central question aims to identify factors which are supporting or hampering the implementation of development aid by sector-specific state actors to Lebanon. The research questions help to provide an in depth analysis of the implementation process of development aid in a fragile state in a particular aid sector. The core concepts used in the research question and its sub-questions are elaborated in the theory chapter 2.0 of this bachelor thesis.

The introduction chapter introduced into the topic of development aid implementation in the water sector in Lebanon, pointed out the urgency of the matter and described the political-administrative context in Lebanon. Furthermore, the chapter outlined the societal and scientific relevance of this bachelor thesis and presented the central research question and its sub-questions.

## 2.0 Theory

The second chapter addresses the theoretical and conceptual framework of this study. Existing theories from scientific literature relevant for this study are discussed in this chapter. Firstly, two general concepts for this study are outlined, followed by the discussion of the three main concepts, namely development aid, implementation factors and aid effectiveness which are used in the research question and its sub-questions. The conceptual framework is presented at the end of this chapter.



## 2.1 Theoretical framework

In this section of chapter 2 the theoretical concepts relevant for this study are discussed.

### **Fragile states**

This bachelor thesis deals with the case of Lebanon, a country that is considered as a fragile state. Yet, Lebanon is according to the World Bank (2018) an upper middle- income country. That a fragile state is not necessarily a developing or low-income country is an important distinction to note. Lebanon is classified by the World Bank as an upper middle- income country and still can such a country perform badly in terms of state legitimacy, providing security and public services for its citizen, suffer from economic instability or brain drain or demographic pressures (Fragile State Index, 2018). Besides those factors, political instability and a fragmented multi-ethnic society can make a country a fragile one and increase the risk of a new outbreak of a civil war, which is also the case for Lebanon. The distinction of terms is considered important therefore Lebanon is referred to as a fragile state throughout this study. In recent years, state fragility has gained importance at the international level as a result of the perceived links between poverty, conflict and global terrorism. However, not one conform definition could have been formulated and fragility is defined in various ways. According to the States of Fragility Report (2016:22): “Fragility is defined as the combination of exposure to risk and insufficient coping capacity of the state, system and/or communities to manage, absorb or mitigate those risks”. This implies that fragile states are typically defined by its instability. Brinkerhoff (2010:66) defines in his paper state fragility as follows: “Fragile states have governments that are incapable of assuring basic security for their citizens, fail to provide basic services and economic opportunities and are unable to garner sufficient legitimacy to maintain citizen confidence and trust”.

Brinkerhoff (2010:66) also puts a strong emphasis on the citizens in his paper, he states that: “Fragile states have citizens who are polarised in ethnic, religious or class-based groups, with histories of distrust, grievance and/or violent conflict. They lack the capacity to cooperate, compromise and trust”. His statement points out that it is for several reasons difficult to reinstall stability. Besides that, he alludes that “Post-conflict and recovering states need to identify and pursue pathways to rebuilding capacity and filling deficits, and to avoid the ever-present risks of backsliding. Countries that have experienced violent conflict face a 40 per cent risk of renewed violence within 5 years”(Brinkerhoff, 2010:66). A fragile state is struggling at almost all levels and sectors of the country and has not only one gap to fill, resulting in a challenge not only for the countries and their citizens but also for developed countries attempted to help them. From experience it is known that “fragile states are the hardest countries in the world to help develop. Working with them is difficult and costly and carries significant risks. Aid programmes in fragile states pose difficult policy dilemmas“(DFID, 2005:5). Robert Zoellick, the president of the World Bank, adds on to this and manifests in his paper that “fragile states are the toughest development challenged of our era” (Zoellick, 2008: 68). The literature

about fragile state is still emerging and Bertoli argues that “The loosely defined character of the concept of fragility is a disturbing feature from both an academic and a policy-oriented perspective, as it produces an unwarranted perception of coincidence among rather different approaches which use the same jargon” (Bertoli, 2012: 212). This statement shows that it needs more fragile state-specific research in the scientific world to provide a full picture. For this study, the definition from the ‘State Fragility report’ of 2016 is used to define the concept of Fragility.

### **State actors**

The research question deals with development aid spent by state actors to Lebanon, thus bilateral aid. Therefore in the following paragraph the concept of state actors and their role as donors outlined. According to international relations literature state actors are governments and their ministries themselves or agencies acting on behalf of the government. From research appears that many countries channel most of their aid budget through multilateral institutions instead of bilateral donation. But as Collier and Dollar (2004: 267) point out, “The allocation of an aid budget is a political process. Donors have multiple objectives, the weighting of which will differ among governments.” The objectives and also aid motives differ from country to country. Alesina and Dollar (2000: 4) have found in their study different donor patterns among countries: “We also find significant differences between donors. Certain donors (notably the Nordic countries) seem to respond more to the “correct” incentives, namely income levels, good institutions of the receiving countries, and openness. Other countries (notably France) give to former colonies tied by political alliances, without much regard to other factors, including poverty levels or choice of politico-economic regimes. The United States’ pattern of aid giving is vastly influenced by that country’s interest in the Middle East.” Then again, Berthelemy (2006:193) states that not only the patterns but also the motives among aid donor countries differ: “Switzerland, Austria, Ireland, and the Nordic donors (with the relative exception of Finland, and possibly Sweden) have been so far much more altruistic than other donors. Conversely, Australia, France, Italy, and to a significant extent Japan and the United States, are more egoistic than the other donors”. This shows that, to whom, how much, why and how aid is spent from donor country to recipient country is influenced by many motives. Breuning (2003: 251), another scholar, sums up different explanations in his paper, firstly: “that some characteristic of the recipient state such as need, or the fact that the recipient is of some security interest to the donor affects the level of aid provided by the donor state. Second, there are those explanations that focus on the notion that political, cultural, and economic characteristics of the donor state affect the amount of aid provided.”

Followed by the donor countries objectives and motives for aid is ultimately the aid allocation of significant importance for the recipient countries. In recent years the aid allocation has emerged to a hotly discussed topic within the aid community. Alesina and Dollar (2000:1) explain in their paper that

the aid allocation decision is based on the following grounds, “We find considerable evidence that the direction of foreign aid is dictated by political and strategic considerations much more than by the economic needs and policy performance of the recipients.” Whereas most of the scholars argue that policy performance play the leading role in the aid allocation. McGillivray (2005: 2) notes that, “While many bilateral donors’ allocation decisions are often heavily influenced by criteria other than poverty reduction, there has in practice been a move towards greater selectivity, with donors concentrating aid on fewer good performers. Accompanying this move has been an increasing concern for allocations to fragile states”. This impression of aid allocation is shared by Bertoli (2012:214), “The flipside of a performance-based allocation mechanism was that some countries became aid orphans, as countries characterised by what was judged as poor and not development-oriented governance recorded sharply declining and volatile aid flows”. Other scholars such as Brinkerhoff (2010: 67) also detected this aid allocation behaviour, “Donors began to channel grants and loans to countries with demonstrated performance records. The dilemma for performance-based assistance models is what to do about fragile states. By definition, countries in these categories have not developed the kinds of capacities that favour success and the effective use of external assistance”. This aid allocation behaviour by donor countries can accordingly to McGillivray (2003: 172) be explained by the following logic: “This is thought increase the ‘poverty efficiency’ of aid: giving preference in aid allocation to countries with better policy regimes means that the overall impact of aid on growth is higher, which in turns means that poverty reduction is greater”. But this donor behaviour involves an enormous risk for fragile states which usually perform poorly thus receive less aid based on their bad performance, what ultimately leads to an increasing risk of poverty in fragile state.

In the following paragraphs the three main concepts used in the research questions are discussed.

### **Development aid**

The first main concept used in this study is development aid. Commonly, the term of foreign aid is used when discussing aid spent by multi- or bilateral donors. Diego (2010: 2) explains this umbrella term as follows “The term foreign aid is a broad classification that refers to the distribution of humanitarian, developmental, or military aid by a foreign party to a domestic party”. Buffardi (2011:1) explains the long tradition of foreign aid, “Foreign assistance has been one mechanism through which countries have sought to reduce poverty and stimulate economic development, with more than \$2.3 trillion in aid disbursed over the last half century”. The focus of this study lays on development aid, which can be defined as: “Development aid as aid expended in a manner that is anticipated to promote development, whether achieved through economic growth or other means” (Minoui & Reddy, 2009:7). The following distinction is important to note in order to avoid confusion for the reader. Namely that, “Developmental aid differs radically from humanitarian aid in that it has immense political roots and focuses on long-term economic and social development” (Diego, 2010:3). Furthermore, the

Development assistance committee (DAC) from the OECD defines official development assistance (ODA) as “flows to countries and territories on the DAC list of ODA recipients and to multilateral institutions which are: provided by official agencies, including state and local governments, or by their executive agencies and each transaction of which: is administered with the promotion of the economic development and welfare of developing countries as its main objective” (OECD, 2018). Lebanon is classified from the OECD as an upper-middle income country and thus receives as well official development aid.

However, Buffardi (2011: 79) states the downsides of development aid in her paper. “The nature of donor aid flows has been criticized on three separate fronts: for providing an insufficient level of funding to meet the needs of low and middle income countries, for the volatility of aid flows, and for being ultimately self-serving in the form of ‘tied’ aid, meaning that funds must be spent purchasing goods and services in the donor country”. Furthermore, this study focuses on bilateral aid spent from one donor country to one recipient country, in this case Lebanon. Ram (2003: 98) claims in his paper that bilateral programmes “have important strengths and functions. They have particular knowledge, historical ties, and close relationships with particular recipient countries. They have experience and skills in specific fields of development often superior to those of multilateral agencies”. Lebanon the country of choice for this case study has a long history of receiving development aid “In the first phase lasting from 1992-97, foreign aid was mainly channelled towards providing resources for post-war reconstruction projects. The second phase from 1997 to the present witnessed a qualitative shift in foreign aid utilization from reconstruction needs towards financial stability and balance-of-payments equilibrium needs” (Dibeh, 2007:1). This shows that especially since the end of the civil war in 1990, foreign assistance has been essential for the post-war reconstruction in Lebanon. Compared to decades ago, little has changed concerning Lebanon’s dependence on foreign assistance.

### **Implementation factors**

For decades much research effort has gone into state capacity of fragile or developing countries, development cooperation and aid effectiveness has also been discussed extensively. But the concept of implementation factors for development aid is a rather unstudied phenomenon and a gap in the literature has been identified by the researcher. Matland (1995) has discussed policy implementation, and he combined the existing top-down and bottom-up approaches from public administration theory to create a two-dimensional matrix to get to the bottom of how policies actually get implemented. Those two dimensions are policy ambiguity, meaning the ambiguity of goals and means and policy conflict. According to Matland (1995:157) conflict is often existent in policy implementation; he defines it as follows “For conflict to exist there must be an interdependence of actors, an incompatibility of objectives, and a perceived zero-sum element to the interaction.” But apart from Matland’s policy implementation research paper, the theoretical discourse of scholars who researched

on effective implementation is very diverse. The paper from Buffardi (2011:75) presents that “Previous research suggests that recipient country implementing environments play a significant role in mediating the impact of aid”. However, the factors influencing the implementation process of development aid depend not only on the recipient country but also on the donor country. Another scholar argues that “The state is however the main actor in the development process” (Niyonkuru, 2016:1). While Buffardi (2011:78) identified in her paper that donor country factors are hardly studied: “Given the importance of recipient country factors in previous aid effectiveness studies and the potentially powerful influence of development donors in shaping aid goals and implementation, the neglect of donor factors is surprising. Currently, however, there exists no conceptual framework or set of operational variables with which to examine their role.” Whereas, Elayah (2016: 82) points out in his paper that parties on both sides are struggling to facilitate conditions where aid can be implemented smoothly, “More precisely, these factors of deficiencies are locked within a vicious circle of corruption, weak policies and fragile institutions in recipient countries, on the one hand, and problems and objectives within the donor countries and organizations themselves, on the other”.

A study conducted about development aid project implementation in Afghanistan showed that “Study results highlight that the national (recipient) government’s political support and the quality of international project leadership consistently influence project success” (Kadirova, 2014: 887). She found that for a successful implementation governmental support on all levels is needed. “The national government’s support is comprised of the quality of support rendered by the national government ministries and agencies at various levels of authority, various levels of groups that have the power to influence performance for project implementation “(Kadirova, 2014: 888). Her results confirm the ones presented by Buffardi (2011:78), namely that it is of utter importance to “understand what factors influence project implementation success in a post-conflict setting and apply such knowledge to improve the effectiveness of similar undertakings in the future” (Kadirova, 2014: 888). Ouma (2012:5), who studied factors affecting the effective implementation of donor funded project in Kenya, identified in his research the following factors: “adequacy of funding, timing of funds disbursement, adequacy of human resource capacity, lack of accountability (and) procurement procedures and bureaucracy”. The process of implementation of development aid varies from country to country. The challenge to implement development aid is especially visible in fragile states, such as Lebanon. The Lebanese government stated in their ‘crisis response plan 2017-2020’ that “Public services are overstretched, with demand exceeding the capacity of institutions and infrastructure to meet needs” (Government of Lebanon, 2017). That results in struggles to implement and coordinate development aid from donor countries and actually support the Lebanese population in an efficient way. Despite the incapacity should donor countries continue with their aid projects, since “in times of incapacity of the state to meet the economic commitment to render its primary services to the society, donors (both local and international) lenders of all origins intervene through loans, grants, aid” (Niyonkuru, 2016:9). That demonstrates also the responsibility donor countries have. The theoretical discussion of

implementation factors showed primarily that more research needs to be done, “Broadening the scope of aid research to investigate the ways in which donors influence aid goals, implementation, and effectiveness may offer new insights to the persistent puzzle of how aid could best be configured to maximize its impact in reducing poverty and improving human development” (Buffardi, 2011: 76). All in all, the implementation processes are influenced by many factors such as weak policies, incapable institutions, adequacy of funding and timing and also human resource capacity to organize the process is relevant.

### **Aid effectiveness**

Aid effectiveness is another main concept of this bachelor thesis and the theoretical discourse that speaks about aid effectiveness is extensive, yet fragmented and full of contrasting views. Over the past decades the literature about aid effectiveness has shifted from studies confirming that aid works or does not work towards more controversial conclusions, leading to a debate between scholars about “That debate centres on whether the effectiveness of these inflows depends on the policy regime of recipient countries” (McGillivray, Feeny, Hermes, & Lensink, 2006: 1031). Most scholars agree on the general finding that “aid works to the extent that in its absence, growth would be lower” (McGillivray et al, 2006: 1031). But about other dimensions regarding aid effectiveness, the views are highly controversial. Particularly the effectiveness of aid in fragile states is doubted, “The international donor community has grave concerns about the effectiveness of aid to countries it classifies as ‘fragile states’” (Feeny & McGillivray, 2008: 1). According to Bertoli (2012:224) aid donation is evolving in fragile states. She points out the transformation from a higher aid budget to more effective aid, “The early approaches to the definition of fragility had the merit of calling for action, although the challenge for donors was not just to scale-up aid, but also to improve its effectiveness”. Other scholars look on both sides of the aid flow to explain the effectiveness of aid, “One reason is the poor performance of the bureaucracies of the receiving countries. The other reason is the pattern of the flows of foreign aid. The allocation of bilateral aid across recipient countries provides evidence as to why it is not more effective at promoting growth and poverty reduction”(Alesina & Dollar, 2000:22). Another dimension of aid effectiveness is long and short term effectiveness, which is discussed by Bertoli (2012:216). She states that “In fragile countries, for instance, general budget support, which could contribute to the strengthening of state institutions, faces the risk of a limited effectiveness as far as major development outcomes are concerned in the short run”. Furthermore, she is concerned that fragile states are rather neglected than supported by donor countries, according to her view “the main target for the donor community is to ensure that aid-allocation rules and practices do not disadvantage fragile countries and to improve aid effectiveness in these countries. Hence, the label of fragile country would mainly signal the high priority for the donor community to improve aid effectiveness with regard to the countries which are defined as such” (Bertoli, 2012:216).

Elayah (2016: 82) shows another dimension of aid effectiveness, namely the discussion taking place in the media about the lack of effectiveness of foreign development aid. He concludes that “such discussions may have contributed to the contradictory conclusions being drawn with regard to what reasonable and acceptable justifications are for the granting of development assistance. Such contradictory conclusions have also impacted on aid assistance for economic growth and institutional reforms in recipient countries”. Whereas other scholars are sceptical about the effectiveness of aid, Collier & Dollar (2004:267) strengthen the importance of aid and that it is effective, but differently in each country and context. “Over the last few years this has changed radically. Aid has now been shown to be effective in reducing poverty, in reducing the risk of conflict, and even in assisting policy reform. To the charge that ‘if aid is so effective, why have poverty and conflict not been reduced?’, we and others have proposed that aid is conditionally effective.” There are circumstances in which it reduces poverty, circumstances in which it reduces conflict risk, and circumstances in which it assists policy reform. Conclusively, aid effectiveness is a controversial topic within the complex context of foreign aid. Buffardi (2011:86) sums up the situation in her paper in the following words, “More than a half century after the formal inception of systems of international assistance, the complexity of the aid pathway, with its multiple stakeholders, objectives and implementation mechanisms continues to create much uncertainty regarding the ways in which aid can most effectively achieve its many goals”. Although, the theoretical literature examining aid effectiveness is extensive, there is still room for improvement to conceptualize it more coherently. Thus, aid effectiveness for this bachelor thesis is seen as aid that is implemented in the recipient country.

## **2.2 Conceptual Framework**

The theoretical perspectives discussed in the previous section outline the current knowledge on the concepts relevant for the research question of this study. Those concepts are integrated in already existing public administration theory, for example principal- agent theory or new public management (NPM). Elements of NPM are easier to recognize in this study than elements of the principal-agent theory. According to Frederickson, Smith, Larimer & Licari (2016: 95) is the approach of NPM to use business administration and apply them in public administration and governance. With other words, manage the governmental tasks like the government would be a company. This is relatable to the idea of donor countries’ governments who spend or invest development aid with the aim to achieve the most with the money spent, thus reach a target and work cost-effective. The core characteristics of NPM-policies are influenced heavily by business administration and therefore are connected to the concepts used in this study such as implementation, development aid thus money and effectiveness. However, the discussed theories in the theoretical framework give an insight into the wide world of aid development and yet, put their focus on the relevant theories for this research question. But the theoretical framework also illustrated the limited scope of aid research on the one hand and the fragmentation of aid research on the other hand. Development aid is discussed in detail in development studies but usually without the input of public administration studies, this can be seen as

the research gap. This study tries to add new knowledge to the already existing development and public administration studies. Based on the theoretical framework have the concepts for this bachelor thesis been derived. The first concept is *fragile state* and the following definition is used as basis for the concept. “Fragility is defined as the combination of exposure to risk and insufficient coping capacity of the state, system and/or communities to manage, absorb or mitigate those risks” (States of Fragility report, 2016: 22). The second concept is *state actors*, according to the definitions of international relations literature, the concept is defined as state actors governments and their respective ministries or development agencies acting on behalf of the government. The objectives and motives for donating development aid to fragile states or developing countries differ among governments; examples have been enumerated in the aforementioned theoretical framework. The third concept used is *development aid*, the definition from Minoui and Reddy (2009:7) is used to clarify the concept: “Development aid as aid expended in a manner that is anticipated to promote development, whether achieved through economic growth or other means”. Concerning the broad term of foreign aid, it is important to be aware of the distinction between the different aids, “Developmental aid differs radically from humanitarian aid in that it has immense political roots and focuses on long-term economic and social development” (Diego, 2010:3). Furthermore, the bachelor thesis puts its focus on bilateral donation of development aid, so from one donor country to one recipient country. The fourth concept is *implementation factors*, the factors influencing the process are highly depending on recipient country but also on donor country. Based on the theoretical framework have the following factors been filtered to use for this concept: strong or weak policies, incapable or capable institutions and adequacy of funding and timing. Other influential factors such as corruption and human resource capacity are not taken into account in the analysis. The fifth concept *aid effectiveness* is once again, depending not only on the recipient country and but also on the donor country. Development aid aims on long term effectiveness and not such as humanitarian aid on a short term crisis relief. In the theoretical literature, aid effectiveness is not conceptualized coherently therefore the concept of aid effectiveness for this bachelor thesis is seen as aid that is implemented in the recipient country. The concepts of *fragile states* and *state actors* are used to illustrate the context of the research questions better and to clarify the terms used. The concepts of *development aid*, *implementation factors* and *aid effectiveness* are actively used in the analysis and to answer the sub-questions properly. The researcher expects for this study to gain more information about development aid spent by state actors to fragile states, to identify factors supporting and hampering the implementation and draw some conclusions about the effectiveness of the process.

The theory chapter consists of the theoretical and conceptual framework of the bachelor thesis. At first, a discussion of scientific literature has been presented and the concepts of fragile states, state actors, development aid, implementation factors and aid effectiveness have been outlined. Lastly, in the last section of chapter two the conceptual framework has been discussed.



### 3.0 Methodology

Chapter three discusses the methodological approach of this bachelor thesis. The chapter consists of the following sections, the research design, operationalization, case selection, data collection method, data analysis and the limits of the research. The bachelor thesis is composed of a case study with a longitudinal design as research design and the chosen case is the WASH sector in Lebanon. Furthermore, qualitative secondary data is used and the research method is a realistic literature review following the criteria of Pawson (2005).

#### 3.1 Research Design

The research question used in this bachelor thesis is a descriptive one and is answered through a qualitative data analysis. The research design used for this research is a descriptive one, doing a case study of Lebanon. A case study allows the exploration and understanding of complex issues and can be considered a robust research method particularly when an in-depth investigation is required (Zainal, 2007). The case study is conceptualized with a longitudinal design. A longitudinal study is characterized by observation looking at a certain time span and using data from those years. In comparison to an interrupted time-series study, which focuses on one moment in time where, for example a policy is implemented and then analyses the before – and after situation, a longitudinal study is more adequate for this research. Furthermore, a cross-sectional study has been taken into consideration as a research design, comparing several countries or sectors would have enabled a more comprehensive research to answer the research question but due to the limitation of time and resources a cross-sectional study is unfeasible for this bachelor thesis.

The secondary data used for this study will be analysed by using the research method of a realistic literature review, following the criteria of Pawson (2005). A realist review is usually evolving within the process, while a systematic review has a fixed framework upfront. That is why in comparison to a systematic literature review, a realistic literature review provides a more appropriate methodological approach for this study. The method focuses namely on: “Realist review is a theory- driven and interpretive type of literature review” (Berg & Nanavati, 2016: 2). The benefit of the realist review in comparison to the systematic review is pointed out by Pawson himself, “In systematic reviews, the basic evaluative question is: ‘what works?’, whereas in realist reviews, the question changes to: “what is it about this programme that works, for whom, and in what circumstances?” (Pawson, 2005:22). Furthermore, according to Pawson (2005) a realist literature review can have four different purposes, as it is known reviewing for theory integrity, to adjudicate between rival programme theories, to review the same theory in comparative settings or to review official expectations against actual practice. In this study the aim is to review the official expectations against the actual implementation of development aid in the water sector in Lebanon.

The aim of this study is to enable decision-makers to reach a deeper understanding of the implementation process and how it can be made to work most effectively. The chosen research method contributes to the aim as the research method of “The realist review has emerged as a specific literature review approach that is concerned with explaining the outcomes of complex intervention programs” (Berg & Nanavati, 2016:1). The policy papers used for the analysis are chosen in regards to their relevance for the topic of this research but they also need to be written and published between 1990 up until 2017. This type of research method is the most suitable for this study because the main strength of the realistic literature review is the design and structure, which gives guidance but is not as strict as a systematic literature review. Consequently, the research method aims to generate more in depth knowledge about a certain field of interest and it helps to carefully review relevant scientific articles or policy papers.

### **3.2 Case selection**

The case selected for this Bachelor thesis is Lebanon with specific focus on the water, sanitation and hygiene (WASH) sector of the country. The country receives development aid for several sectors but the development aid spent for the water sector, particularly water supply and access to sanitation and hygiene is taken under investigation in this study. The WASH sector is compared to other aid sector, challenged at different levels and dependent on a variety of factors. The ‘Deutsche Gesellschaft für international Zusammenarbeit (GIZ)’ (2015:27) describes the complexity of the implementation process in the water sector in their paper. “Political decision-makers must set a foundation of laws and implementing regulations that allows water utilities to effectively and efficiently carry out their tasks. Water utilities are confronted with many additional challenges: they have to be up to date on state-of-the-art technologies, be able to operate and invest in a sustainable manner, and to deploy a sufficient number of well-qualified professionals and managers in order to be able to ensure reliable water supply and sanitation. Regulators, on the other hand, should be capable of monitoring the provided services and achieve transparency. Users must also be involved as well: they need to be informed about water supply and be able to actively participate.” This multi-actor dependency makes the case of Lebanon relevant from a theoretical perspective.

Furthermore, due to the limitation of time, only one country and one policy and not an analysis of several cases is conducted in this study. The decision to focus particularly on Lebanon and the water sector has been made based on several reasons. Firstly, the urgency of the matter in Lebanon played a role in the selection process. Through the influx of Syrian refugees the population in Lebanon grew from 4.5 up to 6 million (World Bank, 2016) in a short period of time, which results in new challenges for the public services of the country. Furthermore, Lebanon fulfils the fragile state criteria like absence of political stability, economic stability and so on. Moreover, Lebanon is interesting because of their lengthy instable situation, resulting from the civil war, resilient yet instable political situation and economic crisis, followed by the current refugee crisis. To tackle those challenges Lebanon relies

heavily on development aid from bilateral and multilateral donors. It is in scientific interest to understand the mechanism of development aid implementation in this particular policy sector as well as of practical interest in order to address the process where needed. Secondly, the importance of the water sectors worldwide has gained more attention through the WASH programme of UNICEF. Thirdly, using the criteria from Seawright & Gerring (2008) to define the case study, the case examined in this study is a deviant case and fulfils the criterion for an outlier case. Lebanon can be considered as an outlier, because it is an upper middle-income country and still a fragile state. Despite the economic strength, the government and the respective ministries are not able to provide a functioning water sector, which makes the case of Lebanon interesting to study.

Another choice has been made, concerning the implementation process of development aid, because the amount of bilateral and multilateral donors worldwide is unclear, the donation by sector-specific state actors such as national governments and their ministries of foreign affairs and national agencies employed by governments are used to answer the research question. The chosen time span between 1990 and 2017 is based on the facts that the 15 year long civil war in Lebanon ended in 1990. And in the year of 2016 Lebanon recorded approximately 1.5 million refugees from Syria entering the country, thus a high influx of refugees additionally challenges the water services and is often reported a year later, therefore 2017 has been chosen. The time span also enables to do an extensive longitudinal study accessing policy papers of several years. Based on the aforementioned reasons Lebanon and the water sector is considered as a reasonable choice for a case study.

### **3.3 Data collection method**

The secondary data used for the analysis has been conducted through desk research. Within the limited time frame seems a desk research to be the most feasible option for this study. Agreeing with Pawson (2005:28), that in every research the data collection part is a tricky one “In practice, it is rare to find an overabundance of useable primary studies and searching is more often driven by the material available and by the limits of time and funding.” The data derived for this Bachelor thesis is from several online databases providing policy papers from state actors. The researcher followed a certain procedure which can be replicated by other researchers; a replication will show that not more data could have been found by following this procedure of data collection. The procedure applied by the researcher worked the following way, first looking up the countries involved in development aid donation in Lebanon, then checking those countries’ government websites and their respective ministry websites or additionally, the website of the development cooperation agency employed by the government. Then reading through the papers available on the different websites and then selecting and downloading the papers that use the key words of ‘water strategy’, ‘global water strategy’, ‘Lebanon’ or ‘water sector’. For various countries, especially those in the Middle East, policy papers are not publicly available, their websites have been checked like those of other countries but no data was

available. After selecting 12 policy and strategy papers from seven different countries, considered as the most relevant ones, the data collection procedure was finished.

**3.4 Selection criteria and selection process**

The policy papers are the evidence used in the realistic literature review to test the programme theories. The evidence is gathered by selective sampling and not by random sampling. The selection process for the policy papers worked as follows. The first criterion was to pick policy or strategy papers and not scientific articles, government declaration, legal documents and so on. The second criterion, used to select relevant papers for this study, was that policy papers have to be published by bilateral donors such as governments’ respective ministries or development agencies employed by governments. The first step was to look up governments based on the research paper from Emilie Combaz (2013) who mapped the international donor aid to Lebanon since 2006, including development and humanitarian aid. In her paper she listed the main donors and also the aid sectors addressed since the crisis in 2006 in Lebanon. The second step was to look up more European and Middle Eastern countries and check whether they are donor countries to Lebanon water sector. The third selection criterion was the year of publishing, the paper has to be published after 1990. The fourth criterion for selecting the policy papers was that the papers have to address global strategies for the water sector or in particular the water sector in Lebanon. The inclusion and exclusion criteria for policy papers are displayed in Table 1 below.

Table 1: Inclusion and Exclusion criteria for Policy papers

	<b>Inclusion Criteria</b>	<b>Exclusion Criteria</b>
<b>1</b>	Policy papers, strategy papers	Scientific articles, government declarations, legal documents etc.
<b>2</b>	Policy or strategy papers stemming from governments’ respective ministries or development agencies employed by ministries	Papers stemming from international organizations or institutions
<b>3</b>	Policy or strategy papers published after 1990	Sources published prior to the year 1990
<b>4</b>	Policy or strategy papers addressing the global water sector or the water sector in Lebanon	Policy or strategy papers not addressing the global water sector or the water sector in Lebanon

After applying the inclusion and exclusion criteria, 12 policy or strategy papers have been selected for the analysis. The selection is displayed in Table 2 below.

Table 2: List of Policy papers

	<b>Paper</b>	<b>Publisher</b>	<b>Publication date</b>
<b>1</b>	France's external action in the water and sanitation sector strategy	Ministry of Foreign Affairs and International Development, France	2014
<b>2</b>	Water Sector Strategy	Federal Ministry for Economic Cooperation and Development (BMZ), Germany	2006
<b>3</b>	BMZ Water strategy paper	Federal Ministry for Economic Cooperation and Development (BMZ), Germany	2017
<b>4</b>	Water for All	Deutsche Gesellschaft für international Zusammenarbeit (GIZ), Germany	2015
<b>5</b>	Wash strategy paper 2016-2030	Ministry of Foreign Affairs, The Netherlands	2017
<b>6</b>	A World to Gain	Ministry of Foreign Affairs, The Netherlands	2013
<b>7</b>	Master Plan of the Spanish Cooperation 2013/2016	Ministry of Foreign Affairs and Cooperation, Spain	No date
<b>8</b>	Regional Strategy for Sweden's Development Cooperation with the Middle East and North Africa (MENA): 2016-2020	Ministry of Foreign Affairs, Sweden	2016
<b>9</b>	UK aid: tackling global challenges in the national interest	Department for International Development, United Kingdom	2015
<b>10</b>	Global Water Strategy	U.S. Government	2017
<b>11</b>	USAID Water and Development Country Plan for Lebanon	United States Agency for International Development (USAid)	No date
<b>12</b>	Safeguarding the World's Water: Report of Water Sector Activities Fiscal Year 2015	United States Agency for International Development (USAid)	No date

### 3.5 Relevance and Rigour

The relevance and rigour are another important element of the research method. According to Pawson (2005) relevance in a realist review is not about whether the study covers a certain topic but whether it addresses the programme theories under test. Thus the relevance of the literature review is focused on the programme theories and not particularly on the topic. This definition distinct the relevance of the literature review clearly from the scientific and societal relevance of the study discussed in section 1.2. The second term is rigour, which is according to Pawson (2005) whether a particular inference drawn by the original researcher has sufficient weight to make a methodologically credible contribution to

the test of a particular intervention theory. With other words, rigour asked whether the research conducted supports the conclusions drawn from it by the researcher.

### **3.6 Data analysis**

The data used for this study are twelve policy papers from sector-specific state actors. The selection criteria and selection process is outlined in section 3.4. The research method of a realistic literature review works then in the following way, firstly adequate policy papers are selected. Then three programme theories addressing each of the sub-questions are constructed including criteria to test in the analysis, followed by extracting the data from the policy papers and then synthesizing the data, meaning to check the data extraction table again to find similarities or differences in the finding. According to Pawson (2005), the realist synthesis is needed because it is the essential process of synthesizing data that tries to make sense of the different contributions of the extracted data. Based on this process, the three programme theories can be refined. The conclusion of this study is drawn based on the data extraction and synthesizing process, the refinement of the programme theories illustrates the result of the realistic literature review. After the analysis process, an answer to the central research question and its sub-questions based on the findings is provided.

### **3.7 Operationalization**

This paragraph discusses the operationalization of the concepts used in this study. The case selected for this research is Lebanon and its water sector. The case selection is discussed in further detail in section 3.2. The unit of analysis is the water sector including water, sanitation and hygiene (WASH) and the unit of observation are the policy papers provided by state actors. The secondary data used for this research is analysed by a qualitative data analysis using the research method of a realistic literature review. This sort of research method has an unfolding design, evolving within the writing process of the bachelor thesis. Because of the descriptive research approach, the main concepts are of relevance and not the independent or dependent variables of the research question. The three theoretical concepts used in this research are development aid, implementation factors and aid effectiveness, those are also the concepts contained in the sub-questions. The sub-questions again build the basis for the programme theories constructed in the realistic literature review. However, according to Pawson (2005:11):“The results of the review combine theoretical understanding and empirical evidence, and focus on explaining the relationship between the context in which the intervention is applied, the mechanisms by which it works and the outcomes which are produced.”

The context of this study is Lebanon and its water sector, the mechanism are the programme theories and their refinement and the outcome are the results of the analysis providing insight about what works and what does not work. To conclude from the results, the data has to be tested by using criteria derived from the programme theories. According to Pawson (2005) the data extraction procedure works as follows, the data is extracted by note-taking and key words and not by extracting data as such. It supports the evaluative framework with evidence, when data is extracted from different

documents. The criteria used in the programme theories are explained in table 3 below and are tested in the analysis. Those criteria are outlined in the data extraction table as well. The extraction of the data is completed by filtering the eligible papers by keywords, using the following ones: “Lebanon”, “water”, “implementation”, “support”, “lack”, “stakeholders”, “monitoring”, “evaluation” and “effectiveness”. In the data extraction table is then stated whether those criteria are present or not present in each of the pre-selected policy papers.

Table 3: Explanation of Criterion used in Programme theories:

<b>Criterion:</b>	<b>Explanation:</b>
Factors: Strength of policies	Factors existing to support implementation
Factors: Weakness of policies	Factors existing to hamper implementation
Factors: Capable or incapable institutions	Capable institutions are institutions handling administrative and financial tasks effectively
Factor: Adequacy of funding	Funding is sufficient enough to meet the needs
Factor: Adequacy of timing	Implementation is not completed too late
Stakeholders	Actors involved in the process of implementation
Effectiveness: Monitoring	Presence of monitoring instruments
Effectiveness: Evaluation	Presence of evaluation measures

**3.8 Limits of the research design and research method**

Nonetheless, in all research designs and methods potential threats are involved. The threats concerning a realistic literature review are the lack of sufficient data available or a strong variation in quality of the data, or the limited possibility to generalize the results, because of the subjective and context-specific nature of the results. Besides that, the researcher can also limit the analysis by prioritizing particular papers and theories. Another threat, particularly for this research, is that usually scientific articles about policy interventions are used for a realist review and not policy papers like in this research, which made the structuring and execution of the research method challenging for the researcher. Furthermore, the validity of the answers to the research questions for more countries than Lebanon and for more sectors than the WASH sector in Lebanon is limited, due to the case study design of a single- country and single-sector selection. Given the possible threats of the research design and research methods is the choice of methodology still be the best option for this research.

The methodology chapter addressed the following range of subjects, the research design, operationalization, case selection, data collection method, data analysis and the limits of the research. To conclude, a case study with a longitudinal design is conducted using the case of the water sector in Lebanon. Besides that, qualitative secondary data is used for the analysis, while the research method is a realistic literature review following the criteria of Pawson (2005).



## 4.0 Analysis

The fourth chapter is the analysis chapter, where the realistic literature review is presented. First the programme theories are formulated; secondly the data extraction is conducted, followed by the data synthesis. Then the programme theories are refined and the results are discussed and answer to the sub-questions is provided. The last section of the chapter discusses the underlying questions of each realistic review, namely: What works: for whom, in what circumstances and in what respect? The scope of this review has been clarified in the context section 1.1 and the procedure of the review has been outlined in the methodology chapter 3.0. The evidence used for this review is enumerated in the selection criteria and selection process section 3.4. Finally, the purpose of the review is to identify the key elements relevant for an effective implementation process of development aid in the water sector in Lebanon.

### 4.1 Programme theories

This section discusses the programme theories which provide the basis for the realistic literature review. Programme theories are according to Pawson (2005) the underlying assumptions about how an intervention is meant to work and what impacts it is expected to have. For this review the underlying assumptions named as programme theories are derived from the sub-questions of the central research question. The concepts used in the research questions are derived from scientific literature as elaborated on in the theory chapter 2.0, meaning that the assumptions are built on theoretical grounds. In the realistic literature review three programme theories are tested following the guidelines of Pawson (2005). The three programme theories are outlined in the following paragraphs.

#### **Programme theory 1**

The first programme theory illustrates the underlying assumption of the first sub-question, which has been formulated in section 1.3 as: *What are the factors that support and hamper the implementation of development aid in the sector of water, sanitation and hygiene?* Hence programme theory 1a is defined as: The factors supporting the implementation process of development aid in the WASH sector are strong policies, capable institutions, the adequacy of funding, and adequacy of timing. Programme theory 1b is defined as: The factors hampering the implementation process of development aid in the WASH sector are weak policies, incapable institutions. Programme theory 1 has been split up, in order to make the analysis more nuanced. The concepts used in the programme theories have been outlined in the theory chapter 2.0. The central component of this programme theory are the implementation factors, by factors supporting or hampering the implementation process of development aid in the sector of water, sanitation and hygiene are meant the strength or weakness of the policies, capable or incapable institutions, the adequacy of funding and timing. Those are the four specific criteria of this programme theory which are built upon theoretical grounds, the explicit expectation for the data examination is to identify these criteria throughout the policy papers published by several



governments. The criteria of the programme theory have been outlined in the operationalization section 3.7 in the methodology chapter. The programme theories are tested in the following data extraction section 4.2.

### **Programme Theory 2**

The second programme theory for the realistic literature review illustrates the underlying assumption of the second sub research question, which has been formulated in section 1.3 as: *Who are the stakeholders involved in the process of sector- specific development aid implementation?* Therefore programme theory 2 is defined as: The stakeholders involved in the implementation process are the governments in the donor, and in the recipient country. The concepts used in the programme theory have been outlined, like with programme theory 1, in the theory chapter 2.0 of this bachelor thesis. The stakeholders on governmental level involved in the implementation process are the central component of this programme theory. The NPM element of focusing on donors of performing countries is relevant in this programme theory, therefore the criterion to test the theory is whether the stakeholders of the donor country are present or not present in the policy papers. The criterion of the programme theory has been outlined in the operationalization section 3.7 in the methodology chapter.

### **Programme Theory 3**

The third and last programme theory illustrates the underlying assumption of the third sub research question, which has been formulated in section 1.3 as: *To what extent is development aid given by state actors to the sector of water, sanitation and hygiene effective?* Therefore programme theory 3a is defined as: The effectiveness of development aid spent by state actors for the water sector is the existence of monitoring instruments. Programme theory 3b is defined as: The effectiveness of development aid spent by state actors for the water sector is the existence of evaluation measures. Programme theory 3 has been split up, in order to make the analysis more nuanced. The concepts used in the programme theory have been outlined, like with programme theory 1 and 2, in the theory chapter 2.0 of this bachelor thesis. The central component of the programme theory is aid effectiveness. The criteria used to test the theory are whether monitoring instruments and/or evaluation measurers for aid effectiveness are present in the policy papers or not. The criteria of the programme theory have been outlined in the operationalization section 3.7 in the methodology chapter.

Below, in Table 4 a summary of the programme theories is displayed to provide an overview of the theories under test.

Table 4: Summary of Programme Theories

	<b>Programme Theory 1a:</b>	<b>Programme Theory 1b:</b>	<b>Programme Theory 2</b>	<b>Programme Theory 3a:</b>	<b>Programme Theory 3b:</b>
<b>Assumption:</b>	The factors supporting the implementation process of development aid in the WASH sector are strong policies, capable institutions, the adequacy of funding, and adequacy of timing.	The factors hampering the implementation process of development aid in the WASH sector are weak policies, incapable institutions.	The stakeholders involved in the implementation process are the governments in the donor, and recipient country.	The effectiveness of development aid spent by state actors for the water sector is the existence of monitoring instruments.	The effectiveness of development aid spent by state actors for the water sector is the existence of evaluation measures.
<b>Criterion of programme theory:</b>	Factors addressed in the policy paper are strength of the policies, capable institutions, the adequacy of funding, and the adequacy of timing	Factors addressed in the policy are weakness of policies, incapable institutions	Stakeholders of donor and recipient country addressed in the policy paper	Monitoring instruments in the policy paper	Evaluation measures addressed in the policy paper

Following the logic of Pawson’s (2005) realist review, the papers are at first selected based on selection criteria, followed by evaluating the papers regarding relevance and rigour. This is then followed by formulating the programme theories, after which the data extraction follows which is presented in the following section.

#### 4.2 Data extraction

One of the most crucial steps while conducting a realistic review is the extraction of data to populate the programme theories. Therefore a data extraction template is developed, wherein each programme theory is addressed. Programme theory 1 is given two columns, one to address the factors supporting the implementation process and one to address the factors hampering the implementation process. Programme theory 2 is given one column, where the stakeholder assumption is addressed. Programme theory 3 is given two columns as well, one where the monitoring instruments for effectiveness are

tested and one where the evaluation is addressed. To provide a comprehensive picture of the template a few standard categories are given, such as name of the policy paper, publisher, publication date, and limitations. The category of limitations is included into the template to cover the dimension of rigour, meaning according to Pawson (2005) the assessment of a particular inference drawn by the original researcher of the article and whether it has sufficient weight to make a methodologically credible contribution to the test of a particular intervention theory. According to Pawson (2005) the data extraction procedure works as follows, the data is extracted by note-taking and key words and not by extracting data as such. It supports the evaluative framework with evidence, when data is extracted from different documents. In this research, the data is extracted by filtering the eligible papers by keywords, using the following ones: “Lebanon”, “water”, “implementation”, “support”, “lack”, “stakeholders”, “monitoring”, “evaluation” and “effectiveness”. The criteria outlined in the programme theory section 4.1 were tested and in the data extraction table is stated whether those criteria are present or not present, to ultimately populate the programme theories with evidence. It is necessary to mention that in order to prevent a lack of data the eligible papers, containing data to populate the evidence, are used for all three programme theories. For a realist literature review, it is also possible to use other evidence sources such as peer reviewed journal literature, policy reviews or grey literature like reports. For this study policy papers have been chosen, according to the inclusion and exclusion criteria outlined in section 3.4. The conducted data extraction is displayed in Table 5, which can be found in the appendix of this Bachelor thesis.

## 4.2 Data Synthesis

In the fourth chapter the realistic literature review is presented, the analysis is conducted according to the criteria of Pawson. The final step of the review is to synthesize the evidence thus the data, which is examined in the following section. The synthesising process of the evidence differs with every research and there is no strict guideline given, the realist review perceives the task of synthesis as one of refining theory. Pawson (2005) recommends using ‘contradictory’ evidence to generate insights about the influence of context. For the synthesis process the data retrieved from the extensive data extraction table addressing each of the three programme theories is used. The data synthesis for this realistic literature review works as follows: According to Pawson (2005) the first step that the researcher conducts is a final quality appraisal of the studies or articles that he has chosen as sources for the data to synthesize. Then the researcher needs to return to the data extraction table for each programme theory and carefully examine the extracted data, scanning for similarities, differences or even contradictory findings and statements concerning the underlying assumptions about how each of the programmes is supposed to work. It is important to mention that with the realistic literature review each researcher has to develop his/her own method of data synthesis. For this research, the data extraction table presents the basis for the data synthesis, in the following synthesis the data extraction table is checked again for similarities, differences or contradictory findings for each of the programme theory. Table 6 below displays the data synthesis, where each programme theory is given one column

and each of the two findings is given one column, whereas contradictory findings are not displayed, because no strong contradictions have been found in the data extraction table.

Table 6: Data Synthesis

	<b>Programme Theory 1a: Factors supporting</b>	<b>Programme Theory 1b: Factors hampering</b>	<b>Programme Theory 2: Stakeholders</b>	<b>Programme Theory 3a: Monitoring</b>	<b>Programme Theory 3b: Evaluation</b>
<b>Similarities of findings in policy papers</b>	Strong focus on transparency, capable institutions, good policies, accountability and regulatory framework	Corruption, Lack of accountability and institutional capacity, absence of transparency, weak policies	The stakeholders of donor and recipient country are present in all papers	10 out of 12 papers address monitoring	9 out of 12 papers address evaluation of their policy
<b>Differences of findings in policy papers</b>	Some add human right principles as important factor	In 7 of 12 papers no hampering factors were mentioned	Some focus on involving local or international stakeholder, or on private sector stakeholders, expectations towards stakeholders differs	Monitoring is regarded as necessary, some promote improved monitoring, makes a contribution to sustainability	Some encourage improvement of evaluation tool, evaluation necessary to raise quality, use evaluation for new policies

Finally, the synthesis process aims to achieve programme theory refinement and provide an answer to each of the sub-questions. The review process is ultimately done to answer the central research question and the question asked by Pawson (2005) and relevant in every realistic literature review: What works: for whom, in what circumstances, and in what respect?

**Refinement of programme theories**

In this paragraph the refinement of the three programme theories will be elaborated on. Based on the synthesizing process all three programme theories are refined. The first programme theory, assumption 1a can be refined as: The factors supporting the implementation process of development aid in the WASH sector are an appropriate regulatory framework, good policies, capable institutions, accountability and transparency. The programme theory 1b can be refined as: The factors hampering the implementation process of development aid in the WASH sector are corruption and a lack of the

aforementioned supporting factors. Different factors have been identified in the analysis than the ones assumed in the first place, which has led to a refinement of the first programme theory. Followed by, the second programme theory, which can be refined as: The stakeholders involved in the implementation process are the governments in the donor and recipient country, as well as local stakeholders, international stakeholders or stakeholders from the private sector. Through the review became clear that not only the donor and recipient countries' governments are involved in the implementation process but also local, private or international stakeholders, therefore the programme theory has been refined according to this. Programme theory 3a of the third and last programme theory can be refined as: The effectiveness of development aid spent by state actors is the existence of monitoring instruments, whereas each country has different monitoring objectives. Programme theory 3b can be refined as: The effectiveness of development aid spent by state actors is the existence of evaluation measures, whereas each country has different evaluative objectives. The analysis showed that the aid effectiveness, meaning the use of monitoring instruments and evaluation exists as assumed, but that the objectives of the donor countries differ to do the monitoring and evaluation. The data synthesis lead to a refinement of the programme theories, thus made more specific assumptions about how the implementation works possible. In Table 6, displayed below, the refined programme theories are summarized to provide an overview of the distinction between the programme theories summarized in Table 4 and the refined programme theories.

Table 7: Summary of refined Programme theories

	<b>Programme Theory 1a:</b>	<b>Programme Theory 1b:</b>	<b>Programme Theory 2:</b>	<b>Programme Theory 3a:</b>	<b>Programme Theory 3b:</b>
<b>Refined assumptions:</b>	The factors supporting the implementation process of development aid in the WASH sector are an appropriate regulatory framework, good policies, capable institutions, accountability and transparency.	The factors hampering the implementation process of development aid in the WASH sector are corruption and a lack of the aforementioned supporting factors.	The stakeholders involved in the implementation process are the governments in the donor and recipient country, as well as local stakeholders, international stakeholders or stakeholders from the private sector.	The effectiveness of development aid spent by state actors is the existence of monitoring instruments, whereas each country has different monitoring objectives.	The effectiveness of development aid spent by state actors is the existence of evaluation measures, whereas each country has different evaluative objectives.

To conclude, the evidence generated by the data synthesis process is used to populate the first, second and third programme theory with evidence and thus refine it. After completing this sequence of data

synthesis for every programme, the theories are refined and an answer to each of the three sub-questions is provided. The refinement of the programme theories is elaborated on in the following section 4.3 discussion of results.

### 4.3 Discussion of results

After formulating programme theories, extracting data, synthesizing data and refining the programme theory, in this section the results of the analysis are discussed in more detail. In the data extraction table the three programme theories and their criterion have been tested, whether they were present in the selected policy paper or not. The programme theories are discussed one after another, followed by a short paragraph about the limitations.

After extracting the data from the policy papers it became clear that the most data is gathered about the factors supporting the implementation process. The first programme theory has been refined thoroughly, because the factors assumed in the first place, could not all be identified in the policy papers. The criterion of good policies and capable institutions were found throughout the papers, one paper also mentioned funding. New relevant factors supporting the implementation process were identified in most of the policy papers such as accountability, transparency and an appropriate regulatory framework. For example, the Spanish Ministry of Foreign Affairs and Cooperation (n.d.:36) states “We will support transparency and accountability and will fight against corruption, making sure to adopt the necessary measures in partner countries.” The importance of transparency is also mentioned in the policy paper from the United Kingdom: “In addition, it will work with and encourage all implementing partners of UK aid, including private contractors and recipient governments, to meet global transparency standards” (Department for International Development, United Kingdom, 2015:22). A few countries also emphasized the importance of human rights principles, “When implementing projects our actions are guided by the human rights principles of non-discrimination and equal opportunity, participation and empowerment, accountability and transparency” (German Federal Ministry for Economic Cooperation and Development (BMZ), 2017: 11).

In contrast to the supporting factors, the factors hampering the implementation process were often not present in the policy papers, the researcher assumes that the factors are present and rather not mentioned because the policies papers outline the country’s strategy and focus on what needs to be done right and not what makes the implementation process difficult. The factors hampering the process are the lack of the supporting factors such as weak policies, incapable institutions, lack of accountability and lack of transparency, plus additional factors such as corruption, fragmented responsibilities, and lack of information. Yet, some papers named the obstacles in the implementation process, for example the ‘Water for all’ paper from the GIZ stated that “Fragmented responsibilities, a lack of accountability and, opportunities to participate, corruption and the absence of transparency all have negative impacts in many respects” (Deutsche Gesellschaft für international Zusammenarbeit (GIZ), 2015:2). The aforementioned factors hinder the coordinated decision-making around the

management of development aid in the water sector. This shows that good governance is the fundament for implementing well. The government of the United Kingdom “has increased activity on good governance, which is vital for development. It has supported the rule of law, tackled corruption and crime and helped build robust, strong, open, accountable institutions and strengthened property rights” (Department for International Development, United Kingdom, 2015:5). Many supporting factors need to be present in order to provide water supply for those in need, the BMZ water strategy papers sums that up: “Good governance, pro-poor policy, capable and legitimate institutions on all levels with well-trained professional personnel, financing systems that are not susceptible to corruption, and efficient and effective public financial management, are important factors in providing access to water supply and sanitation for all” (German Federal Ministry for Economic Cooperation and Development (BMZ), 2017:11) . Through the data extraction process it became clearly recognizable that factors influencing the implementation process shall better get improved on local, regional and national level. Furthermore, the ‘water sector strategy’ articulates clearly that “even if good governance, participation, institutions and capacities are in place, implementing comprehensive reform processes may take many years” (German Federal Ministry for Economic Cooperation and Development (BMZ), 2006:20) .

The second programme theory addresses the stakeholders and at first the answer to the second sub-question about the stakeholders seems obvious, but it is important to test who is exactly involved and which stakeholders are important from the perspective of the donor countries. Through the realistic literature review next to the already assumed stakeholders of donor and recipient government, the following ones have been identified as relevant in several policy papers, namely local stakeholders, stakeholders from the private sector but also international stakeholders like UN-agencies. There is a strong emphasis on local stakeholders, for example: “USAID also engages with local communities, municipalities, civil society, and the local private sector as key partners for addressing water sector concerns” (United States Agency for International Development (USAid), n.d.:1). However, the Spanish Policy paper strengthens the “collaboration between the business sector and the rest of the system’s stakeholders” (Spanish Ministry of Foreign Affairs and Cooperation, n.d.:76). Most of the papers see the strong tie with the private sector, including the United States: “To advance the vision of the Strategy, the U.S. government will work with partner countries, the private sector, and other stakeholders” (U.S. Government, 2017:6). In contrast, Sweden is the only country, with a strong emphasis on integrating women in the process. Considering the politics of Sweden this is not surprising, but still a striking finding because it seems that it is the only country regarding gender equality as central in the stakeholder question. “Gender equality aspects must be included clearly with the aim of seeing both women and men as stakeholders and users,” is outlined in the Regional Strategy for Sweden’s Development Cooperation with the Middle East and North Africa (MENA): 2016-2020 (2016:9). Besides that, two important appeals were found when extracting the data, the US calls out to all recipient governments: “National governments must make water and sanitation issues a priority in

their development plans, policies, and strategies, while both national and local governments must create enabling environments that will improve drinking water and sanitation service delivery” (U.S. Government, 2017:9). The second appeal is made by the “Water sector strategy” about the relationship between donor and recipient country, “Donors should respect and foster the partner countries’ ownership and programming capacities, and should not overwhelm or undermine them.” (German Federal Ministry for Economic Cooperation and Development (BMZ), 2006:17).

The third programme theory addresses aid effectiveness and has been tested in the analysis as well. Even though aid effectiveness is a controversial topic, it is addressed in one or the other way in most of the papers. The papers mentioning monitoring instruments or evaluation processes usually have different monitoring and evaluative objectives. Some encourage improvement of evaluation tool, improvement of sectors monitoring or evaluation is necessary to raise quality or to use evaluation for new policies. For example, the French Ministry of Foreign Affairs and International Development (2014:7): “Encourage the improvement of the sector’s monitoring and evaluation tools: at the national and world levels, notably through the competent United Nations agencies and programmes, to analyse developments in access to safe drinking water and sanitation as well as remaining challenges more accurately.” The Dutch Ministry of Foreign Affairs (2017: 15) also considers sector monitoring as important, “We will support the development of national capacity for sector monitoring and data generation for informed sector planning and policy development.” Whereas the Spanish Ministry of Foreign Affairs and Cooperation (n.d.:78) does “Reviewing the Evaluation Policy to raise quality and utility of evaluations and improve coordination between the different actors of the system.” The Spanish Ministry of Foreign Affairs and Cooperation (n.d.:84) underlines the relevance of monitoring and evaluating for the donor and recipient country, “Accountability is closely linked to results-oriented strategy, since in a partnership between donors and partner countries, achieved results must be monitored, evaluated and reported, in order for co-responsibility to truly exist on both ends.” Additionally, one of the policy papers states that the evaluation is important to make accurate budget decisions, meaning ensure high-impact, cost effective investments and implementation. Another paper states that interventions in one sector also has consequences in other sectors, therefore is careful monitoring a must-do, whereas another paper states the important of evaluation for future policies. While extracting the data to populate programme theory 3 with evidence, one finding is surprising as the policy papers focus on monitoring and evaluation at international or national level but not explicitly at local level.

The limitations have also been examined in the data extraction process, data about limitations has not been found in the policy papers, with the exception of two papers. The researcher assumes that limitations are not presented, because the strategies shall show the efforts of one country and not the limitations to act, even though the papers clearly illustrate the complexity of the intended strategies in the context. The two exceptions were found, Germany which reflected in one paper on the lessons



learned from previous projects and Spain which admitted in their Master Plan that goals have not been achieved because of the financial crisis in Spain. The presence of limitations might be influenced by the type of paper. Additional striking findings were made conducting the analysis, some of the policy papers focus stronger on the economic aspect of the relationship between donor and recipient country, where economic efficiency has more importance than aid effectiveness. Furthermore, in newer policy papers the implementation of development aid and development cooperation with other countries is strongly bound to sustainability, something that has been steered by the Paris Agreement and the danger of climate change and recent disasters related to flooding, droughts and shrinking water resources. After the discussion of the results, in the following section an answer to the sub-questions is provided.

#### 4.4 Answer to sub-questions

Followed by the data synthesizing, the refinement of the programme theories and the discussion of the results, in this section the answers to the sub-questions of the central research question are given. Based on the conducted realistic literature review the following answers can be given. About the first sub-question: *What are the factors that support and hamper the implementation of development aid in the sector of water, sanitation and hygiene?*, could have some insights been gained in the analysis. Factors supporting the implementation process are an appropriate regulatory framework in the recipient country, good policies and capable institutions also facilitate a better implementation. Besides that, based on the results of the realistic literature review, transparency and accountability are important for the implementation of development aid. Factors hampering the implementation process became clear those factors are corruption and a lack of accountability and transparency, as well as weak policies and incapable institutions. Those supporting and hampering factors have been identified when analysing policy papers about development aid strategies or about strategies specifically addressing the water sector, thus those factors cannot be generalized for the implementation process in a different context or aid sector. The second sub-question: *Who are the stakeholders involved in the process of sector- specific development aid implementation?* addresses the stakeholders involved in the implementation process. When first reading the question, the answer seems at first sight obvious, but the analysis showed that even though all papers address the stakeholders of the donor country and the recipient country, their perception about other important stakeholders differ. Local stakeholders, international stakeholders and stakeholders from the private sector, next to the governments of the donor and recipient country, are involved in the implementation process in the water sector. The third sub-question: *To what extent is development aid given by state actors to the sector of water, sanitation and hygiene effective?* addresses aid effectiveness in the WASH sector. Aid effectiveness is a broad concept that has been conceptualized in the theory chapter 2 and tested in the realistic literature review, using monitoring instruments and evaluation efforts to test whether aid effectiveness is addressed in the selected policy papers. Based on the analysis the last sub-question can be answered as follows, to a large extent the selected donor countries are concerned about aid effectiveness. Donor

countries use monitoring instruments for evaluation to raise the quality of their strategies, improve evaluation tools, and develop new policies, meaning the donor countries show efforts to make the implementation process as effectively as possible. Finally, the insights gathered from answering the sub-questions of this study help to answer the central research question in the conclusion chapter 5.0 at the end of this bachelor thesis.

#### **4.5 What works: for whom, in what circumstances and in what respect?**

The final step of synthesizing the data to refine the theories is done with the intention to determine what works for whom and under what circumstances. According to Pawson (2005:22): “In systematic reviews, the basic evaluative question is: ‘what works?’, whereas in realist reviews, the question changes to: ‘what is it about this programme that works, for whom, and in what circumstances?’”. At first, for the donor and recipient countries (for whom) no general solution can be given, the stakeholders involved depend on the focus of the donor country, whether they work with the private sector, local stakeholders or international stakeholders such as the UN. The individual relationship between donor and recipient country and the scope of the project play a role when answering what works best. The circumstances are the process of implementation, thus which factors need to be given in order to make the process work as smoothly as possible. The recipient country needs to have capable institutions and a working regulatory framework, furthermore good policies, transparency and accountability are important for the implementation. When those factors are not given on donor and recipient country side, then it is unlikely to have a smooth and effective development aid implementation process (in what respect).

Driven by the question from Pawson in chapter 4.0 the realistic literature review has been conducted. First the programme theories are formulated, secondly the data extraction is examined to populate the programme theories with evidence, followed by the data synthesis. Then the results are discussed and the programme theories are refined and an answer to the sub-questions is provided. The last section of the chapter discusses the underlying questions of each realistic review, namely: What is it about this programme that works, for whom, and in what circumstances? The aim of the thesis is to test the theoretical insight in a new context, the previous chapter tried to achieve this with the help of the realistic literature review.

## **5.0 Conclusion**

After the conduction of the realistic literature review and answering the sub-questions in the previous chapter, the last chapter of this bachelor thesis concludes the main findings of the analysis and provides an answer to the central research question. At the end of this conclusion chapter also the limits, strengths of this bachelor thesis and recommendations for future research are addressed. The aim of the research was to test theoretical concepts in a new context, in particular the factors,

stakeholders influencing the implementation of development aid in the water sector in Lebanon by state actors and whether this implementation is effective.

According to Pawson (2005:32):“The analysis and conclusions section of a realist review is not a final judgement on what works or the size of an effect. Rather, it takes the form of revisions to the initial understanding of how an intervention was thought to work. The progress made in a review is not one from ignorance to answer, but from some knowledge to some more knowledge” Just as Pawson describes it, based on the analysis new insights has been gained. The expectations of the researcher mentioned in conceptual framework section 2.2 have been exceeded, because valuable and interesting information has been conducted through the analysis. New factors supporting the implementation process of development aid were identified in the policy papers that had not been assumed to be relevant before, such as accountability, transparency and an appropriate regulatory framework. It also became clear, that for supporting factors the most data has been gathered, whereas factors hampering the implementation process were in most papers not mentioned. The researcher assumes that the contrast in presence of factors stems from the type of paper, policy or strategy papers from government shall indicate their plans, possibilities and prospects and not their eventual failures or difficulties. Nevertheless, factors hampering the process have been identified such as lack of transparency, lack of accountability, corruption, fragmented responsibilities, and lack of information. Hampering factors assumed beforehand such as weak policies, and incapable institutions have been confirmed as well when conducting the analysis. Further insights about stakeholders has been gathered through the analysis, beforehand it has been assumed that donor and recipient government are the main stakeholders involved, that can be confirmed but additional ones such as local stakeholders, stakeholders from the private sector and international stakeholders like UN-bodies have been identified in the data extraction process of the policy papers as well. Apart from supporting and hampering factors and stakeholders, also the effectiveness of development aid has been tested. Even though aid effectiveness is a controversial topic to address, monitoring instruments or evaluation measures to check on aid effectiveness are present one or the other way in the selected policy papers. While it was surprising that the policy papers revealed different objectives to do so, some papers mentioned to encourage improvement of evaluation tools or to improve sector monitoring. Other papers mentioned to aim for evaluation, because it is necessary to raise the quality of policies, whereas another paper stated that evaluation is used in order to make new policies.

Apart from the aforementioned results, a few striking findings have been encountered. The first one is that the Swedish policy paper is the only paper that addressed gender equality in regards to stakeholders, in the paper it is explicitly stated that women and men are considered as stakeholders and users. Secondly, it became clear that some policy papers have a strong focus on the economic aspect of the relationship between donor and recipient country, whereas others focus in the development aid spending as well as in development cooperation with other countries on sustainability

of the projects. According to the researcher, the focus of the policy paper depends on the donor country and their agenda, whether sustainability or economic growth have a higher priority. The researcher assumes that the efforts of sustainable implementation have increased in the past years, because they weren't visible in older papers, which can be related to the international agreements such as the signed Paris Agreement. Thirdly, it has been striking that two exceptions have been found regarding the limitation of the papers. In almost all papers limitations are not presented, the researcher assumes that it depends on the type of paper and the policy papers show the country's effort to improve the situation in the water sector and not their limitations to act. Yet, two countries named limits, Germany reflected on the failure of previous projects and which lessons can be drawn from them and Spain admitted in their Master Plan that their opportunities to act as planned were limited due to the financial crisis of the country.

In conclusion, the results of the conduction of the realistic literature review help to answer the central research question raised by this study. Finally, the aim of each researcher is to generate new knowledge and somehow have an impact. Pawson (2005) agrees on that: "Finally, and perhaps most importantly, we should expect the findings of a realist review to influence the design of new programmes" (Pawson, 2005:32). The knowledge acquired through the research of this study will most probably not influence future policies of donor countries and has no influence on the situation in Lebanon. But the research gave an insight in the process of development aid implementation in the WASH sector and might inspire other researcher to conduct further research in this field. Furthermore, theoretical concepts derived from academic literature have been tested in this study. Literature from development and public administration studies have been combined for this study and the analysis showed the strong relation between both fields of study, which might be as well of interest for future research.

### **5.1 Answer to the central research question**

Based on the evidence generated from the extraction table, the data synthesis and refinement of the programme theories an answer to the central research question is given in this section. The bachelor thesis aimed to get to the bottom of the following research question: *What are the factors influencing the implementation of development aid by sector- specific state actors in the sector of water, sanitation and hygiene in Lebanon between 1990 and 2017?* On the basis of the conducted analysis it is concluded that the central research question can partially be answered. Through the analysis have factors influencing the implementation of development aid by state actors been identified, those are factors supporting and hampering the implementation process. Namely, factors supporting the implementation process are an appropriate regulatory framework, strong policies and also capable institutions facilitate a better implementation. Furthermore, based on the results of the realistic literature review transparency and accountability are considered as important factors for a successful and smooth implementation of development aid. Besides that, also factors hampering the

implementation process have been identified as well. Those factors are corruption, a lack of accountability and a lack of transparency, as well as weak policies and incapable institutions. Those supporting and hampering factors influence the development aid implementation of donor country to a recipient country, the policy papers under investigation focused almost all exclusively on development aid spent to the water sector in developing countries or fragile states, therefore the findings are valid for the implementation in this specific aid sector. However, not enough detailed knowledge has been conducted to fully answer the research question. For example, not all papers focused exclusively on the water sector and only the policy papers of one country, the United States, focused specifically on the water sector in Lebanon. Besides that the analysed policy papers are published since 2005, which means that no knowledge about the factors influencing the implementation process from 1990-2005 has been acquired. Therefore it can only be assumed, that the identified factors have also been important for the implementation process before 2005. Hence, the central research question can only partially be answered. Apart from the central research question, sub-questions have been raised in the introduction chapter 1.3 and answered in the analysis section 4.4, to provide a comprehensive picture about what influences the development aid implementation, who is involved in the process and how effective the aid implementation in the water, sanitation and hygiene sector actually is. Ultimately, the three sub-questions helped to give an answer to the central research question of this study.

## **5.2 Limits and Strengths' of the study, and recommendations for future research**

Finally, there are limitations to the research of this bachelor thesis. For future research is it helpful to be aware of those. The first limitation is the availability of relevant academic literature, the theoretical concepts of development aid, implementation factors and aid effectiveness are fragmented or very controversial. Another limitation is the data available, unfortunately only data from European countries or the US were available, but data from other countries such as Kuwait donating development aid to Lebanon was not publicly available. Besides that, the data found on government websites is from 2005 onwards and not from earlier years. Furthermore, realistic literature reviews' are usually used for policy intervention theory and not for policy papers therefore is literature review conducted in this thesis seen as a first attempt with this data. For that reason the structure and the execution of this review differs from other reviews which also followed the criteria by Pawson (2005). Like with other case studies, the results of the analysis cannot be generalized for other fragile states or other aid sectors and are only applicable for the specific context of the case. Yet, the insights gained from this case study can be transferred to other case studies, the dimensions used or other aspects of the study can be transferred to another case. In contrast to the limits of the study, contains this research several strong points. The first strength of the study is the combination of theory from public administration and development studies to analyse the implementation of development aid in the water sector in Lebanon by state actors. Secondly, Lebanon is used as case study, a country categorized as a middle-income country and fragile state alike, which makes the research about this unique case particularly interesting. Thirdly, new factors supporting and hampering the development aid

implementation process have been identified through the conduction of the realistic literature review. Besides that, has the research method of a realistic literature review, following the criteria of Pawson (2005) been conducted with policy papers from state actors, which can be considered as a new attempt to use this research method with this type of papers. Finally, for future research the following recommendations can be given, if more time is available to conduct the study, then more time can be used to look up a more comprehensive amount of data, papers that address the issue more specifically for the case of Lebanon. This leads to the second recommendation, the coding can be made more nuanced, so that the data extraction can be worked out in greater detail and the answer to the research question can be given more precisely. To conclude, the conducted study gave further insight in an interesting field of research and made a contribution to the already existing scientific knowledge.

This bachelor thesis aimed to answer the central research question ‘*What are the factors influencing the implementation of development aid by sector- specific state actors in the sector of water, sanitation and hygiene in Lebanon between 1990 and 2017?*’ In order to properly research this question, relevant literature has been discussed and the main concepts been outlined in the theory chapter. Followed by the methodology chapter, where the research design, operationalization, data collection method, case selection, data analysis and the limits of these methods been addressed. Chapter four of this thesis presents the analysis, which has been conducted by using the research method of a realistic literature review. The last chapter of the bachelor thesis is the conclusion chapter, where the results of the analysis are summarized, an answer to the central research question is provided and the limits, strength of the study are outlined and recommendations for future research are given.

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## Appendix

Table 5: Data extraction

<b>Policy Paper</b>	<b>Publisher</b>	<b>Publication date</b>	<b>Factors supporting the implementation process</b>	<b>Factors hampering the implementation process</b>	<b>Stakeholders</b>	<b>Monitoring instruments for effectiveness</b>	<b>Evaluation of effectiveness</b>	<b>Limitations</b>
<b>France's external action in the water and sanitation sector strategy</b>	Ministry of Foreign Affairs and International Development, France	2014	Present	Not present	Present	Present	Present	Not present
<b>Water Sector Strategy</b>	Federal Ministry for Economic Cooperation and Development (BMZ), Germany	2006	Present	Present	Present	Present	Not present	Present
<b>BMZ Water strategy paper</b>	Federal Ministry for Economic Cooperation and Development (BMZ), Germany	2017	Present	Not present	Present	Present	Present	Not present
<b>Water for All</b>	Deutsche Gesellschaft für international Zusammenarbeit (GIZ), Germany	2015	Present	Present	Present	Not present	Present	Not present
<b>Wash strategy paper 2016-2030</b>	Ministry of Foreign Affairs, The Netherlands	2017	Present	Not present	Present	Present	Present	Not present

<b>A World to Gain</b>	Ministry of Foreign Affairs, The Netherlands	2013	Not present	Not present	Present	Present	Not present	Not present
<b>Master Plan of the Spanish Cooperation 2013/2016</b>	Ministry of Foreign Affairs and Cooperation, Spain	No date	Present	Not present	Present	Present	Present	Present
<b>Regional Strategy for Sweden's Development Cooperation with the Middle East and North Africa (MENA): 2016-2020</b>	Ministry of Foreign Affairs, Sweden	2016	Present	Present	Present	Present	Present	Not present
<b>UK aid: tackling global challenges in the national interest</b>	Department for International Development, United Kingdom	2015	Present	Not present	Present	Present	Present	Not present
<b>Global Water Strategy</b>	U.S. Government	2017	Present	Present	Present	Present	Present	Not present
<b>USAID Water and Development Country Plan for Lebanon</b>	United States Agency for International Development (USAid)	No date	Present	Present	Present	Not Present	Not present	Not present
<b>Safeguarding the World's Water: Report of Water Sector Activities Fiscal Year 2015</b>	United States Agency for International Development (USAid)	No date	Present	Not present	Present	Present	Present	Not present