



Understanding the Influence of Leadership for Optimal Project Planning and Performance:

A Case Study of Environmental Land Management and Rural Livelihoods (ELMARL)





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Abbreviations and Acronyms

ADB	Asian Development Bank
AMIS	Agriculture Management Information System
BCRPRB	Building Climate Resilience in the Pyanj River Basin
BRCH	Building Resilience to Climate Related Hazards
CAP	Community Action Plan
CAWMP	Community Agriculture and Watershed Management Project
CBOs	Community-Based Organisation
CC	Climate Change
CDD	Community-Driven Development
CEP	Committee for Environmental Protection
CIF	Climate Investment Funds
CIG	Common Interest Group
CV	Climate Variability
DHM	Department of Hydrology and Meteorology
ELMARL	Environmental Land Management and Rural Livelihoods
FIP	Forest Investment Program
FO	Facilitation Organisation
FRL	Full Range of Leadership
ICT	Information and Communication Technology
MoAD	Ministry of Agriculture Development
NGO	Non-Governmental Organisation
NRM	Natural Resource Management
PDO	Primary Development Objective
PIU	Project Implementation Unit
PPCR	Pilot Program for Climate Resilience
PRA	Participatory Rural Appraisal
PUU	Pasture User Union
RA	Resource Assessment
RRCs	Rayon (District) Review Committees
SIDS	Small Island Developing States
SLM	Sustainable Land Management
SREP	Scaling-Up Renewable Energy Program in Low Income Countries
WMPs	Water Management Plans
WUAs	Water User Associations

Executive summary

In line with its mandate to serve as a learning laboratory, the Climate Investment Funds' (CIF) Evaluation and Learning (E&L) Initiative commissioned the study *Understanding the Influence of Leadership for Optimal Project Planning and Performance: A Case Study of Environmental Land Management and Rural Livelihoods (ELMARL)*. This learning activity is part of an attempt to understand, through the lens of the Full Range of Leadership (FRL) model, how different approaches to leadership influence the planning and performance of projects supported by the CIF's Pilot Program for Climate Resilience (PPCR). Specifically, the study focused on how two leadership approaches (transformational and transactional) influenced the planning and performance of a PPCR-supported project called *Environment Land Management and Rural Livelihoods (ELMARL)*, and gave recommendations on fostering leadership for optimal performance of PPCR projects through the different phases of the project cycle.

The FRL model: The study's conceptual framework

Bass (1985 cited by Antonakis, Avolio, and Sivasubramaniam, 2003) argued for a paradigm shift from transactional to transformational leadership. He stated that transactional leadership, by focusing on follower goal and role clarifications and the ways in which leaders sanctioned or rewarded followers, merely resulted in basic exchanges between leaders and their followers (Ibid). Transformational leadership, on the other hand, results in optimal performance as it influences followers to transcend self-interest for the common good of the organisation (Ibid). The FRL model as described by Bass and Riggio (2006) includes four components of transformational leadership, two components of transactional leadership, and one factor for laissez-faire leadership, which are defined in the table below.

Table 1: The FRL Model: Leadership Approaches and Components¹

Leadership Approaches	Leadership Components	
Transformational leadership	Idealised Influence: Acting as role models for their followers (based on the behaviour they demonstrate and that is attributed to them by their followers).	Inspirational Motivation: Motivating and inspiring their followers.
	Intellectual Stimulation: Stimulating followers' efforts to innovate.	Individualised Consideration: Addressing individuals' varying needs for achievement and growth.
Transactional leadership	Contingent Reward: Obtaining the follower's agreement on what needs to be delivered in return for promised or actual material reward.	Management-by-Exception: Using corrective action (based on active tracking of deviations from standards or the passive waiting for such deviations).
Laissez-faire leadership	The avoidance or absence of leadership, and inactive by definition.	

¹ Bass, B. M., & Riggio, R. E. (2006) Transformational Leadership, 2nd edn., Mahwah, NJ: Lawrence Erlbaum Associates.

Study programme and project

PPCR is a funding window of the CIF that aims to provide support to developing countries and regions in building their adaptation and resilience to the impacts of climate change (CIF, 2019). ELMARL was a PPCR-supported project. The community-driven-development (CDD) approach formed the central mechanism of the project, whereby community-based organisations (CBOs) took responsibility for the choice, design and management of rural investments and resource management plans (World Bank, 2013). Other key details of the project are summarised in the table below.


Table 2: ELMARL’s project summary

<i>Country</i>	Tajikistan (World Bank, 2018)
<i>Multilateral Development Bank (MDB)</i>	World Bank (Ibid)
<i>Implementing agency</i>	Committee on Environmental Protection (CEP) (Ibid)
<i>Total Project Cost (Actual Disbursed)</i>	USD 17,628,155 (Ibid)
<i>Status</i>	Closed (Ibid)
<i>Approval date (as of board presentation)</i>	March 29, 2013 (Ibid)
<i>Effectiveness date</i>	October 3, 2013 (Ibid)
<i>Closing date</i>	May 31, 2018 (Ibid)
<i>Project Development Objective (PDO)</i>	“To enable rural people to increase their productive assets in ways that improve natural resource management and resilience to climate change in selected climate vulnerable sites” (Ibid: 1)
<i>Overall outcome rating</i>	Assessing ELMARL’s overall outcome rating of <i>satisfactory</i> , World Bank (2018: 18) states: “The overall outcome rating is based on the high relevance of objectives, the substantial efficacy rating with the achievement of all PDO objectives and the substantial efficiency rating with significant positive short and long-term economic rates of return.”

In addition to ELMARL, two other projects, namely the “Building Climate Resilience in the Pyanj River Basin” (BCRPRB) and “Building Resilience to Climate Related Hazards” (BRCH) were also studied. However, due to methodological limitations associated with limited access to interviewees, the ELMARL project was the primary focus of this evaluation and learning study. Nevertheless, the BCRPRB and BRCH projects did provide additional insights (Annex 2 and 3).

Study methodology

Six individual qualitative interviews formed the primary data source on the behaviours individuals and groups adopted to initiate and manage change, and the effects of these behaviours on the planning and performance of ELMARL. Project documents were also an important source of information in this regard. In addition, the project documents offered key contextual information to the interviewee responses. Once the data was collected, analysis entailed coding the behaviours of individuals and groups behind the reported changes according to their alignment with the components of transformational and transactional leadership. In order to ensure the quality of the coding process, all interviewees were asked to review the analysis and all interviewees’ feedback was



incorporated. The primary methodological constraint faced by the study was limited access to interviewees, which as mentioned, resulted in a primary focus on the single project ELMARL.

Summary of findings

The insights from this learning activity support the argument made by Bass (1985) that transactional leadership leads to basic exchanges between leaders and their followers, while transformational leadership results in optimal performance (since it influences followers to go beyond self-interest, for the common good of the organization). Specifically, the case of ELMARL shows that components of transformational leadership played a primary role in the integration of and the capacity building for the project's central mechanism (i.e. the CDD approach), monitoring and evaluation (M&E), and knowledge management. Components of transactional leadership played a primary role in addressing issues of compliance, such as those related to M&E.

1. Integration of the CDD Approach:

The CDD approach requires active participation from beneficiaries in the choice, design and management of rural investments and resource management plans. By design, the CDD approach emphasizes enhanced beneficiary agency and creates the potential for beneficiaries to act independently and to make their own choices. The CDD approach was incorporated into the design of ELMARL based on the lessons learned from the Community Agriculture and Watershed Management Project (CAWMP). The CAWMP was an earlier project in Tajikistan that had successfully adopted the CDD approach to promote fairness, equity and transparency through village-level participatory appraisals and community action plans. Therefore, the World Bank's approach of constant learning and improvement stimulated its own efforts to innovate and led to the incorporation of the CDD approach into the design of ELMARL. The institutional practice of constant learning and improvement aligns with the Intellectual Stimulation component of transformational leadership.

2. Capacity Building for the CDD Approach:

The CDD approach helped build capacity for two primary stakeholders: 1) the implementing agency i.e. the Committee for Environmental Protection (CEP) and 2) the community-based organizations (CBOs). Firstly, the CDD approach created ownership and benefits despite the initial limited capacity among the implementing agency, the implementing partners, and the communities. All leadership components that contributed towards developing the capacity of the implementing agency relate to transformational leadership, underscoring its importance in addressing capacity constraints. Secondly, the components of transformational leadership were central in addressing CDD-related constraints experienced by CBOs. The active form of Management-By-Exception also played an important role when combined with components of transformational leadership.

3. Monitoring and Evaluation (M&E):

According to the World Bank, despite the limited capacity for monitoring and evaluation (M&E) early on during project implementation, the "overall rating for the quality of M&E system (of ELMARL) is substantial"². It was found that there

² World Bank (2018) Implementation Completion and Results Report for an Environmental Land Management and Rural Livelihoods Project (P122694), Available

was greater use of transactional leadership components in relation to improving the M&E system, which is unsurprising, given that improving the M&E system is a matter of ensuring compliance with legal requirements. However, Individualized Consideration (transformational leadership) was also used when addressing M&E capacity constraints.

4. Knowledge Management:

As part of the ELMARL project, a knowledge management platform was created to gather knowledge and good practices generated for wider dissemination. This digital platform was based on a concept developed by Digital Green, originally developed in India. Since it was challenging to develop this innovative platform in such a short time period, and particularly since this was a new initiative for CEP, the World Bank team arranged a learning visit with another project working with Digital Green in India. This enabled relevant CEP staff to see the knowledge management platform in practice, helping to build their capacity and develop a more concrete understanding of the platform. This highlighted how Individualized Consideration (transformational leadership) contributed to CEP’s understanding of the knowledge management platform.

5. Enabling factors:

Six different factors allowed, facilitated or incentivized the process of initiating and managing positive changes in ELMARL. These enabling factors include:

1. The challenges of the CDD as incentives for different stakeholders to exercise transformational components of leadership;
2. The approach of constant learning and improving (to build the challenges of the CDD approach directly into the design of the project);
3. The varied experience and teamwork of the World Bank team (influencing the design and performance of ELMARL);
4. The Implementation Group (IG) as an institutional mechanism for enabling experts to act as agents of change;
5. Rayon (District) Review Committees (RRCs) as an effective decentralized governance mechanism (incentivizing district/local government officials and community members to work together to re-plan or adjust sub-projects); and
6. Grants as a license for greater innovation.

Recommendations

Based on its findings, this study advocates for the fostering of transformational leadership among PPCR projects for optimal project performance. Specific recommendations for different phases of the project cycle are presented in the table below.

Table 3: Opportunities for fostering transformational leadership for optimal performance

Project cycle phase	Recommendation
Project Design and Planning	<ul style="list-style-type: none"> • The Intellectual Stimulation component of transformational leadership can be institutionalized through systematic learning and improvement. This, in turn, should lead to improved project design and planning. However, the effectiveness of such a system

at: <http://documents.worldbank.org/curated/en/183461545337753103/pdf/icr00004451-12172018-636808536685094337.pdf> (Accessed: 25/05/2019)

	<p>depends on the capacity of the teams involved. Knowledgeable teams, with diverse backgrounds, that effectively work together may hold the key to optimizing systematic learning and improvement.</p> <ul style="list-style-type: none"> • Strong transformational leadership may be required for optimal performance in CDD projects, especially when capacity constraints exist. Measures to enhance transformational leadership qualities among key stakeholders should be built into the plans of CDD initiatives.
Recruitment	<ul style="list-style-type: none"> • Behaviors related to the components of transformational leadership should be assessed while recruiting.
Learning and Development	<ul style="list-style-type: none"> • Evidence suggests that transformational leadership training can be an effective instrument for fostering this type of leadership. Thus, this training should be considered when tailoring programs to strengthen leadership. • When transformational leadership appears at higher levels of management, this type of leadership is present at the next (lower) level of management as well. This suggests that, in the context of limited resources, the transformational leadership training should be targeted at higher levels of management. • The influence of others is critical to developing transformational leadership. Therefore, those who have received transformational leadership training or have demonstrated components of transformational leadership, should be given opportunities to coach, mentor, and train peers. • Individuals should be expected to demonstrate transformational leadership qualities and their performance should be assessed against them.
Research, Monitoring and Evaluation	<ul style="list-style-type: none"> • Monitoring and evaluation reports should systematically document the components of leadership, as specified by the FRL model, that influence changes in the planning and performance of interventions. • To obtain instructive and robust conclusions on the influence of leadership components on the planning and performance of projects and programs, leadership styles and their impact on organizational culture and effectiveness should be systematically measured during different phases of the project cycle. • Determinants of the levels of transformational leadership among individuals and groups should be investigated in order to inform future interventions that aim to foster transformational leadership.

1. Introduction

This section introduces the study purpose, conceptual framework, programme and project, and methodology. It is followed by a section on the findings of the study. The report concludes with a proposed way forward.

1.1. Purpose of the study

The USD 8 billion Climate Investment Funds (CIF) aim to accelerate “climate action by empowering transformations in clean technology, energy access, climate resilience, and sustainable forests in developing and middle income countries” (CIF, 2019). The CIF were founded with the mandate to serve as a learning laboratory for scaled-up climate finance. The CIF Evaluation and Learning (E&L) Initiative is helping to fulfil this mandate through a range of strategic and demand-driven evaluations covering some of the most important and pressing challenges facing climate finance funders and practitioners. Drawing on experience from across the CIF portfolio of investments in clean energy, forests and resilience in 72 developing countries, the E&L Initiative uses evaluation to enable learning that is relevant, timely and used to inform decisions and strategies, for both the CIF and the wider climate finance sector.

This study was commissioned by CIFs’ E&L Initiative as a learning activity that uses the Full Range of Leadership (FRL) model as its conceptual framework to understand how different approaches to leadership influence the planning and performance of projects supported by the CIF’s Pilot Program for Climate Resilience (PPCR). Specifically, the study focused on how two leadership approaches (transformational and transactional) influenced the planning and performance of a PPCR-supported project called *Environment Land Management and Rural Livelihoods (ELMARL)*, and gave recommendations on fostering leadership for optimal performance of PPCR projects through the different phases of the project cycle.


The study does not aim to evaluate leadership in different projects. The primary focus of the study is the case of the PPCR-supported Environment Land Management and Rural Livelihoods (ELMARL). However, additional insights are provided by case studies related to Building Climate Resilience in the Pyanj River Basin (BCPRB) and Building Resilience to Climate Related Hazards (BRCH), which are provided in Annexes 2 and 3.

An important clarification is the meaning of *leadership* for the purpose of this study. By leadership, the study refers to the set of behaviours demonstrated by external or internal individuals or groups to initiate and manage change in the planning and performance of a project (Lunenburg, 2001). The study does not seek to classify individuals or groups as leaders or non-leaders. It instead focuses on understanding the *behaviours* that individuals or groups use to initiate and manage change in the planning and performance of a project, and the subsequent efficacy of these behaviours.

1.2. The conceptual framework of the study: The FRL model

Bass (1985 cited by Antonakis, Avolio, and Sivasubramaniam, 2003) argued for a paradigm shift from transactional to transformational leadership. He stated that transactional leadership, by focusing on follower goal and role clarifications and the ways in which leaders sanctioned or rewarded followers, merely resulted in basic exchanges between leaders and their followers (Ibid). Transformational leadership, on the other hand, results in optimal performance as it influences followers to transcend self-interest for the common good of the organisation (Ibid). Transformational leaders are “proactive, raise follower awareness for transcendent collective interests, and help followers achieve extraordinary goals” (Antonakis, Avolio, and Sivasubramaniam, 2003: 264).

Bass and other authors (Avolio and Bass, 1991; Avolio, Waldman, and Yammarino, 1991; Bass, 1998; Bass and Avolio, 1994; Hater and Bass, 1988; Bass and Riggio,



2006) developed the FRL model to include four components of transformational leadership, two components of transactional leadership, and one factor for laissez-faire (or non-leadership) leadership (Ibid: 264). The subsequent explanation of FRL (sections 1.2.1 and 1.2.2) is based on Bass and Riggio (2006). (The FRL forms the basis for Multifactor Leadership Questionnaire (MLQ), the instrument most widely applied in published empirical research on transformational leadership (Bass and Riggio, 2006; Posner, 2016)).

1.2.1. Transformational leadership

The FRL model includes four components of transformational leadership:

- **Idealised Influence:** Transformational leaders' behaviour allows them to act as role models for their followers. Leaders with high levels of Idealised Influence demonstrate the willingness to take risks, demonstrate consistency, and have high moral and ethical standards. Qualities such as extraordinary capabilities, persistence, and determination are attributed to them by their followers. Their followers admire, respect, and trust them and thereby want to emulate them. Idealised Influence is, therefore, embodied in (a) the leader's behaviour and (b) in attributions that are made by followers regarding the leader.
- **Inspirational Motivation:** Transformational leaders act to motivate and inspire their followers by providing meaning and challenge to their work; stimulating team spirit; displaying enthusiasm and optimism; involving followers in envisioning attractive future states; creating and communicating expectations followers want to meet; and demonstrating commitment to goals and the shared vision.
- **Intellectual stimulation:** Transformational leaders act to stimulate followers' efforts to innovate. Followers are included in the process of identifying problems and solutions, and they are encouraged to implement new approaches that yield creative ideas and solutions to problems. Transformational leaders do not criticise followers' ideas because they do not align with their own ideas and they do not engage in public criticism of followers' mistakes.
- **Individualised Consideration:** Transformational leaders address individuals' different needs for achievement and growth through coaching; mentoring; creating opportunities and a supportive climate for learning; encouraging a two-way exchange in communication; and delegating tasks and giving additional direction in order to encourage development.

An important caveat is that transformational leadership is not inauthentic (pseudo-transformational) transformational leadership. Authentic transformational leadership transcends self-interests for utilitarian or moral reasons. In other words, authentic transformational leadership is by definition grounded in utilitarian or moral foundations. This is in contrast with pseudo-transformational, which is based on distorted utilitarian and moral principles; resulting in the leader displaying self-concerned, self-aggrandising, exploitative, and power-oriented behaviours. The difference between authentic and inauthentic transformational relates to all four dimensions of transformational leadership. For example, Idealised Influence and Inspirational Motivation are used authentically when the leader engages followers to a noble cause that benefits all. On the other hand, the two components can be used for manipulation and the creation of unhealthy dependence among followers.

1.2.2. Transactional leadership and Laissez-faire leadership

FRL includes two primary components of transactional leadership:

- **Contingent Reward:** Entails the leader assigning or obtaining the follower's agreement on what needs to be delivered in return for promised or actual material reward.
- **Management-by-Exception:** Involves the use of corrective action based on active tracking of deviations from standards or the passive waiting for such deviations. The active form of Management-By-Exception involves active tracking of deviations whereas its passive form involves passively waiting for deviations.

Laissez-faire leadership, on the other hand, is characterised by the avoidance or absence of leadership, and it is by definition inactive.

It is fundamental to FRL that each of the above leadership styles is practiced by each leader to some degree. The optimal profile of a leader involves successively higher frequencies of the passive form of management-by-exception, the active form of management-by-exception, Contingent Reward, and the four components of transformational leadership. It rarely involves laissez-faire leadership. Conversely, a poorly performing leader maximises laissez-faire leadership and minimises the components of transformational leadership. This implies that the presentation of leaders as either transformational or transactional leaders is a false dichotomy.

1.3. Overview of study programme and project

This section provides overviews of the study programme and project, specifically, PPCR and ELMARL.

1.3.1. Pilot Program for Climate Resilience (PPCR)

The Strategic Climate Fund (SCF), one of the two funds of the CIF, "serves as an overarching framework to support three targeted programs with dedicated funding to pilot new approaches with potential for scaled-up, transformational action aimed at a specific climate change challenge or sectoral response" (CIF, 2019). The USD 1.2 billion Pilot Program for Climate Resilience (PPCR) is one of SCF's three targeted programmes, the other two being the Forest Investment Program (FIP) and the Program for Scaling-Up Renewable Energy in Low Income Countries (SREP) (Ibid). PPCR, which was approved in 2008 and is the first SCF targeted programme to become operational, "supports developing countries and regions in building their adaptation and resilience to the impacts of climate change. First, the PPCR assists governments in integrating climate resilience into strategic development planning across sectors and stakeholder groups. Second, it provides concessional and grant funding to put the plans into action and pilot innovative public and private sector solutions" (Ibid). For more details on PPCR's objectives, please see Annex 1, which presents the logic model of PPCR (CIF, 2012). The World Bank serves as the Trustee and Administrative Unit of the PPCR (CFU, 2019). The implementing agencies for PPCR investments are: The World Bank Group, the African Development Bank, the Asian Development Bank, the European Bank for Reconstruction and Development, and the Inter-American Development Bank (Ibid).

Below is a table that provides a project summary of Environment Land Management and Rural Livelihoods (ELMARL). It is followed by a description of ELMARL's central mechanism i.e. the community-driven-development (CDD) approach (World Bank, 2013). The CDD approach features prominently in the findings section.

Table 1.1: ELMARL’s project summary

Country	Tajikistan (World Bank, 2019a)
Multilateral Development Bank (MDB)	World Bank
Implementing Agency	Committee on Environmental Protection (CEP)
Region	Europe and Central Asia (Ibid)
Practice Area (Lead)	Environment & Natural Resources (Ibid)
Total Project Cost	USD 17.63 million (Ibid)
Status	Closed (Ibid)
Approval Date (As of Board Presentation)	March 29, 2013 (Ibid)
Effectiveness Date	October 3, 2013 (Ibid)
Closing Date	May 31, 2018 (Ibid)
Project Development Objective (PDO)/Aim	“To enable rural people to increase their productive assets in ways that improve natural resource management and resilience to climate change in selected climate vulnerable sites” (Ibid: 1)
Components/Outputs	<p>According to World Bank (2019b):</p> <p>Component 1: Rural production and land resource management investments, that provided financing in the form of small grants for subcomponents;</p> <p>Component 2: Knowledge management and institutional support, that provided facilitation services and technical and institutional support for rural populations to plan, implement and manage rural investments. Relevant data collection and analysis, and information exchange for wider adoption of sustainable land management were also supported;</p> <p>Component 3: Project management and coordination, that financed the operating costs of an Implementation Group (IG) within the Committee for Environmental Protection (CEP) to carry out project management functions.</p>
Overall Outcome Rating	Assessing ELMARL’s overall outcome rating of <i>satisfactory</i> , World Bank (2018: 18) states: “The overall outcome rating is based on the high relevance of objectives, the substantial efficacy rating with the achievement of all PDO objectives and the substantial efficiency rating with significant positive short and long-term economic rates of return.”

With regard to ELMARL's CDD approach, World Bank (2013: 3) states: "The project (ELMARL) follows the concept of community-driven development with community-based organizations taking responsibility for the choice, design and management of rural investments and resource management plans." World Bank (2018) states that the community-based organizations (CBOs) involved in ELMARL included:

- Common Interest Group (CIGs): Groups of households that were the target beneficiaries of village-level investments.
- Pasture User Unions (PUUs): Self-governed unions of pasture-land users that were the target beneficiaries of larger-scale initiatives beyond the village, particularly those related to sustainable community pasture management.
- Water User Associations (WUAs): Self-governed associations of water users that were the target beneficiaries of larger-scale initiatives beyond the village, such as those related to on-farm water management in lowland areas.


A broad description of ELMARL's CDD approach follows:

- A Resource Assessment (RA) takes place, which includes (a) an environmental analysis to better understand environmental threats and impacts and (b) a climate change analysis to better understand impacts and vulnerability to disasters (World Bank, 2018).
- In turn, the information from the RA is used to inform a Participatory Rural Appraisal (PRA), which supports analysis of "socio-economic and environmental situations" and the designing and prioritising of "interventions for improving NRM (Natural Resource Management) and climate resilience as part of Community Action Plans (CAPs)", Pasture Management Plans (PMPs) or Water Management Plan (WMPs) (Ibid: 15).
- These plans undergo prioritisation based on project financing and eligibility, and serve as the basis for sub-project proposals, WUA planned investments or PUU planned investments (depending on the type of initiative proposed) (Ibid).
- Proposals and planned investments that are clearly linked to the findings of appraisals and are environmentally, economically and socially feasible are financed. In addition, district-level committees consisting of relevant government representatives review all investments and help to ensure alignment with local development plans and project objectives (Ibid).
- If a grant to finance a proposal or a planned investment is approved, then it requires a match of 25% in beneficiary contributions (in cash or in-kind) (Ibid).
- The beneficiary CBO subsequently operates and/or manages the scheme (Ibid).

Local Facilitation Organisations (FOs) (i.e. experienced, locally based NGOs) facilitated community mobilisation, participatory planning, and rural investment planning and implementation (World Bank, 2013: 3). Local FOs also provided facilitation support for the preparation of pasture and on-farm water management plans, which were operated at larger scales of operation than the rural production investments (Ibid). In addition, the local FOs coordinated with local government and supporting organisations to provide these services as required (Ibid).

1.4. Methodology

The key data and information sources for the study were six individual qualitative interviews with key informants that took place between 10 January 2019 and 18 April 2019. Additional data was gathered from project documents on ELMARL, mainly the Implementation Completion and Results Report (World Bank, 2018), the Final Evaluation Report (Mustaeva, 2018), and the Project Appraisal Document (World Bank, 2013). The



interviews were the primary data source on the behaviours individuals and groups adopted to initiate and manage change, and the effects of these behaviours on the planning and performance of ELMARL. The project documents were also an important source of information in this regard. In addition, they offer key contextual information to the interviewee responses.

At the analysis stage, the behaviours of individuals and groups behind the reported changes in the planning and performance of ELMARL were coded according to different components of transformational and transactional leadership. The coding process involved the analysis of interview transcripts and project documents by the author, who coded the said behaviours according to their alignment with the components of transformational and transactional leadership. In order to ensure the quality of the coding process, all interviewees were asked to review the analysis. All respondents related to ELMARL, with the exception of Interviewee B, either validated the analysis or suggested changes. Any changes suggested by the interviewees were incorporated. In addition, every effort was made to verify interviewee responses through the responses of other interviewees and project documents.

Regarding methodological limitations, the study faced a considerable operational constraint in the form of limited access to interviewees. The study was originally designed as a mixed-methods study but the lack of respondents did not allow for a representative sample, which therefore, made the quantitative part of the study impossible to implement. Access to respondents for qualitative interviews also proved to be difficult. The available interviewees provided significant knowledge on the role of leadership vis-à-vis project planning and performance. The limited number of interviewees, nonetheless, meant that key informants who could shed greater light on the leadership by external stakeholders and the leadership behind the project design were mostly inaccessible.

An additional limitation is that the respondents were either assessing the influence of leadership on the planning and performance of the project they were associated with or they were assessing the influence of their own leadership on the planning and performance of the project. These two types of assessments may have led to a positive bias in interviewee responses, with respondents more likely to emphasise positive aspects of leadership and the concordant changes in project planning and performance. The components of transformational and transactional leadership are, by definition, not completely distinguishable from one another and this poses a challenge in using them for coding behaviours individuals and groups adopted to initiate and manage change.

It is important to note that only two interviewees each were available for BCRPRB and BRCH. The limited number of interviews and data for these two projects meant that the primary focus of the study was limited to a single project i.e. ELMARL. Interview-based discussions on leadership styles have been developed for the other two projects, which provide additional insights. It is also pertinent to note that only one of the four respective interviewees officially reviewed the analysis, which suggests that the analysis of the case studies for BCRPRB and BRCH may not be as reliable as the analysis for ELMARL.

All interview responses have been anonymised for this report. However, the list of interviewees is given in Annex 4.

2. Findings

This section provides a discussion of how different leadership components made contributions related to the CDD approach, Monitoring and Evaluation (M&E), and knowledge management. Factors that enabled the process of initiating and managing positive changes in ELMARL are also discussed.

2.1. Building CDD into ELMARL's design

ELMARL's CDD approach is one that by definition requires active participation from beneficiaries in the choice, design and management of rural investments and resource management plans (World Bank, 2013 and World Bank, 2018). In essence, the CDD approach by design emphasises enhanced beneficiary agency (Ibid). It creates the potential for beneficiaries to act independently and to make their own choices (Ibid). Similarly, the CDD approach by design emphasises the Intellectual Stimulation component of transformational leadership – it aims to (a) stimulate beneficiaries' efforts to identify problems and solutions and (b) encourages beneficiaries to implement and manage those solutions (World Bank, 2013, World Bank, 2018, and Bass and Riggio, 2006).

In addition, the CDD approach was built into the design of ELMARL by the World Bank based on its experience of Community Agriculture and Watershed Management Project (CAWMP); an earlier project in Tajikistan that had adopted the CDD approach (World Bank, 2013, World Bank 2018, Interviewee D, 2019, and Interviewee E, 2019). For example, World Bank (2013: 10) states: "The project (ELMARL) will then use the successful approach of village-level participatory appraisals and community action plans implemented under CAWMP, which promote fairness, equity, and transparency." Further, applying lessons learned from one project in order to improve another is an approach the World Bank emphasises and this practice resulted in CDD being incorporated into the design of ELMARL (Interviewee D, 2019).

Put simply, the CDD approach by design created more potential for beneficiaries to practice agency and intellectual stimulation (World Bank, 2013, World Bank, 2018, and Bass and Riggio, 2006). It is also an approach that yielded positive results in the case of CAWMP (World Bank, 2013). Behind its incorporation into ELMARL's design is the World Bank's approach of constant learning and improvement that stimulates its own efforts to innovate and, therefore, aligns with the Intellectual Stimulation component of transformational leadership (Interviewee D, 2019 and Bass and Riggio, 2006).

2.2. Realising the potential of the CDD approach

World Bank (2018: 26) describes one of the primary benefits of ELMARL's CDD approach: "Ownership was created among beneficiaries to take responsibility for the interventions and maintain their livelihoods in sustainable ways through CDD planning and decision-making approaches." In other words, ELMARL's CDD planning and decision-making approaches enabled local beneficiaries, to initiate and manage change in their livelihoods as per their local needs while remaining within the confines of the project's development objective (Ibid). The report further states that ELMARL's CDD approach contributed to both ownership and benefit generation, and therefore, provided beneficiaries with the motivation to sustain results (Ibid). The respective benefits of CDD have not been limited to men (World Bank, 2018 and Mustaeva, 2018). ELMARL ensured "the strict and targeted inclusion of women", with 48% of its direct beneficiaries being females and "18% of all investment subprojects governed by female heads" (Mustaeva, 2018: 7). ELMARL-supported CIGs included 21 percent female-led CIGs and two percent women-only CIGs (World Bank, 2018). Three board members of ELMARL-supported WUAs and 18 Council members of PUUs are female (Ibid). Indeed, "across the project

regions, women saw a higher increase in well-being than men”, largely due to the project being able to create work opportunities for rural women (Ibid: 18).

ELMARL was able to create ownership and benefits, and consequently the motivation to sustain results in spite of the initial limited capacity for the CDD approach among CEP, IG, local FOs, and the communities (Ibid). World Bank (2018: 24) characterised the CDD approach as “relatively new in Tajikistan” at the time ELMARL began. It also stated that the CEP and IG had “limited experience” with CDD projects and community participation (Ibid: 22), and that the capacity constraints of local FOs in terms of the CDD approach had initially been underestimated (Ibid). Earlier, World Bank (2013:16) gave both the implementing agency capacity and the CDD approach the risk rating of *substantial*, stating that CEP’s “experience with managing World Bank financed projects is limited” and that “there is a lack of procurement and financial management knowledge and capacity at the community level”. The following section synthesises interviewee responses and project documents to show how different stakeholders applied a variety of approaches to leadership in their efforts to initiate and manage changes that addressed these capacity constraints and realised the potential of the CDD approach.

2.2.1. Enhancing CEP’s capacity for the CDD approach

2.2.1.1. Enhanced CEP commitment to CDD

Interviewee D (2019) states that the World Bank team addressed capacity constraints of CEP by encouraging the CEP team and providing it with technical support. Apprehensive that CEP may in fact not have the level of commitment required for the optimal implementation of the participatory planning process, the World Bank team worked to engage relevant CEP staff (Ibid). The World Bank team encouraged their CEP counterparts by helping them understand that the CDD approach promises “more sustainable results” and by giving them examples of demonstrated successes of the approach in Tajikistan (Ibid). This suggests the World Bank team worked to inspire and motivate the CEP team by providing meaning to their CDD-related work, which aligns with the Inspirational Motivation component of transformational leadership (Interviewee D, 2019 and Bass and Riggio, 2006).

2.2.1.2 Increased CDD-related knowledge and skills among CEP staff

Interviewee D (2019) also reports that they, as a member of the World Bank team, made an effort to address CDD-related capacity gaps of CEP staff through training, including one-on-one sessions, with the approach to training determined by the different requirements of the CEP staff. The respondent states that their general approach to initiating and managing change is one that is based on helping others address challenges, such as applying the CDD approach, by answering their questions as many times as is required (Ibid). The respondent contrasts this approach with one that is based on punishing poor behaviour. For example, the respondent mentions community level budget management approaches as an area that they consistently revisited with project staff during their time at ELMARL (Ibid). This approach, however, does not preclude encouraging creativity; the respondent clearly states that encouraging different approaches and exploring them with others in order to achieve intended results is a practice that they follow (Ibid). The respondent’s stated approach towards addressing CDD-related knowledge and skill gaps among CEP staff corresponds with the Individualised Consideration component of transformational leadership (Interviewee D, 2019 and Bass and Riggio, 2006). It aims to address individuals’ different needs for achievement and growth through mentoring and the creation of opportunities and a supportive climate for learning (Ibid). The respondent’s stated approach also corresponds with the Intellectual Stimulation as they encourage CEP staff to identify and implement new approaches to improve the application of the CDD approach (Ibid).

2.2.1.3. Changes in project team structure to improve project implementation and disbursement

Interviewee F (2019b) reports that changes in the structure of the CEP project team were required to improve the project's implementation and disbursement. Interviewee F (2019b) gives the following examples:

- A consultant on legal issues had not been foreseen but was required in order to assist Pasture User Unions (PUUs) to gain access to privately owned pasture lands;
- A consultant on pasture land management and a Monitoring and Evaluation Specialist were required full-time to bring about improvements in these areas, although these positions were not specified in the initial plans.

The CEP project team accordingly placed requests with the World Bank team for such changes in structure, and they were approved by the World Bank team once a strong justification was provided (Ibid). Interviewee F says that this is an example of the World Bank team's "flexible" approach, whereby it was open to new ways of working in order to make progress as long as strong justifications were provided (Ibid). The respondent states that this approach was overarching and not only specific to changes in team structure (Ibid). This suggests that the World Bank team's approach to leadership aligned with the Intellectual Stimulation component of transformational leadership – it included the project team in identifying problems and solutions and encouraged it to implement new approaches that yielded creative ideas and solutions (Interviewee F, 2019b and Bass and Riggio, 2006).


2.2.1.4. Enhanced capacity of CEP to promote community-driven Sustainable Land Management (SLM)

In addition, Mustaeva (2018) reports that ELMARL has contributed to enhancing the institutional capacity of CEP for CDD by developing the willingness and ability of CEP district officers to not simply have an approach focused on top-down prevention and control but to also work to promote community-driven SLM in the districts where they work by teaching or guiding communities. The author says that this enhanced capacity of CEP district officers is due to their regular engagement at all levels of ELMARL implementation: Participatory Rural Appraisal (PRA), selection and approval of sub-projects, monitoring, and training (Ibid). The author terms it as "the most successful example of ELMARL in institutional setting and capacity building" (Ibid: 23). Indeed, it ensures that CEP has begun to develop as an institution that not only polices irregularities (e.g. tree-cutting, environmental pollution) at the district level, but also builds the capacity of communities in SLM (Ibid). Interviewee E (2019) adds that the respective capacity of CEP district officers has improved as community members have, over time, acquired knowledge of community-driven SLM through actors such as activists/informal leaders and they have shared this knowledge with the CEP district officers. Put simply, CEP district officers grew into promoters of community-driven SLM as they were provided with a climate that created opportunities for their learning and development (Mustaeva, 2018, Interviewee E, 2019). This approach corresponds with the Individualised Consideration component of transformational leadership (Mustaeva, 2018, Interviewee E, 2019, and Bass and Riggio, 2006).

2.2.2. Enhancing CBOs' ability to implement the CDD approach

2.2.2.1. Improved planning and implementation of sub-projects

Interviewee F (2019a) and Interviewee A (2019) underscore the role played by activists (or informal leaders) in motivating potential beneficiaries of ELMARL. Interviewee F (2019a) describes these activists as volunteers, who benefitted from ELMARL's support and shared their positive experiences and knowledge with people from other villages in



order to engage them and/or to contribute to the effective planning and/or implementation of projects. Interviewee A (2019) says that effective activists have the ability to communicate with others in their own language and in a manner that they understand CDD, the initiatives the activists were or are a part of, and the benefits of these initiatives. The respondent says that activists were present during almost all participatory rural processes in order to increase participation and/or contribute towards effective project planning and/or implementation (Ibid). The activists were at their most effective when they helped to promote new or innovative solutions to potential or actual beneficiaries by illustrating how the same solutions benefitted their communities (Ibid). Communities were more willing and/or able to adopt new or innovative solutions when they saw their success in neighbouring areas (Ibid). The account of effective activists provided by Interviewee A (2019) suggests that their behaviours correspond with two components of transformational leadership as specified by Bass and Riggio, (2006) i.e. Inspirational Motivation and Intellectual Stimulation. They demonstrate the former by motivating community members through involving them in envisioning attractive future states (Interviewee A, 2019 and Bass and Riggio, 2006). They demonstrate the latter by encouraging community members to (a) take part in the process of identifying problems and solutions and (b) implement new approaches that yield problem solutions (Ibid).


2.2.2.2. Improved quality and ownership of sub-projects

ELMARL created Rayon (District) Review Committees (RRCs), which “naturally evolved to be much more engaged in the project than originally envisioned and proved to be an effective decentralised governance mechanism. The RRC made an effort (above and beyond their envisioned role) to review community sub-projects against jamoat (village) development plans, screen against environmental criteria and ensure overall quality of the investments. It provided the larger context within which community activities were implemented and strengthened the bottom-up approach by serving as a vehicle for collaboration between farmers and representatives of district CEP offices and jamoat/local authorities, contributing to increased ownership” (World Bank, 2018: 67). RRCs, therefore, actively tracked deviations from plans and standards and accordingly took remedial measures (Ibid). This aligns with the active form of Management-By-Exception, a component of transactional leadership (World Bank, 2018 and Bass and Riggio, 2006). As a result, the RRC and community members worked together to re-plan or adjust sub-projects so that they bridged community-level interests and the priorities of the RRCs (World Bank, 2018). This aligns with the Intellectual Stimulation component of transformational leadership (World Bank, 2018 and Bass and Riggio, 2006).

2.2.2.3. More innovative sub-project proposals

Interviewee D (2019) emphasises Intellectual Stimulation component of transformational leadership as one of the key means of realising the CDD approach in the case of ELMARL. The respondent states that as CEP received a grant, and not a loan, there was greater room to take risks and innovate (Ibid). As a loan is to be paid back, it potentially restricts the recipient from taking risks and innovating (Ibid). On the other hand, a grantee can use approaches that are not business as usual per se, and learn through trial and error (Ibid). This entails that CEP could take the risk of adopting the CDD approach, which it was unfamiliar with (Ibid). On the other hand, this also meant that the World Bank team could demand CEP, local FOs, and potential beneficiaries to demonstrate greater innovation (Ibid).

In this context, the World Bank team stimulated intellect by assessing sub-project proposals and asking local FOs to go back to the potential beneficiaries and explore if more innovation could take place (Ibid). As a result, local FOs started to present potential beneficiaries with new ways of achieving their targets (Ibid). The World Bank team, therefore, initiated a process of innovation whereby potential beneficiaries revised



Community Action Plan (CAPs) based on new and, possibly, riskier ideas they had after having given their initial CAPs some thought (Ibid). Examples of this include growing water melons in the mountains, where they had previously not been grown, and undertaking water efficient horticulture production where there was low water availability (Ibid).

Interviewee D states that this process of intellectual stimulation is incentivised or enabled by the World Bank's rigorous review procedure at the design stage before any approval is given (Ibid). This allows lessons learned to be incorporated at the review stage and for initiatives to take place differently (Ibid). However, the rigorous review procedure is necessary but not sufficient for a culture of learning and innovation as its effective implementation is largely a function of the willingness and ability of individuals (Ibid). In the case of ELMARL, Interviewee D says that the World Bank team came from varied backgrounds and the said procedure allowed them to bring their different experiences, including those from outside the World Bank, to influence the design of these sub-projects (Ibid).

2.2.2.4. More accessible sub-project proposal templates for communities

Interviewee F (2019b) reports that CEP was working with CIGs to develop sub-project proposals. However, the number of sub-projects that had been started by the middle of the project was unexpectedly low (Ibid). The respondent attributes this to the first version of the project proposal template to be difficult for community members to fill, who did not have prior proposal writing experience (Ibid). In particular, communities found the parts on project sustainability and environmental safeguards of the project to require a high level of knowledge they did not possess (Ibid). To simplify such parts of the proposal template without reducing their efficacy, the CEP team had a series of discussions with the World Bank team, and the two subsequently found middle ground (Ibid). This enabled communities to write more successful project proposals and make project implementation more successful (Ibid). This is also an example of the World Bank team's above-mentioned flexible approach, which corresponds with the Intellectual Stimulation component of transformational leadership (Interviewee F, 2019b and Bass and Riggio, 2006).

2.2.2.5. Secure rights to pasture lands for PUUs

World Bank (2018: 26) states: "Insecure land tenure and land acquisition rights present challenges, particularly for PUUs' transition to fully self-sustaining institutions. Without secure rights to pasture land, PUUs face difficulties in collecting membership fees to cover the future costs of implementing pasture management plans. It is worth noting that at project closing, one PUU had acquired land rights, and some others were in active discussions with district governments regarding long-term leases of land, which would improve fee collection and grazing management." Interviewee F (2019b) describes the project's approach to acquiring land rights for a PUU and negotiating land rights for others. The respondent states that in order to get PUUs land rights, the project team over time developed an approach whereby it tried to motivate the local government officials by convincing them that the getting PUUs access to land was for the benefit of the local people, and in order to make it happen, their help in developing contracts between PUUs and private landowners was required. The project team would, therefore, be able engage the local government officials in process of acquiring secure rights to pasture lands for PUUs by adding meaning to their work (Ibid). This approach, therefore, aligns with the Inspirational Motivation component of transformational leadership (Interviewee F, 2019b and Bass and Riggio, 2006).

2.2.2.6. Improved female participation in project activities


World Bank (2018: 23) states that "M&E (Monitoring and Evaluation) data for decision-making related to the participation of women in project activities...initially showed a low

share of female participation". Low female participation in project activities naturally posed a key challenge to realising the potential of the CDD approach (Ibid). In order to address this challenge, the Implementation Group (IG) –a group of CEP staff and contracted technical assistance established within CEP to perform project management and coordination functions – took notice of the results of low female participation in project activities and accordingly investigated reasons behind this trend (e.g. through focus groups). The IF worked to actively engage women in project activities (Ibid). Actions taken to increase female participation included adapting PRAs, training, and outreach (Ibid). Interviewee A (2019) provides exposition. The respondent states that the IG was involved in regular monitoring of female participation and it regularly consulted with local FOs as these organisations were involved in implementing the CDD approach (Ibid). The respondent adds that that the Gender Specialists housed at the local FOs were a key source of information on the factors constraining female participation and the actions required to address this challenge (Ibid). In addition, the respondent reports that the RCCs also proved to be an important source of information on both the constraints and actions required to address low female participation (Ibid). The investigations by the IG led to the conclusion that female participation in project activities was low largely due to women in Tajikistan being traditionally shy to express their views, especially in public (Ibid). In order to remedy this constraint, approaches encouraging participation such as organising of women-only groups, greater flexibility in terms of meeting places and times for women's groups, the involvement of local women leaders or activists etc. were employed (Ibid). Interviewee A in particular emphasised the role played by local women leaders or activists in effectively communicating with them and helping them to "speak out" (Ibid). As a result, female participation in project activities not only increased in numbers but also quality (Ibid). Women began voicing their views regarding land and water management and participating in PUUs and WUA, whereas they were initially focused on home-based income generating or subsistence activities (Ibid). Increasing female participation in the activities of ELMARL required an effective mix of components of transactional and transformational leadership (World Bank, 2018, Interviewee A, 2019, and Bass and Riggio, 2006). The execution of corrective measures based on the active tracking of the level of female participation in project activities and the factors that constrained it is a classical illustration of the active form of Management-By-Exception, a component of transactional leadership (Ibid). However, the remedial measures showed that women's specific needs for achievement and growth were recognised and addressed, which aligns with Individualised Consideration, a component of transformational leadership (Ibid). Interviewee A's emphasis on the importance of local women leaders and activists also suggests that actions were taken to motivate and inspire women to participate in project activities (Interviewee A, 2019, and Bass and Riggio, 2006). This aligns with the Inspirational Motivation component of transformation leadership (Ibid).

2.2.3. Monitoring and Evaluation (M&E)

World Bank (2018:23) states: "The overall rating for the quality of M&E system (of ELMARL) is *substantial*. Despite the limited capacity for M&E early on during project implementation, the M&E system was significantly strengthened during the second half of project implementation as a result of the dedicated efforts by the World Bank team and the IG."

When describing the factors that strengthened ELMARL's M&E system, Interviewee B (2019) reported that the World Bank team invested one day to explain to the project team the value of good quality M&E to the World Bank. The respondent states that the World Bank team emphasised the benefits of good quality reporting, with particular emphasis on the benefits of stakeholders developing an improved understanding of the project's achievements (Ibid). The respondent also says that the World Bank team stressed that successful implementation alone was not sufficient, and that the achievements of the project needed to be clearly and comprehensively reported (Ibid).



In addition, Interviewee B says that they needed to give an initial “push” due to the unsatisfactory status of the project’s M&E system by informing the Chair of CEP that all legal requirements related to M&E needed to be complied with (Ibid). The World Bank team also set deliverables and respective timelines that needed to be met in order to improve the project’s M&E system (Ibid). Interviewee B says that the message was positively received by the project team, which proceeded to address the gaps in ELMARL’s M&E systems (Ibid). This suggests that, in order to strengthen the project’s M&E system, the World Bank team demonstrated transactional approaches to leadership whereby it obtained agreement of the project team on what needs to be delivered in return for promised or actual material reward (Contingent Reward) and it took corrective action based on active tracking of deviations from standards (the active form of Management-By-Exception) (Ibid).

The World Bank team’s approach was, however, an effective mix of both transactional and transformational forms of leadership (Interviewee B, 2019 and Interviewee D, 2019). Interviewee B (2019) states both Interviewee D and Interviewee E provided technical support to the relevant members of the project team. Interviewee D (2019) provides an illustration of how they worked with the M&E Specialist for ELMARL, for whom the respondent was appointed as a mentor. The respondent believes that the M&E Specialist listened to them not only because they were a World Bank consultant, but also because the respondent and the M&E Specialist had “a good working relationship” (Ibid). The respondent says that there was a two-way exchange of communication whereby the M&E Specialist freely asked questions and the respondent was clear in telling the M&E Specialist that certain issues need to be resolved (Ibid). The respondent would also offer to work together with the M&E Specialist in order to arrive at ways to resolve issues (Ibid). The respondent says the approach they adopted with the M&E Specialist aligns with their general approach to initiating and managing change i.e. to provide others with support in accordance with how they will learn.

As a result of these efforts, ELMARL’s M&E system was aligned with World Bank standards in a period of about three months, as evidenced by the project completion report, for which the requisite data was available (Interviewee B, 2019).

2.2.4. Knowledge management

Interviewee D (2019) reports that the knowledge management platform for ELMARL received USD two million from PPCR after the project had been designed, which is called additional financing. The purpose was to look at how to manage knowledge/good practice that is generated from the project and can be shared more widely (Ibid). The objective was to build a digital platform with community-led video as the main form of information sharing, which was based on the concept of Digital Green, originally developed in India. This had to be done about two-thirds of the way through the project (Ibid). Developing this innovative component in a short time period was challenging for everybody involved (Ibid). This was especially new for CEP (Ibid). In order to address this challenge, Interviewee D put relevant CEP staff in touch with a project run by World Bank in India that was also working with Digital Green (Ibid). The respondent, therefore, facilitated a learning visit, which enabled relevant CEP staff to go to India to see the knowledge management in practice (Ibid). Interviewee D states that this helped them develop a more concrete understanding of the platform (Ibid). Interviewee D recognised and addressed CEP staff’s particular need for a learning visit in order to be able operationalize the knowledge management platform within the given resource constraints, and thereby displayed Individualised Consideration – a component of transformational leadership (Interviewee D, 2019 and Bass and Riggio, 2006).

2.3. Enabling factors

This subsection discusses the factors that allowed, facilitated, or incentivised the process of initiating and managing positive changes in ELMARL.

2.3.1. The challenges of the CDD approach as incentives

ELMARL's CDD approach requires active participation from beneficiaries in the choice, design and management of rural investments and resource management plans (World Bank, 2013 and World Bank, 2018). Building the CDD approach into the design of ELMARL, therefore, created greater potential for beneficiaries to exercise agency and intellectual stimulation (Ibid). This posed a challenge not only for the beneficiaries, but also for other stakeholders, such as the World Bank team and CEP (the implementing agency). In the particular context of ELMARL, the CDD approach also presented a significant challenge due to the initial limited capacity for the approach among CEP, IG, local FOs, and the communities (World Bank, 2018). The two CDD-related challenges – realising the potential for beneficiaries to exercise greater agency and intellectual stimulation and overcoming the initial capacity constraints – incentivised different stakeholders to exercise transformational components of leadership and, in a number of instances, combine them transactional components of leadership. This is clearly detailed in Section 2.2.1 *Enhancing CEP's capacity for the CDD approach* and Section 2.2.2 *Enhancing CBOs' ability to implement the CDD approach*. The table below provides a short synthesis based on these two sections to illustrate the leadership components and their contributions towards meeting the challenges posed by the CDD approach. It affirms that the challenges posed by the CDD approach acted as key factors that incentivised stakeholders to initiate and manage change, especially through transformational components of leadership

Table 2.1: Leadership components and their contributions towards meeting the challenges posed by the CDD approach

Leadership component(s)	Contributions Towards Meeting the Challenges Posed by the CDD approach
Inspirational Motivation	<ul style="list-style-type: none"> Enhanced CEP commitment to CDD Secure rights to pasture lands for PUUs
Individualised Consideration	<ul style="list-style-type: none"> Enhanced capacity of CEP to promote community-driven SLM
Intellectual Stimulation	<ul style="list-style-type: none"> Changes in project team structure designed to improve implementation and disbursement More innovative sub-project proposals More accessible sub-project proposal templates for communities
Individualised Consideration & Intellectual Stimulation	<ul style="list-style-type: none"> Increased CDD-related knowledge and skills among CEP staff
Intellectual Stimulation & Inspirational Motivation	<ul style="list-style-type: none"> Improved planning and implementation of sub-projects
Intellectual Stimulation & Manage-By-Exception (Active)	<ul style="list-style-type: none"> Improved quality and ownership of sub-projects
Inspirational Motivation, Individualised Consideration, & Manage-By-Exception (Active)	<ul style="list-style-type: none"> Improved female participation in project activities

2.3.2 Lesson learning

The CDD approach was built into the design of ELMARL by the World Bank based on its experience of CAWMP; an earlier project in Tajikistan that had adopted the CDD approach (World Bank, 2013, World Bank 2018, Interviewee D, 2019, and Interviewee E, 2019). Behind this was the World Bank's approach of constant learning and improvement (Interviewee D, 2019). This approach, therefore, built the challenges of the CDD approach into the design of the project that incentivised different stakeholders to exercise transformational components of leadership and in a number of instances combine them transactional components of leadership. Further, Interviewee D (2019) states that the process whereby the World Bank team was able to have local FOs intellectually stimulate communities in order to plan more innovative sub-projects was incentivised or enabled by the World Bank's rigorous review procedure at the design stage (Ibid). This allowed lessons learned to be incorporated at the review stage and for initiatives to take place differently (Ibid). In turn, the rigorous review procedure was effectively implemented largely due to the willingness and ability of individuals (Ibid). In the case of ELMARL, Interviewee D (2019) states that the World Bank team came from varied backgrounds and the said procedure allowed them to bring their different experiences, including those from outside the World Bank, to influence the design of these sub-projects.

2.3.3. The varied experience and teamwork of the World Bank team

Interviewee D (2019) and Interviewee E (2019) state that the World Bank team came from varied backgrounds and this characteristic allowed them to bring their different experiences, including those from outside the World Bank, to influence the design and performance of ELMARL. Interviewee E (2019) adds that the teamwork in the World Bank team was at a distinct level as the team members communicated effectively with one another and worked together in a way that although they had their respective roles, the team members were not confined by them (Ibid). They supported each other in their respective functions and, when required, one member took up the role of another team member (Ibid). The varied experience and teamwork of the World Bank team, therefore, helped its members act as agents of change and facilitate others to act in the same capacity (Interviewee D, 2019 and Interviewee E, 2019). An example of this is given above i.e. the World Bank team was able to facilitate the development of innovative sub-project plans through the World Bank's rigorous review system due to the varied experiences of its members.

2.3.4. IG as an institutional mechanism for enabling experts to act as agents of change

World Bank (2013: 13) states: "An Implementation Group (IG) established within the CEP, comprising existing CEP staff and contracted technical assistance, will have responsibility for project management and coordination functions. The IG will prepare overall project work plans and budgets, update operational manuals, facilitate inter-ministerial coordination, and carry out project administration (e.g., financial management, procurement, specialist recruitment, monitoring, evaluation and reporting)." Interviewee F (2019b) states that the IG acted as a key institutional arrangement that enabled experts with international and national expertise to be housed at CEP and initiate and manage change. Interviewee F states that this was one of key factors in enhancing CEP's capacity and making ELMARL a successful project. This is of particular importance given that the capacity of CEP, the implementing agency, was identified as a *substantial* risk at the outset of the project (World Bank, 2013). An example of how IG acted effectively to increase CEP's capacity is detailed above – the experts housed at IG were able to work with the local FOs and RRCs to track and accordingly increase female participation in project activities to the targeted level (Interviewee A, 2019).



2.3.5. RRCs as an effective decentralised governance mechanism

As mentioned above, the RRCs, which consisted of district CEP officers and jamoat/local authorities, acted as an effective decentralised governance mechanism that incentivised RRC and community members to work together to re-plan or adjust sub-projects so that they adhered to prescribed plans and standards and also addressed community interests (World Bank, 2018).

2.3.6. Grants as a license for greater innovation

As mentioned above, Interviewee D (2019) stated that grants, unlike loans, do not need to be repaid and, therefore, allow for greater risk-taking and innovation. The respondent illustrated how this factor provided the World Bank team with greater freedom to ask local FOs to work with communities to revise their initial sub-project proposals and make them more innovative (Ibid).

3. Way Forward

The case of ELMARL shows that components of transformational leadership played the primary role in addressing capacity constraints related to the CDD approach, M&E, and knowledge management. Components of transactional leadership played an important role in addressing issues of compliance, such as those related to M&E.

Regarding Building Climate Resilience in the Pyanj River Basin, the account of the Asian Development Bank (ADB) team's leadership given by Interviewee G (2019) supports the trends observed in the case of ELMARL. The account shows that the ADB team gave the local communities and governments as well as the Project Implementation Unit (PIU) a voice in the process of identifying problems and solutions and enabling the PIU to implement new or adapted approaches that yielded creative ideas and solutions (Ibid). This approach to leadership aligns with the Intellectual Stimulation component of transformational leadership (Interviewee G, 2019 and Bass and Riggio, 2006). However, the ADB team also complemented the transformational qualities of its leadership with transactional elements – it assessed compliance with standards and accordingly executed corrective measures (Interviewee G, 2019). This approach to leadership aligns with the active form of Management-By-Exception, which is a component of transactional leadership (Ibid).

Similarly, regarding the case of the task team leaders for Building Resilience to Climate Related Hazards, the approach to leadership they employed was characterised by the active form of Management-By-Exception (a component of transactional leadership); actively tracking deviations and, as a result, using corrective action (Interviewee C, 2019 and Bass and Riggio, 2006). This is unsurprising, as a team task leader is expected to ensure that the implementing agency complies with the agreed upon activities and processes. However, as part of their remedial measures related capacity constraints, the team task leaders addressed the specific needs of individuals and groups for learning and development, which aligns with the Individualised Consideration component of transformational leadership (Ibid).

The findings from ELMARL and observations from BCRPRB and BRCH are in line with the argument made by Bass (1985) that transactional leadership leads to basic exchanges between leaders and their followers while transformational leadership results in optimal performance (since it influences followers to transcend self-interest for the common good of the organisation) (Ibid).

Table 3.1 summarises how future CIF or other climate finance initiatives can foster transformational leadership for optimal project performance through the project cycle. Given the limitations of this study (discussed earlier in the report), there are a number of areas where the study can be strengthened going forward. To build on our understanding of how leadership components as defined by the FRL model influence project performance in particular, it is advisable to use a mixed method approach to systematically investigate how levels of leadership components influence the type of organisational culture, and how the type of organisational culture in turn influences project performance. It is important to track the levels of leadership components through the Multifactor Leadership Questionnaire (MLQ), the organisational culture type through Organisational Description Questionnaire (ODQ), and the project's performance in terms of effectiveness, efficiency, relevance, and financial sustainability through project monitoring and evaluation reports. In parallel, perception surveys and qualitative interviews can be conducted to investigate the relationship between the MLQ and ODQ scores, and subsequently the relationship between the ODQ score and project performance. This approach is provided in detail in the summary of the note on

methodology in Annex 5. Recommendations to this effect are included in the Monitoring and Evaluation part of Table 3.1 below.

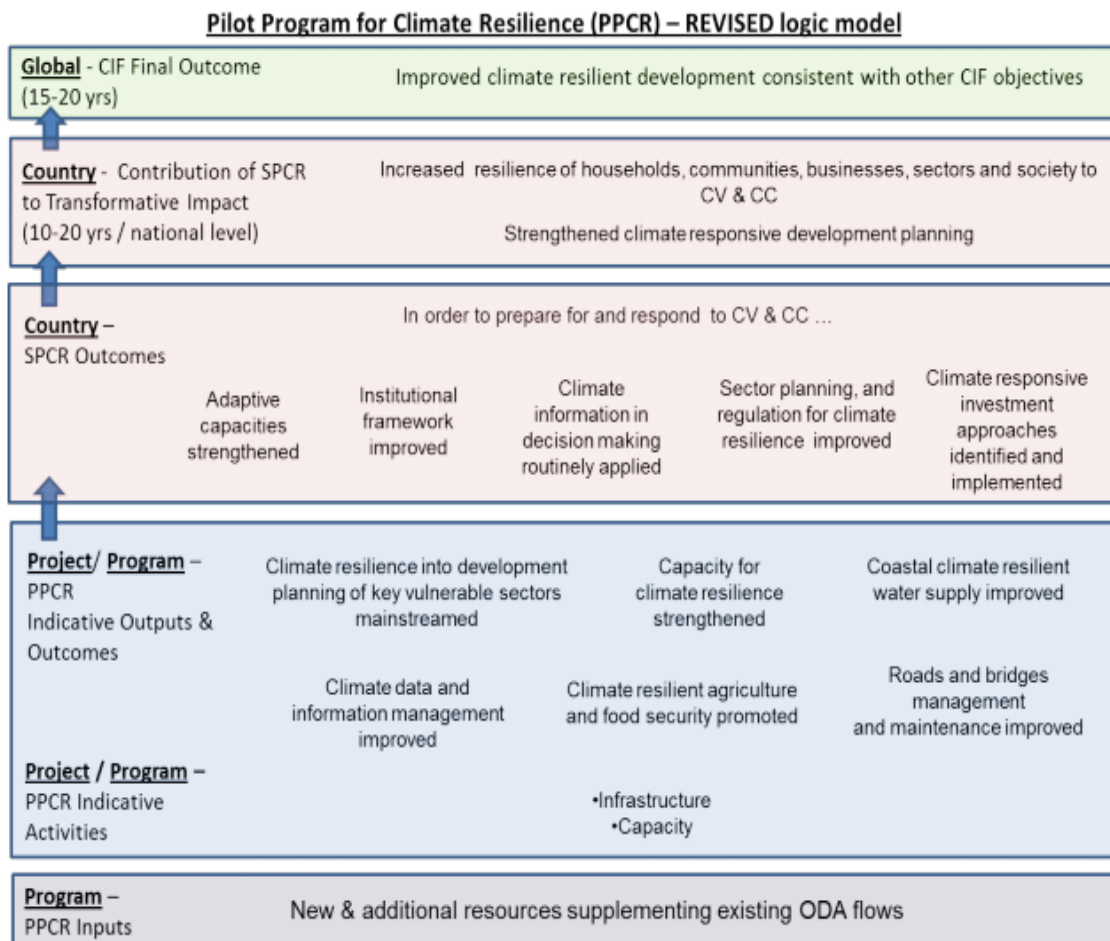
Table 3.1.: Opportunities for fostering transformational leadership for optimal project performance through the project cycle

Project cycle phase	Recommendation
Project Design and Planning	<ul style="list-style-type: none"> • The Intellectual Stimulation component of transformational leadership can be institutionalised through systematic learning and improvement. This, in turn, should lead to improved project design and planning. However, the effectiveness of such a system depends on the capacity of the teams involved. Knowledgeable teams, with diverse backgrounds, that effectively work together may hold the key to optimising systematic learning and improvement. • CDD projects may require strong transformational leadership for optimal performance, especially when capacity constraints exist. Measures to enhance transformational leadership qualities among key stakeholders should be built into the plans of CDD initiatives.
Recruitment	<ul style="list-style-type: none"> • Behaviours related to the components of transformational leadership should be assessed during recruitment at climate finance initiatives.
Learning and Development	<ul style="list-style-type: none"> • Evidence suggests that transformational leadership training can be an effective instrument for fostering transformational leadership, and it should be considered when tailoring programmes to strengthen leadership at climate finance initiatives (Dvir, Eden, Avolio and Shamir, 2002 and Barling, Weber, and Kelloway, 1996). • Transformational leadership at a higher level of management appear concomitantly at the next lower level (Bass, Waldman, Bebb, and Avolio, 1987). This suggests that, in the context of limited resources, the transformational leadership training should be targeted at higher levels of management. • The influence of others is critical to developing transformational leadership (Bass, Waldman, Bebb, and Avolio, 1987 and Zacharatos, Barling, and Kelloway, 2000). Therefore, those who have received transformational leadership training or have demonstrated components of transformational leadership, should be given opportunities to coach, mentor, and train peers. • Individuals should be expected to demonstrate transformational leadership qualities and their performance assessed against them.
Monitoring and Evaluation	<ul style="list-style-type: none"> • Monitoring and evaluation reports should systematically document the components of leadership, as specified by the FRL model, that are behind changes in the planning and performance of interventions. The knowledge created is expected to provide guidance on how different leadership components can be employed for optimal performance. • In order to obtain instructive and robust conclusions on the influence of leadership components on the planning and performance of projects and programmes, leadership styles and their impact on organisation culture and effectiveness should be systematically measured during different phases of the project cycle. • Determinants of the levels of transformational leadership among individuals and groups should be investigated in order to inform future interventions that aim to foster transformational leadership.

4. Annexes

Annex 1: Logic model – Pilot Program for Climate Resilience

Figure 1: Logic model – Pilot Program for Climate Resilience (PPCR) – REVISED



Annex 2: Project Summary and interview-based discussion on leadership styles: Building Climate Resilience in the Pyanj River Basin (BCRPRB)

Below is a table that provides a project summary of BCRPRB. It is followed by interview-based discussions on leadership styles within this project.

Table: BCRPRB project summary

<i>Country</i>	Tajikistan (ADB, 2019a)
<i>MDB</i>	Asian Development Bank (ADB) (Ibid)
<i>Executing agencies</i>	<ul style="list-style-type: none"> • The Ministry of Land Reclamation and Water Resources (MLRWR), which will be responsible for Output 1 and Output 2; • The State Unitary Enterprise for Housing and Communal Services (Khochagii Manziliyu Kommunalni - KMK), which will be responsible for Output 3; and • The Ministry of Finance (MOF), which will be responsible for Output 4 (Ibid)
<i>Total Project Cost</i>	USD 21.55 million (Ibid)
<i>Status</i>	Active (Ibid)
<i>Approval date (as of board presentation)</i>	July 25, 2013 (Ibid)
<i>Effectiveness date</i>	September 18, 2013 (Ibid)
<i>Closing date</i>	June 30, 2020
<i>Project Development Objective (PDO)/Aim_</i>	"To increase resilience to climate vulnerability and change of communities in the Pyanj River Basin. The project's impact will be improved livelihoods of Pyanj River Basin communities vulnerable to climate variability and change. The project's outcome will be reduced adverse effects of climate variability and climate change in 59 villages in 19 jamoats in the Pyanj River Basin" (Ibid: 2).
<i>Components/Outputs</i>	<ul style="list-style-type: none"> • Output 1: Flood protection infrastructure climate-proofed in 10 jamoats. • Output 2: Irrigation systems climate-proofed in eight jamoats. • Output 3: Water supply infrastructure climate-proofed in seven jamoats. • Output 4: Micro credits and micro deposits made available to promote climate resilience in the Pyanj River Basin.


<i>Overall assessment</i>	ADB (2019b) reports the achievements of BCRPRB: “The project is protecting at least 1,700 hectares of land from floods; providing 1,450 hectares of land with irrigation water; providing at least 4,150 households with a safe water supply; and making microfinance services available to at least 1,000 households.” Assessing the project’s performance, ADB (2019a: 3) adds that “adverse effects of climate variability and climate change reduced in 59 villages in 19 Jamoats in the Pyanj River Basin” and that the “implementation of all outputs are ongoing as scheduled”.
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Combining Intellectual Stimulation and Management-by-Exception: The Case of ADB team for BCRPRB

Interviewee G (2019) reports that the ADB team’s primary strength was its “flexibility”, a term used by Interviewee F (2019b) when assessing the leadership of the World Bank team. Interviewee G’s definition of flexibility is similar to the one given by Interviewee F – the ADB team agreed to modifications to the project during the project implementation stage if it was clearly demonstrated that the changes would improve the project (Interviewee G, 2019). As an example, Interviewee G states that the project included a pilot project that would have provided 100 hectares with drip irrigation and demonstrated the benefits of drip irrigation (Ibid). Local government officials informed the PIU that communities believed that the resources would be allocated more effectively if existing pumping stations were rehabilitated to improve the irrigation water supply over a full 400-500 hectares (Ibid). The Project Implementation Unit (PIU) approached the ADB team for this modification and, after “a fairly extensive discussion”, the ABD team agreed to rehabilitate existing pumping stations to improve irrigation water supply over 500 hectares while limiting the pilot drip irrigation scheme to 10 hectares (Ibid). Interviewee G clearly added: “They (the ADB team) didn’t automatically support the request from the project authorities. They challenged them to demonstrate what they wanted would actually be a proper gain for the project.” The respondent adds that the ADB conducted review missions to monitor project implementation and this had a positive impact on the PIU ensuring that contractors complied with contractual obligations, such as those related to health and safety of workers (Ibid). Interviewee G’s account of ADB leadership shows that it gave the local communities and governments as well as the PIU a voice in the process of identifying problems and solutions and enabling the PIU to implement new or adapted approaches that yielded creative ideas and solutions (Ibid). This approach to leadership aligns with the Intellectual Stimulation component of transformational leadership (Interviewee G, 2019 and Bass and Riggio, 2006). However, the ADB also complemented the transformational qualities of its leadership with transactional elements – the monitoring of standards and corresponding execution of corrective action aligns with the active form of Management-By-Exception, which is a component of transactional leadership (Ibid).

Combining Idealised Influence and Management-by-Exception: The Case of Director Project Implementation Unit (PIU) under the Agency of Land Reclamation and Irrigation

Interviewee G (2019) gives an account of the leadership demonstrated by the Director of Project Implementation Unit (PIU) under the Agency of Land Reclamation and Irrigation. Interviewee G attributes the quality of being technically sound (i.e. the ability to understand technical issues and solutions) to the Director PIU (Ibid). Generally, Interviewee G states that the Director PIU had the ability to review proposed designs, explain the details of the designs, identify the deficiencies in the design, and accordingly ask for relevant amendments (Ibid). This enabled the Director PIU to show strong



technical leadership in terms of both design and construction (Ibid). Another aspect of The Director PIU's leadership style that Interviewee G mentions is that he was "committed to what he needs" (Ibid). In other words, the Director PIU periodically monitored project performance in terms of quality of design, time of delivery etc. and took corrective action where necessary (Ibid). The Director PIU's approach to leadership as described by Interviewee G suggests that he served as a role model not simply by being technically proficient, but also by virtue of others attributing this quality to him (Ibid). This characteristic aligns with the Idealised Influence component of transformational leadership (Interviewee G, 2019 and Bass and Riggio, 2006). Interviewee G's account of the Director PIU's leadership approach also strongly suggests that he used the active form of Management-By-Exception, a component of transactional leadership (Ibid). Interviewee G (2019) adds that the Director PIU's approach to leadership, including its active Management-By-Exception element, was compatible with the organisational culture at the PIU and, accordingly to his assessment, an important contributor to the project's success. Interviewee G's account of the Director PIU's leadership is an intriguing illustration of how someone leading a PIU combined elements of transformational and transactional leadership, and within a given organisational culture, contributed to the project's success (Interviewee G, 2019 and Bass and Riggio, 2006).

Annex 3: Project summary and interview-based discussions on leadership styles: Building Resilience to Climate Related Hazards (BRCH)

Below is a table that provides a project summary of BRCH. It is followed by interview-based discussions on leadership styles within this project.

Table: BRCH’s project summary

<i>Country</i>	Nepal (World Bank, 2019c)
<i>MDB</i>	World Bank (Ibid)
<i>Region</i>	South Asia (Ibid)
<i>Implementing agency</i>	<ul style="list-style-type: none"> • Department of Hydrology and Meteorology (DHM) • Ministry of Agriculture Development (MoAD)
<i>Total Project Cost</i>	USD 31 million (Ibid)
<i>Status</i>	Active (Ibid)
<i>Approval date (as of board presentation)</i>	January 15, 2013 (Ibid)
<i>Effectiveness date</i>	June 20, 2013 (Ibid)
<i>Closing date</i>	December 31, 2019
<i>Project Development Objective (PDO)/Aim_</i>	<p>“To enhance government capacity to mitigate climate-related hazards by improving the accuracy and timeliness of weather and flood forecasts and warnings for climate-vulnerable communities, as well as developing agricultural management information system services to help farmers mitigate climate-related production risks. This would be achieved by establishing multi-hazard information and early warning systems, upgrading the existing hydrometeorological system and agricultural management information system, and enhancing capacity. Activities funded through the project would help improve decision-making and planning in key climate vulnerable and water resources dependent sectors particularly agriculture, health, water and disaster management, and contribute to building climate resilience for communities at risk” (Ibid: 1).</p>
<i>Components/Outputs</i>	<p>World Bank (2019d):</p> <ul style="list-style-type: none"> • Component 1: Institutional strengthening, and capacity building and implementation support of DHM. • Component 2: Modernisation of the observation networks and forecasting. • Component 3: Enhancement of the service delivery system of DHM.

	<ul style="list-style-type: none"> • Component 4: Creation of an Agriculture Management Information System (AMIS) at MOAD.
<i>Overall assessment</i>	World Bank (2019b) states that BRCH has a current rating (as of March 2019) of <i>moderately satisfactory</i> in terms of both progress towards achievement of PDO and overall implementation progress.

Combining Inspirational Motivation, Individualised Consideration, and Management-by-Exception: The Case of the Project Director of AMIS

Interviewee H (2019), the Project Director of AMIS, provided an account of their approach to leadership. Interviewee H believes that capacity development is a key instrument for motivating people (Ibid). The respondent says that they built capacity development initiatives into the design of the project to not only motivate the project staff, but also project participants (Ibid). The respondent states that knowledge is necessary for motivation; a project team that has adequate knowledge about hydromet technology and the agricultural sector would be both more able and willing to perform (Ibid). Similarly, the respondent provides the example of groups of farmers who were provided Information and Communication Technology (ICT) equipment sets (which included thermometers, mobile sets, rainfall gauge, etc.) in order to develop an AMIS (Ibid). The respondent says that both providing the equipment sets and training the groups of farmers to use them was essential to building their capacity and, thereby, their motivation (Ibid). Put simply, Interviewee H is suggesting that motivation or engagement can be enhanced among project staff or beneficiaries by creating opportunities for their achievement and growth (Ibid). In other words, Interviewee H aims to motivate project staff and beneficiaries, which broadly aligns with the Inspirational Motivation component of transformational leadership (Interviewee H, 2019 and Bass and Riggio, 2006). The respondent created opportunities for achievement and growth of project staff and beneficiaries in order to motivate them, which suggests an instrumental use of the Individualised Consideration component of transformational leadership (Ibid).

Interviewee H also complements this approach with creating a “friend environment” and actively monitoring performance and taking corresponding corrective measures (Interviewee H, 2019). To create a friendly environment, Interviewee H says that they encourage staff to interact with them and discuss performance and related issues in a transparent manner (Ibid). The respondent says that this allows them to understand issues that are influencing the performance of individuals, including those related to their personal lives, and to provide them support accordingly (Ibid). This approach also aligns with Individualised Consideration – the respondent encourages two-way communication in order to be able to address individuals’ different needs for achievement and growth (Interviewee H, 2019 and Bass and Riggio, 2006). However, the respondent believes that their emphasis on Individualised Consideration is necessary but not sufficient to make him an effective leader (Interviewee H, 2019). Interviewee H believes that the regular monitoring of performance and the execution of corresponding corrective measures are also important requisites for the project team performs optimally (Ibid). The respondent, therefore, believes that the active form of management-by-exception (as identified by Bass and Riggio, 2006) is an important counterpart to Individualised Consideration (Interviewee H, 2019).

Ensuring compliance through Management-by-Exception and Individualised Consideration: The Case of World Bank's Task Team Leaders for BRCH

Interviewee C (2019), when summarising the Task Team Leaders' approach to supporting BRCH, states that their primary objectives were to ensure that (a) the project was contributing towards all the project indicators in the results framework and (b) the financial reports were clear and submitted on time; audit observations were minimised and immediately addressed. In order to achieve this, they employed constant and proactive implementation reviews and provided any support that the implementing agency required in order to move the project forward (Ibid). The respondent added that the Task Team Leaders worked to achieve these objectives in the context of an implementing agency – The Department of Hydrology and Meteorology (DHM) – that was experiencing capacity constraints, especially as it lacked knowledge and experience related to working with the World Bank and it had not previously undertaken a project of this scale (Ibid). In order to achieve their objectives, the Task Team Leaders engaged DHM through a process of training, one-on-one project management guidance/support, and developing effective working relationships with key decision-makers in DHM and its parent ministry i.e. Ministry of Energy, Water Resources and Irrigation (Ibid).

Interviewee C (2019) states that they personally provided project management support to DHM, which included:

- Capacity development of government officials through participation in regional and global forums on hydromet technology and agricultural management systems;
- Updating the project's work plan, which had not been updated since 2013;
- Increasing the regularity of review meetings and flagging key issues during the meetings; and
- Informing DHM and its parent ministry about the legal requirements that were not being adhered to and ensuring compliance.

The Task Team Leaders' approach to leadership, and particularly Interviewee C's, is in the main characterised by the active form of Management-By-Exception (a component of transactional leadership); actively tracking deviations and, as a result, using corrective action (Interviewee C, 2019 and Bass and Riggio, 2006). This is unsurprising, as a Team Task Leader is expected to ensure that the implementing agency complies with the agreed upon activities and processes. However, as part of their remedial measures, the Team Task Leaders addressed the specific needs of individuals and groups for learning and development, which aligns with the Individualised Consideration component of transformational leadership (Ibid).



Annex 4: List of Interviewees

Interviewee A - Takhmina Akhmedova; Interview conducted on 18 January 2019

Interviewee B - Drita Dade; Interview conducted on 24 January 2019

Interviewee C - Avani Mani Dixit; Interview conducted on 21 February 2019

Interviewee D - Nandita Jain; Interview conducted on 25 January 2019

Interviewee E - German Kust; Interview conducted on 7 April 2019

Interviewee F - Zafar Makhmudov; Interviews conducted on 10 January 2019 and 18 April 2019

Interviewee G - Stephen Parsons; Interview conducted on 5 April 2019

Interviewee H - Shib Nandan Prasad Shah; Interview conducted on 11 February 2019

Annex 5: Summary of note on Methodology

Summary of note on Methodology: Measuring Transformational Leadership's Determinants and Contribution to the Performance of Pilot Program for Climate Resilience (PPCR) Projects

This note on methodology provides an overview of the theoretical framework and research methods that underpin the (a) identification of the determinants of an individual's level of transformation leadership and (b) the measurement of project-level transformational leadership's contribution to a project's organisational culture, and subsequently its performance. The note is divided into two main parts i.e. key concepts and measurement. The former describes relevant theoretical framework while the latter describes corresponding research methods.

The section on key concepts defines key terms: project, project cycle, and leader as well as different types of leadership and organisational cultures in the context of the Full Range of Leadership (FRL) model. It closes with a brief discussion of organisational performance.

It defines a project as "a series of activities aimed at bringing about clearly specified objectives within a defined time period and with a defined budget" (Dearden: 39). A project is embedded in the project cycle, and it can be divided into the following phases: identification, clearance, design, approval, implementation, completion, and evaluation (Ibid). In turn, a leader is defined as a change agent i.e. an external or internal "individual or group that undertakes the task of initiating and managing change in an organisation" (Lunenburg, 2010:1).

The FRL model as described by Bass and Riggio (2006) includes four components of transformational leadership, two components of transactional leadership, and one factor for laissez-faire (or non-leadership) leadership (Ibid). The four components of transformational leadership are: (a) Idealised Influence: Transformational leaders act as role models for their followers based on the quality of the behaviour they demonstrate and is attributed to them by their followers; (b) Inspirational Motivation: Transformational leaders act to motivate and inspire their followers; (c) Intellectual Stimulation: Transformational leaders act to stimulate followers' efforts to innovate; and (d) Individualised Consideration: Transformational leaders address individuals' varying needs for achievement and growth (Ibid). Transactional leadership's two components are Contingent Reward and Management-By-Exception. Contingent Reward entails the leader assigning or obtaining the follower's agreement on what needs to be delivered in return for promised or actual material reward. Management-by-Exception involves the use of corrective action based on active tracking of deviations from standards or the passive waiting for such deviations. Laissez-faire leadership, on the other hand, is characterised by the avoidance or absence of leadership, and it is by definition inactive. Regarding the determinants of individual level of transformational leadership, the literature (detailed in section 2.4) focuses on (a) the effect of training interventions; (b) follower development by the leader or parent; and (c) follower developmental characteristics.

Bass and Avolio (1993) stated that an organisation's leadership significantly influences the development of its culture. Transformational leadership adjusts an organisation's culture to its new vision while transactional leadership operates within an organisation's culture (Ibid). In turn, the authors see culture as the setting within which the vision takes hold and, therefore, recommend culture building dedicated to supporting a vision (Ibid). They expect the more transformational cultures to provide the context for more

effective organisational performance (Ibid). Optimally, the authors recommend that in order to realise an organisation’s vision, leaders should move organisations “in the direction of more transformational qualities in their cultures while also maintaining a base of effective transactional qualities” (Ibid: 118). Bass and Avolio (1993) identified nine types of organisational cultures that exist between pure transformational and transactional organisational cultures, which are described in the subsection on measurement.

In turn, Horton, Mackay, Andersen, and Dupleich (2000: 9) define organisational performance as “the achievements of the organisation in relation to its objectives” and they identify four dimensions of organisational performance i.e. Effectiveness: The degree to which the organisation achieves its objectives; Efficiency: The degree to which it generates its products using a minimum of inputs; Relevance: The degree to which the organisational objectives and activities reflect the necessities and priorities of key stakeholders; and Financial Sustainability: Conditions that make an organisation financially viable include multiple sources of funding, positive cash flow, and financial surplus.

The section on measurement describes the measurement of (a) individual and project level transformational leadership; (b) the determinants of an individual’s transformational leadership level; (c) organisational cultures that exist between transformational and transactional organisational cultures; (d) the relationship between project level transformational leadership and the type of organisational culture; and (e) the relationship between the type of organisational culture and the dimensions of project performance.

The above-mentioned FRL model forms the basis for Multifactor Leadership Questionnaire (MLQ), the instrument most widely applied in published empirical research on transformational leadership (Bass and Riggio, 2006; Posner, 2016). Regarding the validity and reliability of the MLQ, it has been validated during its original design (Bass, 2008). Antonakis, Avoliob, and Sivasubramaniam (2003: 286) concluded that “the current version of the MLQ (Form 5X) is a valid and reliable instrument that can adequately measure the nine components comprising” the FRL model.

The table below shows the indicator and means of verification for measuring transformational leadership level at both the individual and the project level. As shown subsequently, the individual MLQ values should be used when identifying determinants of transformational leadership and sample mean MLQ values should be used when researching the contribution of transformational leadership to project performance.

Table: Indicator and means of verification for individual and project level transformational leadership

Indicator	Means of verification
Individual MLQ values, disaggregated by sex	MLQ rater form survey report(s)
The sample mean MLQ value, disaggregated by project cycle phase	

The MLQ rater form survey measures leadership as perceived by people who are at higher, same, or lower levels of the organisation than the leader (Mindgardeh, 2010). It

is the primary MLQ tool and it does not need to be used alongside other MLQ tools. The ideal number of raters for a leader is eight-10 and at least three raters should be in the subordinate category (Mind Garden, 2010). If more than eight raters are available, then they can be randomly sampled (Ibid).


With regard to developing a list of respondents for the MLQ rater form survey, the first stage is the identification of leaders for the MLQ rater form survey. Leaders can be identified through a review of relevant project documents in parallel with snowball sampling. There is no anticipated number of leaders, and it may vary with project, the thoroughness of the listing process etc. The second stage is the listing of raters. These individuals can be listed through a review of project documents and/or through information acquired from strategically placed individuals e.g. Human Resource (HR) personnel, key informants etc.

Regarding the identification of the determinants of individual level transformational leadership, the note recommends using multiple regression analysis where individual level MLQ leadership values form the dependent variable and the independent variables include those detailed in section 2.4. Data on the independent variables can be collected through surveys that run in parallel with the MLQ surveys. In addition, qualitative interviews should take place with the identified leaders to investigate the factors that influence their leadership approaches (positively or negatively) and to verify the results of the multiple regression analysis.

The Organisational Description Questionnaire (ODQ) is the primary instrument for measuring transformational and transactional organisational cultures (Parry and Proctor-Thomson, 2001). A large negative score suggests a very minimal presence of a category of culture within an organisation (Ibid). The ODQ has been assessed as a valid and reliable tool for measuring transformational and transactional culture scores (Ibid). The ODQ uses these two scores to categorise organisational cultures in nine types, which are shown in the picture below, and those with high transformational culture scores (.e. Predominately 4 I's, High-Contrast, and Moderated 4 I's) are expected to have the most positive impact on organisational performance (Bass and Avolio, 1993). Moderated 4 I's represents high transformational elements and moderate transformational elements in an organisation's culture, and therefore, represent the optimal and target organisational culture.

FREQUENCY OF TYPES OF CULTURES ACCORDING TO THE ORGANIZATIONAL DESCRIPTION QUESTIONNAIRE (ODQ) SCORES

		<u>Transactional</u>		
		-14 to -6	-5 to +5	+6 to +14
<u>Transformational</u>	+6 to +14	Predominately 4 I's	Moderated 4 I's	High-Contrast
	-5 to +5	Loosely Guided	Coasting	Moderated Contractual
	-14 to -6	Garbage Can	Pedestrian	Predominately Contractual




To identify a project's organisational culture, ODQ surveys should take place with all or a representative sample of project members. ODQ surveys should take place in parallel with MLQ rater form surveys. One ODQ and one MLQ survey should take place for at least each of the following project management cycle phases: identification, design, and implementation. The respective surveys should take place at the mid-term and end-term of project implementation and at the conclusion of other phases. This will yield one project level transformational leadership score and one type of organisational culture for a given project. It will also yield project level transformational leadership scores and type(s) of organisational culture at different points in the project management cycle.

To assess the relationship between the level of transformational leadership and the type of organisational culture, the relationship between sample MLQ values and types of organisational culture across different phases of the project cycle should provide an indication. Ideally, phases of the project cycle with higher sample MLQ values should be associated with organisational cultures that have higher transformational qualities and optimally moderate transactional qualities, and vice versa. However, even the ideal scenario will not give a definitive picture given that the relationship between the level of transformational leadership and the type of organisational culture need not be positive e.g. a constant level of transformational leadership may in fact lead to the development of an organisational culture with high transformational qualities and moderate transactional qualities. Moreover, factors other than the level of transformational leadership may influence the type of organisational cultures. It is important, therefore, to complement MLQ and ODQ surveys with perception surveys whereby members of the PPCR projects can provide scores according to a set of indicators tailored to determine the degree to which they believe components of transformational and transactional leadership contributed to the PPCR project's organisational cultures across different phases of the project management cycle (Horton, Mackay, Andersen, and Dupleich, 2000). Respondents who report impacts should be asked to provide concrete examples and individual and/or focus group qualitative responses should be used to verify claims of contributions and to capture thick descriptions of how the components of transformational and transactional leadership contributed to the organisational cultures across different phases of the project management cycle (Ibid). Ultimately, the analysis is likely to give a strong (but not definitive) indication of whether there is a relationship between the levels of transformational leadership and the type of organisational culture.

In turn, data and information on project performance in terms of effectiveness, efficiency, relevance, and financial sustainability are expected to be available with a project at the mid-term and end-term stages. After this project performance is assessed, it is important to examine the relationship between the respective dimensions of project performance and the type of organisational culture.

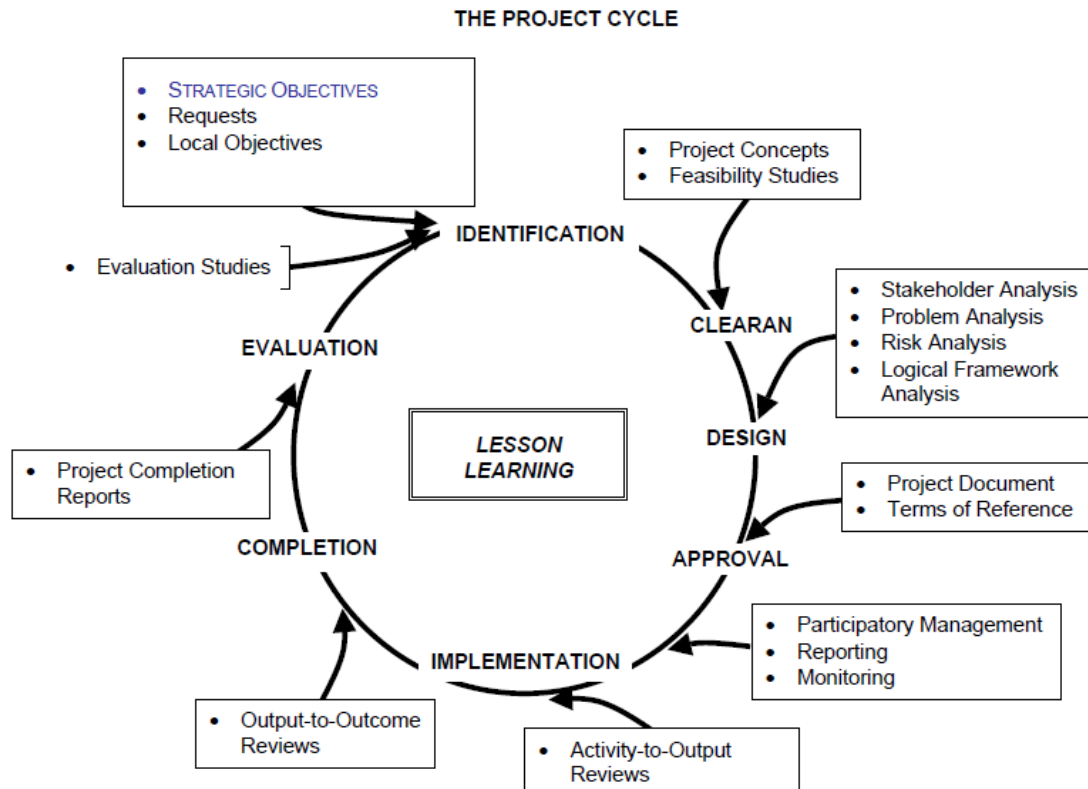
If ODQ surveys at the project mid- and end-terms show that a project has transitioned from an organisational culture with low or moderate transformational culture score to one with high transformational culture scores, then concomitant improvements in the respective dimensions of project performance are expected. Similarly, if ODQ surveys show that project maintained an organisational culture with high transformational culture scores between the mid and end terms, then it is expected to have high scores or positive assessments with reference to the respective dimensions of project performance. However, this is not expected to provide a clear picture, as different variables may also influence project performance in one direction or the other. Perception surveys should, therefore, be conducted whereby relevant members of the PPCR projects provide scores according to a set of indicators tailored to determine the



degree to which the transformational and transactional qualities of a PPCR project's organisational culture contributed towards its performance in terms of effectiveness, efficiency, relevance, and financial sustainability (Horton, Mackay, Andersen, and Dupleich, 2000). In this case also, respondents who report impacts should be asked to provide concrete examples and individual and/or focus group qualitative interviews should be used to verify claims of contributions and to capture thick descriptions of how the components of transformational and transactional leadership contributed to generating examples of the effects of organisational cultures (Ibid).

In summation, the analysis will give a strong (but not definitive) indication of whether transformational leadership influences the type of organisational culture, and if this in turn influences organisational performance. This will allow for a judgement to be made regarding transformational leadership's ability to positively influence project performance by enhancing the transformational qualities of a project's organisational culture.

Annex 6: The Project Cycle



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