

COUNTRY LEVEL EVALUATION
Zambia

Final Report

Volume 2: Annexes I - X

September 2012

Evaluation carried out on behalf of the Commission of the European Union





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This evaluation is mandated by

The Evaluation Unit for
EuropeAid Development and Co-operation Directorate General
(DG DEVCO)
of the Commission of the European Union

This evaluation is managed by the Evaluation Unit, which also chairs the Reference Group made up of members of DG DEVCO, the EU Delegation in Zambia, and the Embassy of Zambia

The opinions expressed in this document represent the views of the authors, and are not necessarily shared by the Commission of the European Union or by the authorities of the countries concerned.

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List of Acronyms

ACRONYM	MEANING
ABB	Activity Based Budgeting
ACP	Africa, Caribbean, Pacific
AFD	Agence française de développement
AfDB	African Development Bank
AG	Advisory Group
AGOA	US African Growth and Opportunity Act
AIDS	Acquired immune deficiency syndrome
ART	Anti-Retroviral Therapy for Patient affected with HIV/AIDS
BCG	Bilié, Calmette & Guérin (tuberculosis)
BHCP	Basic Health Care Package
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit
BS	Budget Support
CBPSD	Capacity Building Private Sector Development
CCI	Cross-cutting issues
CCPC	Competition and Consumer Protection Commission
COMESA	Common Market for Eastern and Southern Africa
CP	Cooperating Partner
CPIA	Country Policy and Institutional Assessment
CPRM	Conflict Prevention, Resolution and Management
CPG	Cooperating Partners' Group
CRC	Constitution Review Commission
CRN	Core Road Network
CSE	Country Strategy Evaluation
CSO	Civil Society Organisation
CSP	Country Strategy Paper
DAC	Development Action Committee
DG DEVCO	EuropeAid Development and Co-operation Directorate General
DOL	Division of Labour
DP	Development Partners
DPT	Diphtheria–Pertussis–Tetanus
EAC	East African Community
EBA	Everything But Arms
EDF	European Development Fund
EEAS	European External Action Service
EFA	Education for All
EIB	European Investment Bank
EIDHR	European Instrument for Democracy and Human Rights
EM	Enrolled Midwives
EMIS	Education Management Information System
EPA	Economic Partnership Agreement
EQ	Evaluation Question
ESA	Eastern and Southern Africa

ESA-IO	Eastern and Southern Africa and the Indian Ocean
ETR	End Term Review
EU	European Union
EUDel	EU Delegation
EUZ	Electoral Commission of Zambia
FDI	Foreign Direct Investment
FNDP	Fifth National Development Plan
FTA	Free Trade Agreement
GBS	General Budget Support
GDP	Gross Domestic Product
GRZ	Government of the Republic of Zambia
HDI	Human Development Index
HDM4	Highway Development and Management System (<i>software</i>)
HIB	Haemophilus influenzae type b (meningitis and pneumonia)
HIPC	Highly Indebted Poor Country
HIV	Human immunodeficiency virus
HLPD	High Level Policy Dialogue
HMIS	Health Management Information System
HoS	Head of Sector
HR	Human Resources
HRSP	Human Resources Strategic Plan
IEPA	Interim- Economic Partnership Agreement
IFMIS	Integrated Financial Management And Information System
IGAD	Intergovernmental Authority on Development
IMF	International Monetary Fund
I-PRSF	Interim- Poverty Reduction Strategy Plan
IRCC	Inter-Regional Coordinating Committee
JAR	Joint Annual Report
JASZ	Joint Assistance Strategy for Zambia
JC	Judgement Criterion
JEU	Joint Evaluation Unit
LDC	Least Developed Country
LMIS	Zambian Logistics Management Information System
M&E	Monitoring and Evaluation
MACO	Ministry of Agriculture and Co-operatives
MCDSS	Ministry of Community Development and Social Services
MCDMCH	Ministry of Community Development, Mother and Child Health
MCTI	Ministry of Commerce Trade and Industry
MDG	Millennium Development Goal
MDRI	Multilateral Debt Relief Initiative
MFN	Most Favoured Nation
MOE	Ministry of Education
MoFED	Ministry of Finance and Economic Development
MoFNP	Ministry of Finance and National Planning
MoH	Ministry of Health
MOU	Memorandum of Understanding
MPSA	Ministries, Provinces and Spending Agencies

MTCI	Ministry of Commerce, Trade and Industry
MTEF	Mid-term Expenditure Framework
MTR	Mid-Term Review
MWS	Ministry of Works and Supply
NAC	National Aids Committee
NAO	National Authorising Officer
NCC	National Council for Construction
NDP	National Development Plan
NGO	Non-Governmental Organisation
NHSP	National Health Strategic Plan
NIP	National Indicative Programme
NPVU	National Pharmacovigilance Unit
NRFA	National Road Fund Agency
NRM	Natural Resources Management
NSA	Non-State Actor
NSA-LA	Non-State Actors-Local Authorities
OAG	Office of the Auditor General
ODA	Official Development Assistance
OEUD	Organisation of Economic Cooperation and Development
OPV	Oral Polio Vaccine
PAF	Performance Assessment Framework
PEFA	Public Expenditure and Financial Accountability
PEMFA	Public Expenditure Management and Financial Accountability
PER	Public Expenditure Review
PFM	Public Finance Management
PLWHA	People living with HIV and AIDS
PMTCT	Prevention of Mother to Child (HIV) Transmission.
PRA	Pharmaceutical Regulatory Authority
PRBS	Poverty Reduction Budget Support
PRSP	Poverty Reduction Strategy Plan
PSD	Private Sector Development
PSIO	Private Sector Intermediary Organisations
RAMP	Rural Accessibility and Mobility Programme
RDA	Road Development Agency
REC	Regional Economic Community
RIP	Regional Indicative Programme
RN	Registered Nurses
RO	Regional Organisation
ROADSIP	Road Sector Investment Programme
ROO	Rules of Origin
RSA	Road Safety Agency
RSP	Regional Strategy Paper
SADC	Southern African Development Community
SADFS	Agriculture Diversification and Food Security
SAF	Structural Adjustment Fund
SAG	Sector Advisory Group
SBS	Sector Budget Support

SIDA	Swedish International Development Agency
SME	Small and Medium Enterprise
SNDP	Sixth National Development Plan
SPS	Sanitary and Phytosanitary Standards
SPSP	Sector Policy Support Programme
SWAp	Sector wide approach
SWOT	Strengths, Weaknesses, Opportunities and Threads
TB	Tuberculosis
TBT	Technical Barriers to Trade
TC	Technical Cooperation
TCF	Technical Cooperation Facility
TI CPI	Transparency International Corruption Index
TNDP	Third National Development Plan
TOR	Terms of Reference
UAE	United Arab Emirates
UN	United Nations
UNDP	United Nations Development Programme
UNIP	United National Independence Party
UNSD	United Nations Statistics Division
US	United States
USAID	United States Agency for International Development
VCT	Voluntary Counselling and Testing
VOC	Vehicle operating costs
WTO	World Trade Organisation
ZABS	Zambian Bureau of Standards
ZAMMOD	<i>Annual macroeconomic model</i>
ZDA	Zambian Development Agency
ZDHS	Zambian Democratic Health Survey
ZWMA	Zambian Weight and Measure Agency

Annex I : Terms of Reference



EUROPEAN COMMISSION

EuropeAid Development and Cooperation Directorate-General

Evaluation

Evaluation of the Commission of the European Union's co-operation with Zambia

Country Level Evaluation

Terms of Reference

3 March 2011

1. Mandate and objectives

Systematic and timely evaluation of its programmes is a priority of the Commission of the European Union (further referred to as 'Commission'). The focus is on the **results¹ and impact** (effects) of these programmes against a background of greater concentration of external co-operation and an increasing emphasis on **result-oriented approaches**.

The evaluation of the Commission's co-operation with **Zambia** is part of the **2010** evaluation programme, as approved by External Relations and Development Commissioners.

The main objectives of the evaluation are:

- to be accountable and to provide the relevant external co-operation services of the Commission and the wider public with an overall independent assessment of the Commission's past and current cooperation relations with **Zambia**;
- to identify key lessons in order to improve the current and future strategies and programmes of the Commission.

2. Background

Country context

Located in south-central Africa, Zambia is a large landlocked country surrounded by Angola and Namibia to the West, Tanzania, Malawi and Mozambique to the East, Zimbabwe and Botswana to the South and the Democratic Republic of Congo to the North. It is one of the most highly urbanised countries in Sub-Saharan Africa with a total population of approximately 13 million people, which is concentrated in a few urban areas along the major transport corridors, while rural areas are sparsely populated. The economy is still very much based on agriculture, which employs over 70% of the working population. After the economic stagnation experienced during the 1990s, growth accelerated in recent years and despite the global crisis this trend is expected to continue. The main source for the rapid expansion is mining (mostly copper), which provides nearly 80% of export earnings. However, the overall good performance of the economy has not translated into any significant drop in poverty. The number of people living in absolute poverty remains high. The level of income disparities in Zambia is one of the highest in Sub-Saharan Africa. Some positive development was recorded for some social indicators, such as education. The 2010 Human Development Index ranks the country 150 out of 169 countries.

Although it has never counted among the major countries of emigration in the region, the country has experienced a very critical brain drain, in particular in the health sector.

Zambia hosts tens of thousands of refugees coming mostly from the Democratic Republic of Congo and Angola. It has never been involved in an external conflict or war and there is a sense of national pride about this.

HIV/AIDS is a major health issue, as the national HIV prevalence rate among adults ages 15 to 49 is around 14.3%. Young women ages 25 to 34 are at much higher risk of being infected by HIV than young men in the same age group.

Zambia is a member of both SADC and COMESA. As a member of the regional COMESA, it participates in the discussions on the establishment of the Customs Union, which is hoped to strengthen economic integration and eventually lead to a single currency (monetary union). Zambia is also participating in the SADC Preferential Trade Agreement.

¹ Understood as "outcomes" in DAC terminology.

Overview of EC Cooperation with Zambia

EU development assistance to Zambia is provided under Cotonou Agreement, mainly through the European Development Fund (EDF). EDF assistance is in form of grants.

a) Cooperation under the 9th EDF Country Strategy Paper

The EC support under the 9th EDF was concentrated around three main areas: macroeconomic support, transport infrastructure and capacity building and institutional development. Non-focal areas of intervention were in health and education. The EC financial resources allocated for the 9th EDF were distributed as follows: 240 Meuro for programmable aid (A envelope) and 111 Meuro (B envelope) for unforeseen events. At the mid-term review of the 9th EDF it was decided to reallocate an important part of the B envelope (80 Meuro) to the A envelope as follows:

- 65 Meuro for macroeconomic budget support;
- 15 Meuro for food security (within the framework of the capacity building and institutional development focal sector).

The table below presents an overview of the distribution of Envelope A funds among sectors.

Main Envelope A 9th EDF programmes		Grant amount (M€)	Execution period
Poverty Reduction Budget Support (PRBS)	PRBS 1	117	2004 - 2006
	PRBS 2	62	2007 - 2008
Support to Public Expenditure Management and Financial Accountability programme (PEMFA)		13	2006-2010
Road Sector Budget Support		96	2005-2009
Zimba – Livingstone road		15	2009-2010
Agriculture & Food Security		15	2006-2010
Private Sector Capacity Building		15	2006-2009
Education & Health		20	2004-2008

The remaining Envelope B funds were used to cover unforeseen needs related to instability in export earnings, as well as humanitarian assistance, including the repatriation of refugees managed by DG ECHO. Additional EDF funds were also used for post-floods 2007 recovery.

Poverty Reduction Budget Support

EC provided substantial adjustment financing to Zambia between 1992 and 2003 through the Structural Adjustment Facility and SYSMIN funds. The continuation was represented by the 9th EDF Poverty Reduction Budget Support operation (PRBS 1 2004-2006 and PRBS 2 2007-2008) whose main objectives were to contribute to improved macro-economic stability, strengthening of Public Finance Management, and enhanced service delivery notably in health and education.

Transport

EDF support for Zambia’s infrastructure development has been considerable (approximately €170 million for EDF 8 and 9) and applied in most sub-sectors (roads, aviation, port development, urban markets). Until the 9th EDF this was always in the form of project aid, but during the implementation of the 9th EDF a transport sector budget support programme was introduced in parallel with the traditional project support.

Institutional Development and Capacity Building

The support to this focal sector was mainly provided in order to improve public finance management, support better dialogue between public sector and private sector, and improve food security as well as to strengthen the capacity of the National Authorising Officer.

b) Cooperation under the 10th EDF Country Strategy Paper

Under the 10th EDF (2008 – 2013), the EU allocated €475 million (A - Envelope), globally supporting the national development strategy of the country through Budget Support and specific sector programmes in transport infrastructure and health. An additional €14.8 million (B-Envelope) is the initial allocation for unforeseen needs.

Also, to help the country overcome the 2008 food prices crisis, additional funds were allocated to Zambia under the **1 billion Euro Rapid Response Food Facility (about €16.3m) and €4.63m from the B envelope reserve.**

The table below presents an overview of the distribution of Envelope A funds among sectors².

10th EDF A envelope programmes	Total initial grant (M€)	Budget share (%)
FOCAL SECTORS		
Regional Integration. Transport Infrastructure	118	24.8
Health	59	12.4
General Budget Support	232	48.9
NON – FOCAL SECTORS		
Food security & agricultural diversification	30	6.3
Support for Governance	25	5.3
Support for Non-State Actors	5.5	1.2
Others	5.5	1.1
TOTAL	475	100

In **2008**, the Commission decided on a **first Annual Action Programme of €346 million**. Five priority interventions have been retained for this purpose:

² As revised with Order for Service DEV to AIDCO dated 2-06-2010 mobilising €1M from not allocated funds in the NIP to the focal sector 'Regional integration. Transport infrastructure'

- Macroeconomic stability and poverty reduction with € 225 million. Through a MDG Contract, direct budget support is made available in support to macroeconomic stability, improved public finance management, enhanced service delivery in the social sectors, and promotion of reforms that enable job creation and pro-poor growth.
- Road sector policy support with €77 million (of which €69.3 million Sector BS): The programme objectives are to improve accessibility, mobility and connectivity at district, provincial and national level promoting basic access for people and goods, and contributing to regional integration.
- Health sector policy support with €35 million: The objective of EDF funding is to contribute to improving health service delivery with a view to bringing the country closer to the health Millennium Development Goals;
- Strengthening the electoral system with €7.4 million: The programme objective is to support the capacities of the Electoral Commission of Zambia (ECZ), the Department for National Registration (DNR) as well as civil society, media and Political parties.
- The fight against child trafficking and child labour with €1.6 million. In partnership with UNICEF, the project will contribute to the protection of children from the harmful effects of trafficking and premature labour.

A **second Annual Action Programme** was approved in **2009** with a **€ 5 million** allocation for a **Technical Cooperation Facility** including a component for the livestock sector (€ 2 million). In 2009, the Commission also decided on a **V-FLEX allocation of € 30 million** to the B-envelope (addendum to the CSP) which then entered the MDG-C (Rider to FA, now totalling €255 million).

Finally, in **2010**, the Commission approved the **2010 Annual Action Programme for Zambia** which includes the **Great East Road Rehabilitation**, (€38 million), **Aviation Sector Support Programme** (€3 million) and Support to the Agriculture **Performance Enhancement Programme**, PEP (€8.9 million). This complemented the **Access to Justice** programme (€6 million) approved earlier in the year.

c) Other funding sources

ACP-EU Water and Energy Facilities (9th EDF)

Under the Water Facility, six projects of a total amount of €13.5 million have been financed. The scope of activities goes from the setting up an integrated water resources management system for Zambia to the provision of safe water and proper sanitation to poor peri-urban and rural areas.

Under the Energy Facility, €20 million have been allocated by the EU to increase access to electricity services mainly in rural areas.

EU/Africa Infrastructure Trust Fund

Under the Trust Fund, two amounts of 25M€ and 10.8M€ as been allocated to subsidies the interest rate of EIB and AFD loans in order to contribute to the financing of the rehabilitation of the Great Eastern Road.

Thematic Budget lines

A number of 24 NGO projects have been financed for a total grant amount of €20 million in the following sectors: Food Aid/Food Security, Water Supply and Sanitation, Basic Health, Social Services, Rural Development, Capacity Building to Non State Actors and support to Local Authorities.

Moreover, Zambia has been allocated €3,050, 000 under the Budget 2008 for the Thematic Programme "Non - State Actors and Local Authorities in Development".

²Accompanying Measures for Sugar Protocol Countries

A total of €6 million is allocated to Zambia for the period 2007-2010 with the objective to increase the contribution of the sugar sector to the socio-economic development of the country.

European Investment Bank loans

The portfolio of EIB loans in Zambia has been traditionally concentrated in the mining sector. An important part of the portfolio is also concentrated in the financial sector, particularly in credit lines to local banks with strong risk-sharing features. Coordination between EC and EIB has been enhanced under the Infrastructure Trust Fund.

Donor coordination in Zambia

A structured donor group and a Joint Assistance Strategy for Zambia (JASZ) have been set up, of which the European Commission is fully part of, notably concerning the Division of Labour. With the imminent launch of a new PRSP (Sixth National development Plan) for the period 2011-2015, donors in Zambia are preparing a JASZ II, in cooperation with Government.

3. Scope

3.1 Temporal and legal scope

The scope of the evaluation covers the Commission's co-operation strategies and their implementation during the period 2001 – 2010.

The Consultants must assess:

- the relevance and coherence³ of the Commission's co-operation strategies (all instruments included) for the period (at the strategic level);
- the consistency between programming and implementation for the same period;
- the EU added value⁴ of the Commission's interventions (at both the strategic and implementation levels);
- the 3Cs: coordination and complementarity of the Commission's interventions with other donors' interventions (focusing on EU Member States); and coherence⁵ between the Commission's interventions in the field of development cooperation and other Commission policies that are likely to affect the partner country;
- the **implementation** of the Commission's co-operation, focusing on impact, sustainability, effectiveness and efficiency for the period 2001-2007 and on intended effects for the period under the programming cycle 2008 – 2013;

³ This definition of coherence corresponds to the evaluation criterion (see annex 6).

⁴ See annex 5.

⁵ This definition of coherence refers to its definition under the 3Cs (see annex 6).

- whether cross-cutting and key issues⁶ were actually taken into account in the programming documents and the extent to which they have been reflected in the implementation modalities; and what are the results of the interventions (both at a strategic and implementation level);
- whether the recommendations of a previous country level evaluation have been taken into account. A previous evaluation, entitled 'Evaluation of the Commission's support to Zambia - Country level evaluation' was finalised June 2006 and conducted by the company 'Sofreco'. The Consultants must check if previous recommendations were useful and to what extent they have been taken into account in the current programming cycle. If not, it should be analysed why this has not happened.

3.2 Thematic scope

The Consultants must assess the following areas of co-operation:

- Macroeconomic support (including General Budget Support and PFM related cooperation);
- Infrastructure: roads, aviation, urban markets
- Social services: Health and Education;
- Good Governance: support to elections and Access to Justice;
- Agriculture and Food Security;
- Non state actors;
- Capacity Development (cross cutting the different sectors).

In the inception phase, during discussions with the Reference Group, it maybe decided to concentrate on a more limited number of areas.

The coordination and complementarities between activities under different mechanisms, modalities and budget lines as well as between activities initiated at regional versus those at national level should be analysed.

The coherence of the EC's cooperation programme in Zambia with the regional strategies/ regional cooperation programmes should be evaluated.

The interventions funded by ECHO (European Commission Humanitarian Office) and EIB (European Investment Bank) are not part of the evaluation scope. However, coherence and complementarity between these interventions and the strategy/ies evaluated must be examined.

The main source of information for the evaluation of budget support operations should be the joint evaluation of budget support to Zambia, taking into account the perspective of the EC support. The joint budget support evaluation is expected to be finalised in April 2011.

In particular, it should be assessed how the shift from projects to sector budget support in the transport sector has changed the EC development cooperation in the sector.

⁶ The Consultants have to provide a well argued proposal, highlighting which cross-cutting and key issues they recommend the evaluation to focus on. Cross-cutting issues are those of the European Consensus on Development (Article 101): Human rights; Gender equality; Democracy; Good governance; Children's rights; Indigenous people's rights; Environment sustainability; Combating HIV/AIDS.

This analysis of Budget Support should be guided to the extent possible by the methodology for evaluating budget support, as laid out in the issues paper under:

http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/reports/2008/1258_isspap_en.pdf

NB: The results of completed evaluations (mid, final or ex-post) covering Commission interventions are important material, upon which the Consultants must build. They are a key part of the secondary information collection and must be used as such.

Key deliverables

The overall methodological guidance to be used is available on the web page of the Joint Evaluation Unit under the following address:

http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction_en.htm

Following the signature of the contract, the key deliverables are⁷:

- The inception meeting where evaluation questions and judgement criteria will be presented;
- The inception report;
- The desk report;
- The draft final report (including the PowerPoint presentation synthesising the results and recommendations of the evaluation);
- The seminar in the country;
- The final report; and
- The methodological note on the quality control system⁸.

NB: For all reports, the Consultants may either accept or reject the comments made by the Joint Evaluation Unit and/or the Reference Group, but in the case of rejection they must justify (in writing) the reasons for rejection (the comments and the Consultants' responses will be annexed to the report/deliverable). When the comment is accepted, a reference to the text in the report (where the relevant change has been made) has to be included in the response sheet.

4.1 The inception meeting

Upon approval of the launch note by the Joint Evaluation Unit, the Consultants will proceed to the structuring stage, which in turn leads to the production of an inception report.

The main part of the work consists in the analysis that covers all the key relevant documents regarding the Commission's co-operation with Zambia. The Consultants will also take into account documentation produced by other donors and international agencies.

If relevant, a brief exploratory country mission can be organised.

On the basis of the information collected and analysed, the Consultants will propose evaluation questions with accompanying explanatory comments. The choice of the questions will determine the subsequent phases of information and data collection, elaboration of the

⁷ The Consultants have to provide, whenever asked and in any case at the end of the evaluation, a list of all the documents read, data collected and databases built.

⁸ Note to be produced within the framework of the quality control activities accounting for 2.5% of the total budget of the evaluation excluding the seminar.

methods for analysis, and the elaboration of final judgements. The Consultants will also identify appropriate judgement criteria.

A meeting will be held with the Reference Group to discuss:

- the evaluation's central scope; and
- other possible important topics to be tackled;

and to validate:

- the intervention logic according to official documents (and using logical diagrams);
- the evaluation questions; and
- explanatory comments associated to each evaluation questions (and when possible, judgement criteria will be indicated).

Upon validation by the Reference Group, the evaluation questions become part of the ToR.

4.2 Inception report

At the end of the inception phase, the Consultants must deliver an **inception report**, which finalises the evaluation questions and judgement criteria and outlines the methodological design (including the indicators to be used, the strategy of analysis and a detailed work plan for the next stages).

The inception report contains the following elements:

- the national background/context (political, economic, social, etc.);
- the cooperation context between the Commission/EU and the partner country;
- the intervention logic (both faithful and logically reconstructed) of the Commission's cooperation;
- the validated evaluation questions;
- a limited number of appropriate judgment criteria per evaluation question;
- a limited number of quantitative and/or qualitative indicators related to each judgment criterion;
- a proposal outlining suitable working methods to collect data and information from the Commission's headquarters and EU Delegations (including information coming from the country itself and other donors working in the country);
- a first outline of the strategy and the methods to analyse the collected data and information, indicating any limitations;
- a concise description of the Commission's development co-operation rationale with **Zambia**; and
- a detailed work plan for the next stages.

If necessary, the report will also confirm the content of the launch note concerning the following points:

- the final composition of the evaluation team; and
- the final work plan and schedule.

The two latter points will be agreed and confirmed through a formal exchange of letters between the Consultants and the Commission.

This phase may include a short preparatory and exploratory visit by the Consultants to the field (if not already done before).

4.3 Desk report

Upon approval of the inception report the Consultants will proceed to the final stage of the desk phase. At the end of this phase, the Consultants will present a desk report setting out the results of this evaluation phase, including all the following elements:

- the evaluation questions with the agreed judgement criteria and their corresponding quantitative and qualitative indicators;
- progress in the gathering of data. The complementary data required for analysis and what data will be collected in the field must be identified;
- first analysis and first elements of an answer to each evaluation question (when available) and remaining assumptions to be tested in the field phase;
- an exhaustive list of all the activities covered during the period and an exhaustive list of all activities examined during the desk phase, bearing in mind that activities analysed in the desk phase (including ROM) must be representative;
- methodological design, including the evaluation tools that are ready to be applied in the field phase: (i) suitable methods of data collection within the country, indicating any limitations, describing how the data could be cross-checked, and specifying sources for the data; (ii) appropriate methods to analyse the information, again indicating any limitations of those methods in **Zambia**; and
- a work plan for the field phase: a list with brief descriptions of activities for in-depth analysis in the field. The Consultants must explain their representativeness⁹ and the value added of the planned visits.

The field mission cannot start before the Evaluation Manager has approved the desk report.

4.4 Field reporting

The fieldwork shall be undertaken on the basis set out in the desk report, as approved by the Reference Group (which includes the Delegation). The work plan and schedule of the mission will be agreed in advance with the Delegation concerned. If during the course of the fieldwork it appears necessary to deviate from the agreed approach and/or schedule, the Consultants must ask the approval of the Joint Evaluation Unit before any changes can be applied. At the conclusion of the field mission the Consultants will present the preliminary findings of the evaluation:

- (1) Presentation during a de-briefing meeting with the Delegation; and
- (2) Presentation to the Reference Group shortly after their return from the field.

4.5 Final reports and seminar in the country

4.5.1. *The Draft Final Report*

The Consultants will submit the draft final report in conformity with the structure set out in annex 2. Comments received during de-briefing meetings with the Delegation and the Reference Group must be taken into consideration.

If the Evaluation Manager considers the report to be of sufficient quality (cf. annex 3), he/she will circulate it for comments to the Reference Group. The Reference Group will convene to discuss it in the presence of the Consultants.

⁹ The representativeness must address the different dimensions (percentage of funds, sample size and choice – diversity, illustration of the chosen interventions ...) and must be mentioned in order to allow a robust evaluation.

Along with the draft final report, the Consultants shall produce a short presentation (PowerPoint) synthesising the main results and recommendations of the report, following the structure outlined in annex 4. This presentation, the structure of which could also be used for the Consultants' presentation during the seminar, will become an annex of the final synthesis report.

4.5.2. The in-country seminar

The Consultants will make the appropriate amendments based on comments expressed by the Reference Group and the Joint Evaluation Unit. The accepted draft final report will be presented at a seminar in Zambia. The purpose of the seminar is to present the results, the conclusions and the preliminary recommendations of the evaluation to the National Authorities, the Delegation and to all the main stakeholders concerned (EU Member States, representatives of civil society organisations and other donors, etc.).

The Consultants shall prepare a presentation (PowerPoint) for the seminar. This presentation shall be considered as a product of the evaluation in the same way as the reports. For the **seminar** up to 100 copies of the report with annexes on CD-Rom (see annex 2 of the ToR) have to be produced and delivered to the EU Delegation in Zambia (the exact number of reports and delivery date will be specified by the Joint Evaluation Unit at least three weeks before the seminar). The electronic version of the report and the annexes has to be provided to the Joint Evaluation Unit.

Consultants shall produce minutes of the seminar; these minutes will also become a product of the evaluation.

4.5.3. The Final Report

The Consultants will prepare the final report based on the comments expressed at the seminar and on the basis of further comments from the Reference Group, the Delegation and/or the Evaluation Manager. Both the presentation (PowerPoint) synthesising the results of the evaluation and the presentation made at the seminar will be revised in accordance to the final report and annexed to it.

The final report has to be approved by the Joint Evaluation Unit before being printed.

110 copies of the **Final Main Report** must be sent to the Joint Evaluation Unit with an additional 10 reports that include all printed annexes. A CD-Rom with the Final Main Report and annexes has to be added to each printed report (PDF format). The evaluators have to hand over in the most appropriate format (electronic or paper) all relevant data gathered during the evaluation.

For publication on internet, the Joint Evaluation Unit must also receive the different versions (if different languages) of the executive summary, both in WORD and PDF format.

The contractor shall submit a methodological note explaining how the quality control was addressed during the evaluation and how the capitalisation of lessons learned has also been addressed.

The Joint Evaluation Unit will make a formal judgement on the quality of the evaluation (cf. annex 3).

4. Evaluation questions

The evaluation will be based on a limited number of evaluation questions (up to a maximum of ten), covering seven evaluation criteria: relevance, effectiveness, efficiency, impact, sustainability (5 DAC criteria), coherence and the Commission's value added (2 EC criteria).

Besides the evaluation criteria, evaluation questions will also address: cross-cutting issues, the 3Cs, other key issues (e.g. the regional dimension).

The evaluation criteria and key issues will be given different emphasises based on the priority given to them within the evaluation questions.

More information on the evaluation criteria, key issues and on the main principles for drafting evaluation questions can be found in annexes 5, 6 and 7.

5. Responsibility for the management and the monitoring of the Evaluation

The Joint Evaluation Unit is responsible for the management of the evaluation, with the assistance of the Reference Group.

Information on the documents referred in annex 1 will be given to the Consultants after the signature of the contract.

6. The Evaluation Team

The evaluation team must possess a sound knowledge and experience in:

- evaluation methods and techniques in general and, if possible, of evaluation in the field of external relations;
- Zambia and the south-central Africa;
- the following fields:
 - Budget support modalities;
 - Infrastructure: roads, aviation, urban markets;
 - Social services: Health and Education;
 - Good Governance: support to elections and Access to Justice;
 - Agriculture and Food Security;
 - Non state actors;
 - Capacity Development.
- the following language(s): English¹⁰.

The Joint Evaluation Unit strongly recommends that the evaluation team should include Consultants from the country or the region (notably, but not only, during the field phase) with an in-depth knowledge of key evaluation areas.

Consultants must be independent from the activities evaluated. Conflicts of interests must be avoided.

It is highly recommended that at least the team leader is fully familiar with the Commission's methodological approach (cf. Joint Evaluation Unit's website: http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction_en.htm).

¹⁰ The evaluation team must be able to communicate in the main language(s) spoken in the country.

7. Timing

The indicative framework below has to be filled by the Consultants.

Evaluation Phases and Stages	Notes and Reports	Dates	Meetings/Communications
Desk Phase		June 2011	
Structuring Stage	Short presentation (intervention logic, EQs and 1 st set of JC)		RG Meeting
	Draft Inception Report		Optional: Short preparatory visit of the Consultants to the field.
	Final Inception Report		A formal exchange of letters between the Consultants and the Commission confirming the final composition of the evaluation team and the final work plan and schedule.
Desk Study	Draft Desk Report		RG Meeting
	Final Desk Report		
Field Phase			De-briefing meeting with the Delegation.
	Presentation		RG Meeting
Synthesis phase (seminar in the country)			
	1st draft Final report		RG Meeting
	Revised draft Final report		Seminar in Zambia Up to 100 copies of the report with annexes on CD-Rom have to be delivered to the Delegation; an electronic version of the report and the annexes has to be provided to the Joint Evaluation Unit.
	Final Report	June 2012	110 copies of the Final Main Report must be sent to the Joint Evaluation Unit with additional 10 reports printed with all the annexes. A CD-Rom of the Final Main Report and annexes has to be added to each printed copy. The different versions of the executive summary (WORD and PDF) and methodological note (PDF) must be sent.

The final timing accepted will be annexed to the contract signed.

8. Cost of the Evaluation

The overall costs include:

- The **evaluation study**;
- 2.5% of the total budget, excluding the costs of the seminar, are to be used for **quality control**; and
- A **seminar** in the country.

The total for these 3 elements must not exceed **€ 200,000**.

NB: The budget for the seminar (fees, per diems and travel) will be presented separately in the launch note.

9. Payments Modalities

The payments modalities shall be as follows:

- 30% on acceptance of the Inception Report, plus 2.5% of the agreed budget to be used for quality control;
- 50% on acceptance of the Draft Final Report; and
- the balance on reception of: hard copies of the accepted final report; the methodological note on the quality control system; the list of all the documents read; and data collected and any databases built.

Seminar related costs are to be invoiced and paid separately.

APPENDIX 1: INDICATIVE DOCUMENTATION FOR THE EVALUATION

General documentation

- Communications of the Commission; and
- Various regulations.

Country

- CRIS¹¹ (information on the projects and ROM¹²) and other databases concerning the financed projects, engagements, payments, etc.;
- Cooperation strategies;
- Conclusions of the Mid-term and End-of-Term Reviews;
- 'Evaluation of the Commission's support to Zambia-Country level evaluation' - June 2006
- The country Environmental Profile for Zambia;
- Key government planning and policy documents;
- Projects evaluation reports; and
- Relevant documentation provided by the local authorities and other local partners, financial backers, etc.

The four following documents are to be provided to the Consultants:

- Access to the information contained in the ROM system for an evaluation;
- A methodological note from Eureval concerning the North-South approach to country level evaluations;
- Template for Cover page; and
- An example of an executive summary (currently from the Mozambique evaluation).

In addition, the Consultants will have to consult the documentation available on the internet (DAC/OECD and EU Inventory, if necessary) as well as the documentation listed, or available within the Joint Evaluation Unit (AIDCO/0/3 Library).

¹¹ Common RELEX Information System

¹² Results Oriented Monitoring

APPENDIX 2: OVERALL STRUCTURE OF THE FINAL REPORT

The overall layout of the report is:

Final report

- Executive summary (1);
- Context of the evaluation;
- Answers to the evaluation questions;
- Conclusions (2); and
- Recommendations (3).

Length: the final report must be kept short (70 pages maximum excluding annexes). Additional information regarding the context, the activities and the comprehensive aspects of the methodology, including the analysis, must be put in the annexes.

(1) Executive summary

The executive summary of evaluation report should have a maximum of 5 pages. The template and structure for the executive summary are as follows:

- a) 1 paragraph explaining the challenges and the objectives of the evaluation;
- b) 1 paragraph explaining the context in which the evaluation takes place;
- c) 1 paragraph referring to the methodology followed, spelling out the main tools used (data on the projects visited, the interviews completed, the questionnaires sent, the focus groups, etc. have to be listed);
- d) The general conclusions related to sectoral and transversal issues on one hand, and the overarching conclusion(s) (for example on poverty reduction) on the other hand, have to be clearly explained;
- e) 3 to 5 main conclusions should be listed and classified; and
- f) 3 to 5 main recommendations should be listed according to their priority.

Points a) to c) should take 1 to 2 pages.

Points d) to f) should not take more than 3 pages.

(2) Conclusions

- The conclusions have to be assembled by homogeneous "clusters" (groups). It is not required to set out the conclusions according to the evaluation criteria;
- The general conclusions related to sectoral and transversal issues and the overarching conclusion(s) (for example on poverty reduction) have to be explained in detail;
- The chapter on "Conclusions" has to contain a paragraph or a sub-chapter with the 3 to 5 principal conclusions presented in order of importance; and
- The chapter on "Conclusions" must also make it possible to identify subjects, for which there are good practices, and the subjects, for which it is necessary to think about the modifications or re-orientations.

(3) Recommendations

- Recommendations have to be linked to the conclusions without being a direct copy of them;
- Recommendations have to be treated on a hierarchical basis and prioritised within the various clusters (groups) of presentation selected;
- Recommendations have to be realistic, operational and feasible. As far as it is practicable, the possible conditions of implementation have to be specified; and
- The chapter on "Recommendations" has to contain a sub-chapter, or a specific paragraph corresponding to the paragraph with the 3 to 5 principal conclusions. Therefore, for each conclusion, options for action and the conditions linked to each action as well as the likely implications should be set out.

Annexes (non exhaustive)

- National background;
- Methodological approach;
- Information matrix;
- Monograph, case studies;
- List of institutions and persons met;
- List of documents consulted; and
- Synthetic presentation of the main results of the evaluation (5 slides per evaluation question).

NOTE ON THE EDITING OF REPORTS

- The final report must:
 - be consistent, concise and clear;
 - be well balanced between argumentation, tables and graphs;
 - be free of linguistic errors;
 - include a table of contents indicating the page number of all the chapters listed therein, a list of annexes (whose page numbering shall continue from that in the report) and a complete list in alphabetical order of any abbreviations in the text; and
 - contain one (or several) summaries presenting the main ideas. For example, the answers to the evaluation questions and the main conclusions could be summarised and presented in a box.
- The executive summary must be very short (max. 5 pages);
- The final version of the report must be typed in single spacing and printed double sided, in DIN-A-4 format;
- The font must be easy to read (indicative size of the font: Times New Roman 12);
- The presentation must be well spaced (the use of graphs, tables and small paragraphs is strongly recommended). The graphs must be clear (shades of grey produce better contrasts on a black and white printout);
- The main report must not exceed 70 pages including the cover page, the table of content, the lists of annexes and abbreviations;
- The content must have a good balance between main report and annexes; and
- Reports must be glued or stapled; plastic spirals are not acceptable due to storage problems.

The Cover page must use the template mentioned in annex 1.

Please note that:

- The Consultants are responsible for the quality of translations and their conformity with the original; and
- All data produced in the evaluation are property of the Commission.

APPENDIX 3 - QUALITY ASSESSMENT GRID

Concerning these criteria, the evaluation report is:	Unac-ceptable	Poor	Good	Very good	Excel-lent
1. Meeting needs: Does the evaluation adequately address the information needs of the commissioning body and fit the terms of reference?					
2. Relevant scope: Is the rationale of the policy examined and its set of outputs, results and out-comes/impacts examined fully, including both intended and unexpected policy interactions and consequences?					
3. Defensible design: Is the evaluation design appropriate and adequate to ensure that the full set of findings, along with methodological limitations, is made accessible for answering the main evaluation questions?					
4. Reliable data: To what extent are the primary and secondary data selected adequate? Are they sufficiently reliable for their intended use?					
5. Sound data analysis: Is quantitative information appropriately and systematically analysed according to the state of the art so that evaluation questions are answered in a valid way?					
6. Credible findings: Do findings follow logically from, and are they justified by, the data analysis and interpretations based on carefully described as-sumptions and rationale?					
7. Validity of the conclusions: Does the report provide clear conclusions? Are conclusions based on credible results?					
8. Usefulness of the recommendations: Are rec-ommendations fair, unbiased by personnel or shareholders' views, and sufficiently detailed to be operationally applicable?					
9. Clearly reported: Does the report clearly de-scribe the policy being evaluated, including its con-text and purpose, together with the procedures and findings of the evaluation, so that information pro-vided can easily be understood?					
Taking into account the contextual constraints on the evaluation, the overall quality rating of the report is considered.					

APPENDIX 4: STRUCTURE OF THE (POWERPOINT) PRESENTATION SYNTHESISING THE MAIN RESULTS AND RECOMMENDATIONS OF THE DRAFT FINAL REPORT

1. The presentation shall comprise not more than five slides for each evaluation question and shall be structured as follows:
 - a) The first slide will recall the (potential) link between the question and the synthetic logical diagram(s) of impact;
 - b) The second slide will present us with the reasoning chain indicating, for each EQ, the selected Judgement Criteria and Indicators (accompanied, when relevant, by target levels), as agreed during the structuring stage of the evaluation;
 - c) The third slide will display the evaluators' findings, following the same structure as in b);
 - d) The fourth slide shall present the limitations of the demonstration and of the findings; and
 - e) If need be, some explanatory text may be added in a fifth slide.
2. In addition, further slides will be added for overall conclusions and recommendations.

APPENDIX 5: EVALUATION CRITERIA AND KEY ISSUES

- (1) Definitions (or links leading to the definitions) of the **five OECD-DAC evaluation criteria** (sometimes adapted to the specific context of the Commission) can be found in the glossary page of the Joint Evaluation Unit's website, at the following address:

http://ec.europa.eu/europeaid/evaluation/methodology/glossary/glo_en.htm

- (2) As regards **coherence** (considered as a specific Commission's evaluation criterion) and the **3Cs**, their meaning and definition can be found in Annex 6.

- (3) **Value added of the EU's interventions:** The criterion is closely related to the principle of subsidiarity and relates to the fact that an activity/operation financed/implemented through the Commission should generate a particular benefit.

There are practical elements that illustrate possible aspects of the criterion:

- 1) The Commission has a particular capacity, for example experience in regional integration, above that of EU Member States;
- 2) The Commission has a particular mandate within the framework of the '3Cs' and can draw Member States to a greater joint effort; and
- 3) The Commission's cooperation is guided by a common political agenda embracing all EU Member States.

APPENDIX 6: NOTE ON THE CRITERION OF COHERENCE AND ON THE 3Cs

Practice has shown that the use of the word "COHERENCE" brings a lot of questions from both Consultants and Evaluation Managers. This situation arises from the use of the same word "COHERENCE" in two different contexts.

Indeed, coherence is one of the two evaluation criteria that the Commission is using in addition to the 5 criteria from DAC/OECD but coherence is also a specific concept in the development policy, as defined in the Maastricht Treaty. The definitions of the same word in the two different contexts do not overlap and can lead to misinterpretation. To solve this problem the following decision has been taken.

Decision:

The definitions of relevance and coherence from Commission's budget glossary must be used for the evaluation criteria¹³:

- **Relevance:** the extent to which an intervention's objectives are pertinent to needs, problems and issues to be addressed;
- **Coherence:** the extent to which the intervention logic is not contradictory/the intervention does not contradict other intervention with similar objectives, in particular within the Commission's external assistance policies; and
- **The notion of complementarity as evaluation criteria has to be deleted.**

The definition of the 3Cs has to be given with reference to the Maastricht Treaty modified by the Amsterdam Treaty (articles 177 up to 181, to be adapted if necessary with the Lisbon Treaty):

Coordination (article 180):

- The Community and the Member States will coordinate their policies on development cooperation and will consult each other on their aid programmes including in international organisations and during international conferences. They may undertake joint action. Member States will contribute if necessary to the implementation of Community aid programmes.
- The Commission may take any useful initiative to promote the coordination referred to in paragraph 1.

Complementarity (article 177):

The Community policy in the sphere of development cooperation, which is complementary to those pursued by Member States, shall foster: (.....)¹⁴

Coherence (article 178):

The Community shall take into account of the objectives referred to in article 177 (Community policy in the sphere of development cooperation) in the policies that it implements which are likely to affect developing countries.

The 3Cs have to be dealt with as key issues for the Community policy in development cooperation and have never been seen as evaluation criteria.

¹³ According to the DAC Glossary the **relevance** is the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. The terms 'relevance and coherence' as Commission's evaluation criteria cover the DAC definition of 'relevance'.

¹⁴ The Lisbon Treaty foresees reciprocal relations between the Community and the Member States and not anymore univocal direction Member States towards the Commission.

APPENDIX 7: PRINCIPLES REGARDING THE DRAFTING OF EVALUATION QUESTIONS

Main principles to follow when asking evaluations questions (EQ)

- Limit the total number of EQ to 10 for each evaluation.
- In each evaluation, more than half of EQ should cover specific actions and look at the chain of results.
 - Avoid too many questions on areas such as cross cutting issues, 3Cs and other key issues, which should be covered as far as possible in a transversal way, introducing for example specific judgement criteria in some EQs.
- Within the chain of results, the EQs should focus at the levels of results (outcomes) and specific impacts.
 - Avoid EQs limited to outputs or aiming at global impact levels; and
 - In the answer to EQs, the analysis should cover the chain of results preceding the level chosen (outcomes or specific impacts).
- EQ should be focused and addressing only one level in the chain of results.
 - Avoid too wide questions where sub-questions are needed (questions à tiroirs); and
 - Avoid questions dealing with various levels of results.
(for example looking at outcomes and specific impacts in the same EQ).
- The 7 evaluation criteria should not be present in the wordings of the EQ.
- General concepts such as sustainable development, governance, reinforcement, etc. should be avoided.
- Each key word of the question must be addressed in the answer.
 - Check if all words are useful;
 - Check that the answer cannot be yes or no; and
 - Check that the questions include a word calling for a judgement.
- EQ must be accompanied by a limited number of judgement criteria; some of them dealing with cross cutting and some key issues (see point 2 above).
- A short explanatory comment should specify the meaning and the scope of the question.

Annex II: Evaluation design and methodology

Following the Terms of Reference and based on the methodology developed by the EU's Joint Evaluation Unit, the country strategy evaluation for Zambia followed five phases:

- (i) an inception phase;
- (ii) a desk phase;
- (iii) a field phase (December 2011);
- (iv) a synthesis phase bringing together the results of the field and desk phases, and
- (v) a dissemination phase with final feedback from stakeholders and the Delegation.

Meetings with the Reference Group were convened, according to the JEU's template, for validation and feedback during important stages of the evaluation. The team met in Brussels and by videoconferences at critical points during the evaluation, notably:

- For finalising the inception phase and achieving a balanced understanding of the evaluation methodology by the whole team
- Before finalising the desk report to fine-tune the field visit methodology and come to a common understanding of its scope and the hypothesis to be tested.

As the evaluation services of Finland were simultaneously launching a country level evaluation in Zambia, coordination with the Finish evaluation team was initially sought after, but then forsaken owing to the increasing time gap between the two exercises.

Table 1: Phases, main activities and expected results

Phases	Main activities	Expected outputs
Inception Phase (sub-phase of Desk Phase)	<ul style="list-style-type: none"> • Preparation of project inventory • Document collection • Preparation of intervention logic and evaluation questions • Methods for data collection and analysis, including, in particular, envisioned methodology for assessment of SWAp / SPSP, general budget support • Initial team meeting • Drafting of inception report 	<p><u>1st Meeting with Reference Group</u> <i>(Discussion and validation of the intervention logic and evaluation questions)</i></p> <p><u>Draft inception report</u></p> <p><u>Final inception report</u></p>
Desk Phase	<ul style="list-style-type: none"> • Finalisation of project lists and initial analysis of projects • Analysis of relevant documents and websites • Meetings with key stakeholders in Brussels • Telephone interviews with Delegation in Zambia • Mobilisation of locally-based expert • Evaluation Team Meeting • Finalisation of EQs and preparation of initial responses to the EQs • Design of field phase methodology, identification of representative selection of projects and key stakeholders; and final allocation of team members' time and task allocation for the fieldwork phase • Desk phase report writing (draft and final) 	<p><u>Draft desk report</u></p> <p><u>2nd Meeting with Reference Group</u> <i>(Presentation and discussion of draft desk report)</i></p> <p><u>Final desk report</u></p>
Field Phase	<ul style="list-style-type: none"> • Finalisation of field phase preparations • Team meeting (national and international team members in Zambia) • Initial briefing session with the Delegation • Field visits to selected projects, data collection and meetings with key stakeholders • Synthesis of field findings and incorporation of initial findings and conclusions into a PowerPoint presentation for a final debriefing at the Delegation 	<p><u>Briefing and Debriefing of the EU Delegation in Zambia</u></p> <p><u>Power point presentation</u></p> <p><u>3rd Meeting with Reference Group</u> <i>(Report back on preliminary results of fieldwork)</i></p>

Phases	Main activities	Expected outputs
	<ul style="list-style-type: none"> Incorporation of Delegation’s comments into a revised power point presentation Evaluation team meeting for first synthesis Report back to reference group on field phase 	
Synthesis Phase	<ul style="list-style-type: none"> Analysis of the results of the desk and field phases Drafting final responses to evaluation questions Formulation of draft recommendations and lessons learned Drafting of synthesis report and presentation to Reference Group Incorporation of comments and preparation of presentation materials for workshop in Zambia 	<u>1st Draft synthesis report</u> <u>4th Meeting with Reference Group</u> <u>Draft final report</u>
	<ul style="list-style-type: none"> Seminar in Zambia¹⁵ 	<u>Power Point Presentation</u>
	<ul style="list-style-type: none"> Incorporation of comments and final editing 	<u>Final report</u>

1) The design of the Evaluation

i) **Inception Phase**

The Inception Phase, as first part of the Desk Phase, leads to the Inception Report and is crucial for the structuring of the evaluation.

During the Inception Phase the team analysed the context of the EU strategic response and its major changes during the reporting period; compiled the project inventory for Zambia and compared the amounts committed and disbursed (DAC database); collected the documentation which is readily available in Brussels (desk officers from AIDCO and RELEX, CRIS database) and on the internet; and conducted initial meetings with key informants (desk officers from AIDCO and DEV, AIDCO E7, etc.) in Brussels. As far as possible, first contacts were established with the Delegation to collect recent available programming documents and evaluation reports.

Based on the analysis of the EU strategy as laid out in both CSPs (and RSP for regional integration), the evaluation team produced a reconstructed intervention logic that covers the period under review (schematised in a reconstructed diagram of intended effects). Enriched with the analysis of other available documents and interviews, a preliminary set of evaluation questions and judgement criteria addressing the DAC and EU criteria together with EU key issues were developed. The meeting with the Reference Group provided an advanced set of EQs and JCs. A preliminary set of indicators was already defined at this stage.

Those EQs were at a later stage extensively scrutinised by the Evaluation Unit and redrafted accordingly, using the set of methodological and reference documents recently elaborated by the Evaluation Unit. This new set of EQs (with related JCs and indicators) was presented in Lusaka to the Chief of Delegation and Heads of Sections during the exploratory mission to assess their relevance with EU actual response strategy over the period. Besides a general presentation of the evaluation aims and processes, working sessions of 1-2 hours were organised with each section’s Head to adjust the EQs matrix. Four out of the ten redrafted EQs had to be thoroughly revised, which demonstrates the usefulness of this integrated process. It is reasonably assumed that the EU Delegation’s ownership and contribution to the evaluation process increased tremendously. The presence of the Head of the Evaluation Unit was certainly an asset to reach this level of availability and commitment of the Delegation.

The validation of the evaluation questions (April 2010) concluded the Inception Phase.

¹⁵ Dark shades indicate that although the Seminar had been foreseen at this stage of the evaluation process, it finally did not take place as it had to be cancelled for organisational reasons.

Overview over the DAC criteria and EU key issues addressed in the Evaluation questions:

Table 2: Correspondence of evaluation questions & evaluation criteria and other issues

Evaluation Questions		DAC - OECD					European Commission		Key issues		
		Evaluation Criteria					Internal Coherence	Added Value	"3 Cs"	Cross-Cutting Issues	Visibility
		Relevance	Effectiveness	Efficiency	Impact	Sustainability					
1	BS direct and induced outputs		X				X	X			
2	Private sector led development		X		x	x			X		
3	Transport sector reform		X			x			X		
4	Accessibility and mobility				X						
5	Health status		X		x	x					X
6	Governance and Civil Society		X				X		X	X	
7	Agriculture and food security		X		x		X	X			
8	EU response relevance	X									
9	Combination of EU instruments			X				X			
		X	Major	x	Minor						

ii) Desk Phase

During the second part of the Desk Phase, the evaluation team analysed the collected data and information from:

- The existing documentation and reporting related to the different development co-operation channels between Zambia and the Commission of the EU, 2004-2008, including what is indicated in the TOR through the use of AIDCO Library, CRIS and other relevant databases;
- Open sources, including the internet sources, on the Zambian context (i.e. civil society), and on the international donor community's interventions;
- The EU delegation in Lusaka was approached for possible additional information needs regarding the EU-co-operation and about the context and GoZ policies;

The information gathered from the ongoing monitoring system (ROM) was analysed and integrated into the evaluation results. ROM statistics, project sheets, regional reports and the reports from the coordination unit will be analysed. It helped the team in selecting the projects to be visited in Zambia.

A round of interviews with relevant EC staff in Brussels was held in mid-November. The selection of the interviewees was based on the specific added value they could bring concerning the various evaluation questions.

The Desk Report, main output of this phase, included:

- (i) a concise analysis of the context and its major changes during the reporting period that might have impacted on EU cooperation;
- (ii) a preliminary answer to the EQs, detailed in an evaluation matrix in the annex with statements on judgement criteria and findings on indicator levels,
- (iii) a list of the main hypotheses to be checked during the field phase and related methodology (data collection plan) including a sample of relevant projects relevant for an in-depth analysis of the implementation of the strategy,
- (iv) the list of documents consulted and persons interviewed (as annex).

The evaluators encountered difficulties in gathering information on the EU food emergency interventions, whether financed by ECHO or by budgets lines. Those interventions have absorbed more funding than bilateral cooperation in a highly specific framework and different policy dialogue that proved to be hard to document at this stage.

Another issue was that for a few years, policy dialogue had been the core of the EU strategy with Zambia, through GBS/SBS/PBS. By nature, policy dialogue is poorly documented and promulgated documents are often drafted to be "politically correct". There are no position papers or notes to the file that can be used to arrive at a clear understanding of the dialogue strategy.

iii) Field Phase

During this phase, the core team was reinforced by a Zambian-based expert with particular expertise in rural development and crosscutting issues. The entire team spent two weeks in Zambia, mostly in Lusaka with a field visit in Kaoma district where several EU interventions are implemented. Meetings with the government, the EU, Member States representatives, IFIs agencies, and leading representatives of the civil society were organized during the field mission.

The team used a wide range of data collection methods and tools during its time in Zambia.

The Field Phase overall and the field visits in particular enabled the team to:

- Collect – in country – all available quantitative and qualitative information useful for the formulation of conclusions on the impact, sustainability, effectiveness and efficiency of EU support to Zambia;
- Validate hypotheses formulated during the desk phase with first-hand information and crosscheck evaluators' observations;

- Analyse projects or interventions that are particularly significant for the EU strategy when assessing to what extent the underlying intervention logic proved to be appropriate and accurate.
- Use the expertise and experience of key informants from different sectors and in different positions in the Zambian society to reflect on and validate the hypotheses and findings of our evaluators.

The team started the field phase with a briefing meeting with the Delegation and concluded its visit to Zambia by a debriefing meeting with the same. No formal field report was required but an aide-memoire was shared with the EU Delegation as well as a power point presentation. The same presentation was used for the post-field phase debriefing meeting with the Reference Group in Brussels.

A first wrap up and start of synthesis was done by the team at the end of the field phase, while the team was still together in Zambia.

iv) Synthesis Phase

During this phase, the team brought together all the elements from the desk and field phases, and draw conclusions with a view to finalising the answer to the evaluation questions.

The team reflected on lessons learned and on appropriate recommendations to Commission of the EU headquarters and the Delegation in Zambia, maintaining and illustrating the chain of reasoning from findings, conclusions to recommendation. A cross-referencing system was used to allow a clear understanding of the causal chain, leading to recommendations.

Following the meeting with the Reference Group on the first Draft Synthesis Report, and the written comments of stakeholders, the report was revised and a Final Report was delivered.

2) Tools used at the different stages on the evaluation

i) Team meetings and analysis of collected data

The evaluators consider it a key component of their work to bring together all the elements from the desk and field phase and to draw sound conclusions based on the collected evidence. In order to achieve this goal, the evaluators took the following steps:

- Already during the inception phase, the team members have met in Brussels to achieve a common understanding of the Evaluation Unit methodology, under the guidance of the team leader. They have been in frequent contact and have exchanged their view on the rationale, scope and operationalization of each evaluation question. This is one important prerequisite for conducting a mutual analysis of the collected evidence within and across sectors.
- During the desk phase, the team has gathered for other intensive working sessions in Brussels, to compare evidence found so far and to continue their successive formulation of cross-sectoral conclusions.

Compiled data was analyse using on the one hand the EQs structured approach, while taking into account, on the other hand, horizontal issues that cut across the different questions: Coherence, 3Cs, EU cross-cutting issues, and issues related to Delegation workload / human resources.

The report presents the analysis for each indicator in the evaluation matrix, which in turn informs each corresponding JC. Essential outcomes of findings at indicator level are shortcomings in documentary evidences, from which hypotheses was derived. The task of validating these hypotheses shaped the agenda of the field mission, along with new issues that arose during data collection. Preliminary answers to the EQs synthesised findings from documentary evidences and HQ interviews.

ii) Strategy for data collection during the field phase

Most of the time was spent with visits of EU-supported projects and projects managers/beneficiaries.

The field phase overall and the field visits in particular were useful to:

- Collect perceptions of complementary groups of stakeholders to assess the credibility of the (claimed) association between different elements of the intervention logic, in order to complete the contribution analysis that is part of this evaluation.
- Visit projects and decentralised authorities to investigate the credibility / validity of assumed causal linkages between key elements of the intervention logic.
- Explore and discuss alternative explanations for why the observed changes in the selected indicators might – or might not have – occurred.
- Use the expertise and experience of key informants from different sectors and in different positions in the Zambian society to reflect on and validate the hypotheses and impressions of the evaluators.

During the field visit meetings, interviews and focus groups will be arranged. The methodologies to be adopted are shortly explained in the following.

iii) Interviews

Functions and characteristics

The interviewing technique adopted was in-depth interviews, i.e. an open-ended, discovery-oriented method that is well suited for describing both programme processes and outcomes from the perspective of the target audience or key stakeholders.

Interviews involve not only asking questions, but the systematic recording and documenting of responses coupled with intense probing for deeper meaning and understanding of the responses.

Interviews are not based on a structured questionnaire, but instead make use of a flexible interview grid to help ensure that the interviews focus on JC and indicators, while remaining conversational enough to allow participants to introduce and discuss issues which they deem relevant.

They are to be conducted (depending on the situations and the opportunities) with:

- **individuals** to learn about their individual situation or the situation of their organisation, environment, social, ethnic or demographic group or community in detail, to collect data and documents, to discuss issues that would be difficult to address in group situations, and to reveal their personal perspective on specific topics;
- **key informants:** people with specific knowledge, to gain insights on, or people who can represent a specific group or a stakeholder or apex people in relevant organisations according to the selection for the different evaluation questions, see Annex 2, 5 above;
- **groups** either randomly encountered (during visits on the field) or systematically selected to allow a focused discussion of issues related to their specific experience, view or opinion.

Methodological issues

Key methodological characteristics of in-depth interviews include:

- Use of Open-ended Questions: Questions are worded so that respondents are encouraged to expound on the issue;
- Semi-structured format: There are pre-planned questions to ask during the interview, but the interview flow is based on information provided by the respondent;
- Seek understanding and interpretation: The interviewer tries to interpret what he will be hearing from the respondent(s) throughout the interview;
- Conversational: There are smooth transitions from one topic to the next;
- Recording responses: The responses are recorded, typically with audiotape (when authorised by the interviewee) and/or written notes;

- Record reflections: The interviewer records his views immediately after the interview.

Data analysis is based on three phases:

- Categorizing interview material into indicators: sorting out notes and transcriptions into the broad topics (JCs) and sub-topics (Indicators);
- Labelling each category using appropriate headings: to identify parts of answer to the EQs;
- Describe and interpret the major findings: Analysis consists of considering responses in each topic as group, and drawing interpretive conclusions and answers for the EQs.

iv) Focus Group Discussions

Function and characteristics

Focus group discussions (FGD) are held with a small group of people who share common concerns.

FGD can serve as a place for addressing a particular issue (involving different interest groups), controversial issues or issues to be explored in-depth and collecting different angles.

FGD can help highlight their various concerns, any conflicting interests, and potential common ground among the groups.

FGD can also provide an opportunity to crosscheck information that has been collected using other techniques, and can be used to obtain a variety of reactions to hypothetical or planned interventions.

Methodological issues

For a productive use of the methodology, Focus Group Discussions can involve:

- groups of people with similar general characteristics and concerns or organisational position;
- groups of people with different organisational position and different concerns.

In the first case, the FGD are used for in-depth exploration of root causes of a phenomenon, different components of a problem. In the second case, the FGD are used to know different views, positions, and interests.

Focus group works involve four to twelve people.

At least two team members attend the FGD; one works as a facilitator, the second as a note-taker. The facilitator must help the discussion with enough authority to keep the meeting on track, but with enough sensitivity to include as many people as possible in the discussions.

As a guide for questions JCs, indicators and any issues are used, which are emerging from previous interviews or meetings considered as being important to be discussed in a FGD. The question line is defined in a previous briefing session to be held on the field just before starting focus group sessions and after having learned something about the dictionary of local terms related to the topic (for example, after having realised some interviews with key informants).

The methodologies described above was used in the specific context to gather different kinds of data. Individual and Group interviews were organised allowing the consultants to meet interviewees in joint sessions to avoid as far as possible multiple meetings with the same interlocutor or organisation. A list of people met is attached in annex IX.

3) Field mission information collection plan

The field phase is designed to generate additional evidence, which can be used to fill gaps in the preliminary findings set out above, as well as to test and probe whether the preliminary conclusions, and the hypothesis based on them, are sound.

In the case of Zambia a reasonable number of project evaluations was already available, many of which involved substantial collection and analysis of statistical data and the use of

beneficiary focus groups. This information had already, for the most part, been incorporated into the Desk Report although one incidental aspect of the field mission was the search for additional documentation.

In this Country Level Evaluation, therefore, the main tool applied in the field was the semi-structured interview at various levels including the EU Delegation, Government and individual project (see following chart).

A range of interviews in Lusaka and the regions was organized, covering EU Delegation officials in Lusaka; line ministries; representatives of local government and of districts in which projects have been implemented; various bilateral and multilateral partner offices; and project units (see following pages). Because of the limited number of field days available and the time it would take to travel from one region to another, interviews at decentralised level were carried out in one region, Kaoma district, identified with the Delegation.

i) Sources and respondents

Zambia		Sources & respondents					
		EC Delegation	Project managt, TAs	Ministries, govt agencies	NSAs	Bene-ficiaries	MSs & other donors
1	To what extent have the EU interventions through budget support contributed to improve the framework for public policy, expenditure and aid management?	Secondary		MAIN			Secondary
2	To what extent have the EU interventions (GBS, SBSs and capacity development programme) enabled a private sector led development?	Secondary	Secondary	MAIN			
3	To what extent have the EU interventions contributed to improve in a sustainable manner the institutional framework of transport infrastructure management and transport operations regulation?	Secondary	Secondary	MAIN			
4	To what extent have EU interventions in the transport sector contributed to improve the economic accessibility: locally (to marketing and inputs for agriculture products) and at country level (to external markets)?		Secondary	Secondary		MAIN	
5	To what extent EU interventions in the health sector contributed to improve the health status of the population, in particular regarding fight against HIV?			MAIN		Secondary	
6	To what extent have EU interventions contributed to enhance democratic governance?			Secondary	MAIN	Secondary	
7	To what extent have EU interventions contributed to promote smallholder agricultural growth and food security?		Secondary	MAIN		Secondary	
8	To what extent was the EU aid modality combination appropriate to the national context and the EU development strategy?	MAIN	Secondary	Secondary			Secondary
9	To what extent has the EU cooperation on national and regional level addressed the needs of the population as well as the policy priorities of the GRZ?	MAIN		Secondary	Secondary		Secondary

ii) Methodological tools

Zambia		Methodological tools				
		Semi-structured interviews	Focus group	Statistical bench-marking	Field visits	Documents and press releases
1	To what extent have the EU interventions through budget support contributed to improve the framework for public policy, expenditure and aid management?	MAIN		Secondary		
2	To what extent have the EU interventions (GBS, SBSs and capacity development programme) enabled a private sector led development?	Secondary	MAIN		Secondary	
3	To what extent have the EU interventions contributed to improve in a sustainable manner the institutional framework of transport infrastructure management and transport operations regulation?	MAIN		Secondary	Secondary	
4	To what extent have EU interventions in the transport sector contributed to improve the economic accessibility: locally (to marketing and inputs for agriculture products) and at country level (to external markets)?		MAIN	Secondary	Secondary	
5	To what extent EU interventions in the health sector contributed to improve the health status of the population, in particular regarding fight against HIV?	MAIN	Secondary		Secondary	
6	To what extent have EU interventions contributed to enhance democratic governance?	Secondary	MAIN		Secondary	Secondary
7	To what extent have EU interventions contributed to promote smallholder agricultural growth and food security?	MAIN	Secondary		Secondary	
8	To what extent was the EU aid modality combination appropriate to the national context and the EU development strategy?	MAIN		Secondary		
9	To what extent has the EU cooperation on national and regional level addressed the needs of the population as well as the policy priorities of the GRZ?	MAIN				

iii) Team organisation

Zambia		Team				
		Max Hennion Economist	Ruddi Vaes Economist	Mwila Chikwekwe Economist	Sylviane Ménard Economist	Bernard Mtonga Agro
1	To what extent have the EU interventions through budget support contributed to improve the framework for public policy, expenditure and aid management?			LEAD	Contribute	
2	To what extent have the EU interventions (GBS, SBSs and capacity development programme) enabled a private sector led development?	LEAD		Contribute		
3	To what extent have the EU interventions contributed to improve in a sustainable manner the institutional framework of transport infrastructure management and transport operations regulation?	LEAD				
4	To what extent have EU interventions in the transport sector contributed to improve the economic accessibility: locally (to marketing and inputs for agriculture products) and at country level (to external markets)?	LEAD				
5	To what extent EU interventions in the health sector contributed to improve the health status of the population, in particular regarding fight against HIV?				LEAD	
6	To what extent have EU interventions contributed to enhance democratic governance?	Contribute	LEAD	Contribute	Contribute	Contribute
7	To what extent have EU interventions contributed to promote smallholder agricultural growth and food security?					LEAD
8	To what extent was the EU aid modality combination appropriate to the national context and the EU development strategy?	Contribute	LEAD	Contribute	Contribute	Contribute
9	To what extent has the EU cooperation on national and regional level addressed the needs of the population as well as the policy priorities of the GRZ?	Contribute	LEAD	Contribute	Contribute	Contribute

Annex III: Cooperation Context (Country Profile, Key Data)

Table 3: Statistical country profile

Data Profile					
	2000	2005	2008	2009	2010
World view					
Population, total (millions)	10,20	11,46	12,38	12,72	12,93
Population growth (annual %)	2,5	2,4	2,7	2,7	1,6
Surface area (sq. km) (thousands)	752,6	752,6	752,6	752,6	752,6
Poverty headcount ratio at national poverty line (% of population)
GNI, Atlas method (current US\$) (billions)	3,13	5,70	12,07	12,57	13,82
GNI per capita, Atlas method (current US\$)	310	500	970	990	1.070
GNI, PPP (current international \$) (billions)	8,85	12,17	15,54	16,63	17,83
GNI per capita, PPP (current international \$)	870	1.060	1.260	1.310	1.380
People					
Income share held by lowest 20%
Life expectancy at birth, total (years)	42	44	47	48	48
Fertility rate, total (births per woman)	6,1	6,1	6,2	6,2	6,3
Adolescent fertility rate (births per 1,000 women ages 15-19)	153	152	145	143	142
Contraceptive prevalence (% of women ages 15-49)
Births attended by skilled health staff (% of total)
Mortality rate, under-5 (per 1,000 live births)	157	138	122	116	111
Malnutrition prevalence, weight for age (% of children under 5)
Immunization, measles (% of children ages 12-23 months)	85	85	84	87	91
Primary completion rate, total (% of relevant age group)	63	87	97	90	103
Ratio of girls to boys in primary and secondary education (%)	91	93	95	96	..
Prevalence of HIV, total (% of population ages 15-49)	14,4	13,9	13,6	13,5	..
Environment					
Forest area (sq. km) (thousands)	511,3	503,0	494,7
Agricultural land (% of land area)	30,3	30,6	31,1	31,5	..
Annual freshwater withdrawals, total (% of internal resources)	2,2	1,7	..
Improved water source (% of population with access)	54	58	61
Improved sanitation facilities (% of population with access)	47	48	48
Energy use (kg of oil equivalent per capita)	612	628	615	617	..
CO2 emissions (metric tons per capita)	0,2	0,2	0,2
Electric power consumption (kWh per capita)	610	717	614	635	..
Economy					
GDP (current US\$) (billions)	3,24	7,18	14,64	12,81	16,19
GDP growth (annual %)	3,6	5,3	5,7	6,4	7,6
Inflation, GDP deflator (annual %)	30,0	17,0	12,3	10,7	11,7
Agriculture, value added (% of GDP)	22	23	19	22	9
Industry, value added (% of GDP)	25	32	41	34	37
Services, etc., value added (% of GDP)	52	45	40	44	54
Exports of goods and services (% of GDP)	27	35	36	36	44
Imports of goods and services (% of GDP)	41	37	34	32	35
Gross capital formation (% of GDP)	17	24	22	22	22
Revenue, excluding grants (% of GDP)	..	17,6	18,4	15,6	17,4
Cash surplus/deficit (% of GDP)	..	-4,7	-1,4	0,2	-1,5
States and markets					
Time required to start a business (days)	..	35	18	18	18
Market capitalization of listed companies (% of GDP)	7,3	13,8	..	21,9	17,4
Military expenditure (% of GDP)	..	2,0	2,0	1,7	1,7
Mobile cellular subscriptions (per 100 people)	1	8	29	35	42
Internet users (per 100 people)	0,2	2,9	5,6	6,3	10,1
Roads, paved (% of total roads)
High-technology exports (% of manufactured exports)	0	1	3	1	1
Global links					
Merchandise trade (% of GDP)	55,0	60,8	69,4	63,3	77,3
Net barter terms of trade index (2000 = 100)	100	128	173	158	189
External debt stocks, total (DOD, current US\$) (millions)	5.722	5.373	2.974	3.039	3.689
Total debt service (% of exports of goods, services and income)	20,8	11,1	3,1	3,7	1,9
Net migration (thousands)	83	-82	-85
Workers' remittances and compensation of employees, received (current US\$) (millions)	..	53	68	41	44
Foreign direct investment, net inflows (BoP, current US\$) (millions)	122	357	939	695	1.041
Net official development assistance and official aid received (current US\$) (millions)	795	1.172	1.116	1.267	913
Source: World Development Indicators database					

Source: World Development Indicators database, 2011

The Co-operation Context

Zambia's surface measures 752,000 square kilometres. Without any direct access to the sea, it is surrounded by eight countries, namely the Democratic Republic of Congo and Tanzania to the north, Malawi and Mozambique to the east, Zimbabwe, Namibia and Botswana to the south and Angola on the western border.

The Zambian population of approx. 13.8 million (2011 estim.) with a growth rate of approx. 3% (2011 estim.) is concentrated mainly around the capital Lusaka and the Copper belt along the major transport corridors in the northwest.

Zambia is one of the most highly urbanised countries in Sub-Saharan Africa with 36% (state 2011) of the population living in the few urban areas. Consequently, rural areas are sparsely populated. The population is very young as 46.7% is under 14 years old (2011).¹⁶

The major ethnic groups are Bemba, Tonga, Chewa, Lozi, Nsenga, Tumbuka, Ngoni, Lala, Kaonde, and Lunda. The official language in public institutions is English.¹⁷

Zambia experiences some difficulties related to migration. Due to its political and economic stability, the democratic republic hosts tens of thousands of refugees, particularly those that have fled fighting in the Democratic Republic of Congo, but also from Angola. In addition, Zambia faces a very critical brain drain, in particular in the health sector.

Zambia's economy has experienced strong growth in recent years with real growth in Gross Domestic Product (GDP) between 2005-08 of annually 6% and 7% in 2010. The industrial sector represents 33.7% of the GDP and its main source of income is mining, mostly copper (creating nearly 8% of the export earnings). Agriculture services contribute to 46.6% of the GDP and occupy 85% of the labour force (2010).¹⁸

Between 1980 and 2010 Zambia's Human Development Index (HDI) rose by only 0.1% annually from 0.382 to a very modest rate of 0.395 in 2010, ranking it 150th out of 169 countries¹⁹. New figures of 2011 indicate Zambia's HDI as 0.430, which gives the country a rank of 164 out of 187 countries with comparable data²⁰. The HDI of Sub-Saharan Africa increased from 0.365 in 1980 to 0.463 today, placing Zambia below the regional average.

(i) Economic Environment

▪ Economic growth

From the time of its independence in 1964, Zambia has moved from being a major copper producer, and potentially one of Africa's richest countries to one of the world's Least Developed Countries (LDC), which is however now exponentially growing, with a per capita GDP of 300 US\$ in 2001 that rose to 970 US\$ in 2009.²¹ Zambia qualified as Low Medium Income Country since July 2011.

A main reason for the recent economic growth has been the revitalisation (recapitalisation, new investments, and in 2000 privatisation) of the mining sector and the favourable conditions for Zambia's copper and other mineral exports on the world market.

Throughout 2008, the real effective exchange rate of the Zambian *kwacha* depreciated by 5.4%, which led to an increase in export competitiveness.²² In addition, an increase in performance in the manufacturing sector, particularly agro-processing industries, and enhancement of the tourism sector resulted in growth trends for the country.

¹⁶ See CIA World Factbook for Zambia

¹⁷ See CIA World Factbook for Zambia

¹⁸ See CIA World Factbook for Zambia

¹⁹ Human Development Report 2010 – Zambia Factsheet, UNDP

²⁰ 18 new countries have been added to the list and some HDI indicators have been changed for 2011 ranking, see <http://hdrstats.undp.org/en/countries/profiles/ZMB.html>

²¹ World Bank (Atlas method of measurement).

http://data.worldbank.org/indicator/NY.GNP.PCAP.CD?order=wbapi_data_value_2005_per_cent20wbapi_data_value_per_cent20wbapi_data_value-first&sort=asc (state 17/03/2011).

²² See World Trade Indicators 2009/2010 „Zambia Trade Brief“.

Compared to other African countries, Zambia's economic performance has been rather high and steadily increasing after a long-lasting economic stagnation at low level in the 1990s.

However, the economic growth has largely relied on tapping natural resources and as outlined in the 2007-2010 Joint Assistance Strategy for Zambia (JASZ) "*there are pointers to the fact that these are consistently being degraded or used unsustainably*",²³ which has negative implications for the sustainability of the little-diversified Zambian economy. Besides the already mentioned export of raw minerals, Zambia is also heavily dependent on a limited number of agricultural products (e.g. maize and sugar) that require irrigation and consequently fluctuate with periods of drought (as occurred e.g. 2004/2005 causing a food crisis).

Provided that macro-economic stability is maintained and an effort is made to further diversify the economy and manage the consequences of the dependence on natural resources, the World Bank estimated Zambia's medium-term economic prospects as favourable, but also notes that in order to achieve the Millennium Development Goal (MDG) and national vision of becoming a middle-income country by 2030, faster economic growth is needed (current growth rate lies at about 6%).²⁴

▪ Macro economic stability

During the period 2006-10, the government sought to tackle Zambia's macroeconomic challenges with a strategic focus on improving the business and investment climate providing basic services to the population; strengthening expenditure and financial accountability systems; and developing the financial system.²⁵

The implementation of the initially envisaged fiscal outlays proved to be a challenge, mainly due to shortfalls in domestic revenues and grants from Cooperating Partners (CPs).

Current expenditures were actually higher than domestically generated revenues. As a result, the fiscal deficit averaged 1.9% of the GDP against the Fifth National Development Plan (FNDP) average target of 1.7%. As a proportion of GDP, domestic debt fell from 20% in 2006 to 16.2% in 2009.

Annual inflation was high according to international standards, averaging 11.3% (2006-09) as compared to 20% during the Poverty Reduction Strategy Plan (PRSP) period. However, it was still above the FNDP target of single digit inflation. The challenge for monetary policy is to keep inflation on a downward path while providing needed support for growth.

The exchange rate of the Zambian Kwacha against major currencies appreciated during the FNDP period though degradation took place by the end of the reference period.

In 2005, Zambia qualified for debt relief under the Highly Indebted Poor Country Initiative (HIPC) and the Multilateral Debt Relief Initiative (MDRI). As a result, Zambia's stock of debt has declined substantially and the country greatly improved its external debt sustainability.²⁶

Total national external debt increased by 16.1% since 2006. This was mainly because of a higher increase in private and parastatal debt of over 100% while the public debt increased by 24.4%. As a proportion of GDP, external debt remained at around 9%.

The labour force increased by 10% from 4.9 million in 2005 to 5.4 million in 2008 while total employment grew by 26.4% to 5.2 million in 2008 (compared to 4.1 million in 2005). In the formal sector, male employment accounted for 71% compared to 29% for females. The level of unemployment remained around 15.5% of the total labour force of which 70% were in urban areas and 30% were in rural areas²⁷.

²³ JASZ, p. 9.

²⁴ World Bank (2008) « The International Development Assistance Association- Country Assistance Strategy for the Republic Zambia », April 8, 2008.

²⁵ CSP 2008-2013, p.20.

²⁶ The external debt to GDP ratio declined from about 85 per cent at the end of 2005 to about 9 per cent at the end of 2006 - World Bank (2008) « The International Development Assistance Association- Country Assistance Strategy for the Republic Zambia », April 8, 2008

²⁷ Sixth National Development Plan (SNDP) 2011-2015, p. 2

▪ Trade and regional integration

Major trading partners of Zambia are South Africa, China, Saudi Arabia and the Democratic Republic of Congo.²⁸ Zambia benefited from a variety of preferential market access schemes such as the EU Everything But Arms (EBA) initiative and the US African Growth and Opportunity Act (AGOA). But due to the number of supply-side constraints that Zambia is facing, these initiatives have generated only marginal benefits in the past.

With respect to regional economic integration, Zambia belongs to the Common Market for Eastern and Southern Africa (COMESA) and is also member of the Southern African Development Community (SADC). The overlapping memberships in regional integration bodies constitute a challenge in the process of integration both on regional and international level. Despite its entitlement to EBA preferences, Zambia has decided to negotiate an Economic Partnership Agreement (EPA). The negotiations between the Eastern and Southern Africa (ESA) group and the EU towards conclusion of a comprehensive EPA could however not be completed and together with five other members of the ESA group, Zambia initialled an “interim (goods only) EPA” in December 2007.

Between 2003 and 2008, merchandise exports fluctuated in value terms, accounting for between 25% and 40% of the GDP, and merchandise imports for between 25% and 32% of the GDP. Copper, Zambia's primary export commodity, accounts for over three quarters of total exports, up from two thirds in 2002. Merchandise exports have increased more than six-fold from US\$746m in 2000 to US\$5,089m in 2008 driven by increased production and exports of copper. Some diversification has occurred as non-traditional exports such as wire, electricity cables, cement, scrap metal, gemstones, high value crops like paprika and cauliflower, and fresh flowers have been growing at an average annual rate of 20% since 2002 although their share of total exports in value terms declined from 38% in 2002 to 21% in 2008. Agricultural exports registered the strongest growth amongst non-mineral exports with a sharp increase in exports of cotton, tobacco, spices, horticultural products and, more recently, honey.

The external balances of the country improved significantly during the FNDP period. The current account deficit averaged 4.8% of GDP compared to 11.3% of GDP during the PRSP/TNDP period, and in 2009 it further narrowed to 3.2% of GDP. The increase in export earnings coupled with a significant increase in FDI contributed to the favourable balance of payments position throughout the FNDP period.

The increase in exports contributed to the rise in international reserves to US\$1.8 billion in 2009. In terms of import coverage, this represented an increase to over 4 months in 2009 from 1.5 months in 2005.

Although the EU and other OEUD countries remain an important export market, accounting for 50% of total exports, regional trade has picked up in the early years of the reference period, boosted by the dynamism and strong investment capacity of South Africa and implementation of the COMESA and SADC preferential trade agreements. The trend faded up against the rise of exports towards the Asian market, which increased from 6 to 13% between 2002 and 2008.

In 2008, regional trade accounted for 20% of Zambia's total exports (41% in 2005)²⁹ and 61% of total imports (EU: 5% and 10% respectively for 19% and 20% in 2005). South Africa is the single largest partner country (46% of imports, 18% of exports), importing copper, electricity, tobacco, cotton and sugar, and exporting to Zambia in return a wide range of capital and consumer goods.

The import origin data are subject to question as they are unchanged during the whole reference period, which is unlikely in the context of major eastwards shift of the trade world's flows. It might be related to the hub function of South African ports, freight being brought to Zambia by road.

²⁸ Export partners in 2009 are: China 21.37 per cent, Saudi Arabia 8.93 per cent, Democratic Republic of the Congo 8.55 per cent, South Korea 8.32 per cent, Egypt 8.08 per cent, South Africa 6.96 per cent, India 5 per cent (2009) and Import partners in 2009 are: South Africa 51.78 per cent, UAE 7.7 per cent, China 5.85 per cent, Democratic Republic of the Congo 4.22 per cent - See CIA World Factbook for Zambia

²⁹ CSP 2008-2013, 13

▪ Infrastructure

As a landlocked country, an excellent and nationwide functioning transport infrastructure network is main prerequisite for Zambia's economic development. Vast areas of the country are thinly populated since the majority of the population resides in the two major financial centres Lusaka (29% urbanisation) and the Copper belt (42% urbanisation).³⁰ Together with the development of the information and communication technology sector, enhancement of the transport system (both roads and railway) is also essential for integrating marginalised areas into the mainstream economy and giving rural population access to basic social services (health and education) as well as for the strengthening the agriculture (trunk and feeder roads), mining (railway connections to small-scale mines) and tourism sector (national reservations) - all being pillars of urgently needed economic diversification.

The currently weak infrastructure (bad road conditions, excessive telecommunication costs and unreliable power supply) makes it very costly and difficult to access export markets or move imported goods and contributes to the difficulty of attracting foreign investment. Besides the high transportation costs, other (related) challenges in the infrastructure sector regard the high costs of building materials and construction equipment; limited local contracting and consultancy capacity together with unfavourable competition between local and foreign government procurement contractors.³¹ The negative evolution of the World Bank logistics performance index in recent years (from 2.8 on a scale from 1 to 5 in 2006, to 2.4 in 2009) is largely due to the increasing degradation of the road network.

The Zambian Government has recognised the importance of the role of the transport sector in facilitating economic growth, reducing poverty and creating employment and has therefore integrated the transport sector in its Poverty Reduction Strategy Plan (PRSP) and in successive Road Sector Investment Programme (ROADSIP I 1997-2003, and II 2004 –13).

Zambia faces major constraints in the energy sector, which is adversely affecting competitiveness and growth prospects. During the review period, for example in the electricity sub-sector, demand for hydropower outstripped the generation capacity resulting in increased power outages particularly between 2007 and 2008.

▪ Private sector development

The private sector in Zambia consists of a few large firms, mostly in the mining sector, and a large number of small firms and micro-firms in the informal sector. Agriculture is an important provider of private sector initiatives. The share of the informal sector in economic activity and employment has been growing.

Diversifying out of copper into agriculture, tourism, and services has been an often-stated objective of Zambian governments during the evaluation period. The Government has been carrying out much-needed reforms across several sectors, in programmes such as the Financial Sector Development Plan and the Private Sector Development Initiative, and is committed to overhauling the expensive system of fertilizer subsidies, increasing investment in agriculture, improving the efficiency of the state-owned power company (ZESCO) and reforming the telecommunications sector. Despite such reforms, the poor quality and limited availability of infrastructure services and associated high prices, a cumbersome licensing and regulatory framework, and limited access to finance continue to contribute to the high cost of doing business, dragging down productivity, impairing competitiveness, and limiting economic diversification. In addition, the low levels of health, education, and entrepreneurial skills prevent most citizens from taking advantage of the economic liberalization and improved investment opportunities.

Regulatory quality WB indicators, which capture perceptions of the ability of the government to formulate and implement sound policies and regulations that permit and promote private sector development, remained almost unchanged all along the evaluation period.

High levels of lending rates, though they declined to 27.3% between 2006-09 from 46.2%

³⁰ World Bank (2008)

³¹ See FNDP 2006-2010, p.80.

during the PRSP/TNDP period, and the limited availability of long-term finance remained the major constraints to growth, particularly for small to medium-scale enterprises.

However, Zambia improved its ranking in the WB ease of doing business indicator 2011, reaching a 76th rank (out of 183 economies). Improvement was gained over the years by eliminating the minimum capital requirement, easing trade by implementing a one-stop border post with Zimbabwe, launching web-based submission of customs declarations and introducing scanning machines at border posts. Zambia improved as well contract enforcement by introducing an electronic case management system in the courts that provides electronic referencing of cases, a database of laws, real-time court reporting and public access to court records. Many of those measures were promoted by the Private Sector Development (PSD) initiative launched in 2005.

i) Social Environment - MDG Achievements

▪ Health

Zambia faces significant problems in the health sector having to deal with mortal diseases like malaria, respiratory infections or HIV/AIDS combined with a lack of capacities and human resources. The mortality rate of under-five year olds in 1996 lay at 197 deaths per 1,000 live births. This rate however recorded a notable decline down to 168 deaths in 2002 and to 119 in 2007.³²

Maternal mortality constitutes a specific problem. While in 1996 a rate of 49 deaths per 100,000 live births was registered, the number increased considerably up to 729 for 2001 - 02 but is now slowly declining.

Although the trend is declining,³³ many deaths in Zambia are still caused by Malaria. The HIV prevalence rate among adults across the country stands at 13.5% (2009) and women are affected more frequently than men.³⁴ Similarly, girls aged between 15 - 19 years are nearly 3 to 4 times more likely to be infected than boys of the same age. The impact of Malaria and HIV/AIDS is partly manifested in the low life expectancy, which is estimated at approx. 52 years (2011).

People are nevertheless aware of contraceptive methods as knowledge of family planning in Zambia has been nearly universal since 1996. In the 2007 Zambian Demographic Health Survey (ZDHS) it is stated that 97% of all women and 99% of all men know about contraceptive methods.³⁵ However, this is not sufficient and prevention and control efforts are still at the core of Zambia's national AIDS strategy.

These facts indicate that higher investment are required to improve human resources (e.g. for services for essential and emergency obstetric care) in the health sector as well as the infrastructure network and supply of essential drugs and medicines. Ensuring access to safe drinking water and basic sanitation, especially in rural and peri-urban areas, also remains a challenge.

In order to take more adapted measures tackling these challenges the government developed the Human Resource Strategic Plan (HRSP) in 2005 in addition to the five years National Health Strategic Plan (NHSP) for the period 2006-2011.

▪ Education

Thanks to a strong supportive environment, the education sector has seen remarkable quantitative improvements within the last decade. Zambia committed itself to the Education for All (EFA) goals and MDGs in 2000 and is likely to meet the related targets in the education sector.³⁶ In 1996, the Zambian Ministry of Education (MOE) initiated the national educational

³² Zambia demographic and health survey 2007

³³ From 425 incidences per 1,000 in 2003 to 373 incidences per 1,000 in 2005. See « Joint Assistance Strategy for Zambia 2007-2010 » (JASZ) of April 2007.

³⁴ See CIA World Factbook for Zambia

³⁵ Zambia demographic and health survey 2007

³⁶ Millennium Development Goals – Progress Report 2008, UNDP, p.5

policy under the motto “Educating Our Future”. Access to education has particularly improved since the adoption of the Free Basic Education policy and a gender responsive approach to education in 2002. Moreover, in the Fifth National Development Plan (FNDP) 2006-10 the government committed itself to increase funding to education as a key sector in development.

The positive developments are reflected in the upward trend in net enrolment in primary school from 68% in 2001 to 95% in 2008. The gender gap also narrowed and the enrolment of girls in primary schools which scored 98% in 2008 even outnumbers those of boys. A problem partly related to the country’s transport infrastructure is that children residing in rural areas are often prevented from going to school by too long distances and their enrolment rates are respectively lower. While access to schools is improving, Zambia is still facing several challenges in the development of the education sector and a lot remains to be done in terms of quality improvement.

The Pupil/Teacher ratio worsened since 2001 and is at a too high level (61 in 2008) to ensure good quality of teaching.³⁷ In particular the fact that the increase in enrolment rates has not been accompanied by an appropriate recruitment of teachers contributed to this negative performance. Furthermore, the loss of human capital due to the HIV/ AIDS pandemic has resulted in inadequate human resources in schools. Low quality of education is also marked by a lack of adequate infrastructures and teaching/learning material.

High poverty levels are also preventing some children to enrol in schools. In the worst cases this includes child labour (e.g. in the mining sector) which still constitutes a poverty coping strategy for children belonging to the poorest parts of the Zambian population.³⁸

- Poverty

In 2009, even after several years of robust growth, the economy's increasing dependence on mining means that large parts of the population have not been able to benefit from the commodity boom. At US\$934, per capita annual incomes are low, placing the country among the world's poorest nations. Almost two thirds of Zambians (approximately 7.5 million people) still live in poverty, and rural people persistently lag behind urban dwellers in most measures of social welfare. This is also reflected in the Gini Index of 50.8 (2004, for 52.6 in 1998).³⁹ For example, only about 3% of the rural population have access to electricity and only 0.3% of Zambia's rural households (accounting for 65% of the population) own a telephone. Low labour productivity, and thus poverty, is acute in the smallholder agriculture sector, where poverty is concentrated.⁴⁰

Zambia did not yet enter in a model of pro-poor growth and the allocation of incomes among population is kept very unequal.

³⁷ See World Bank under <http://databank.worldbank.org>

³⁸ For instance a 2008 rapid assessment of child labour in non-traditional mining carried out by the Mining Sector Diversification Programme (funded by the Commission of the EU) in partnership with the ILO’s Time Bound Programme Support for the Elimination of the Worst Forms of Child Labour Project for Zambia found that child labour continues to exist in these enterprises and that children are involved in all aspects of the production chain as well as in informal sector stone crushing.

³⁹ World Bank (Atlas method of measurement)

⁴⁰ WTO Trade policy review, 2009

Table 4: Zambia MDGs






























































Millennium Development Goals		
	2000	2009
Goal 1: Eradicate extreme poverty and hunger		
Employment to population ratio, 15+, total (%)	61	61
Employment to population ratio, ages 15-24, total (%)	46	46
Income share held by lowest 20%	3,3	..
Malnutrition prevalence, weight for age (% of children under 5)	19,6	14,9
Poverty gap at \$1.25 a day (PPP) (%)	27	..
Poverty headcount ratio at \$1.25 a day (PPP) (% of population)	55	..
Prevalence of undernourishment (% of population)	43	43
Vulnerable employment, total (% of total employment)	81	..
Goal 2: Achieve universal primary education		
Literacy rate, youth female (% of females ages 15-24)	66	67
Literacy rate, youth male (% of males ages 15-24)	73	82
Persistence to last grade of primary, total (% of cohort)	66	53
Primary completion rate, total (% of relevant age group)	61	87
Total enrollment, primary (% net)	69	92
Goal 3: Promote gender equality and empower women		
Proportion of seats held by women in national parliaments (%)	10	15
Ratio of female to male primary enrollment (%)	93	99
Ratio of female to male secondary enrollment (%)	81	84
Ratio of female to male tertiary enrollment (%)	0	..
Share of women employed in the nonagricultural sector (% of total nonagricultural employment)	22,0	..
Goal 4: Reduce child mortality		
Immunization, measles (% of children ages 12-23 months)	85	85
Mortality rate, infant (per 1,000 live births)	99	86
Mortality rate, under-5 (per 1,000)	166	141
Goal 5: Improve maternal health		
Adolescent fertility rate (births per 1,000 women ages 15-19)	152	133
Births attended by skilled health staff (% of total)	47	47
Contraceptive prevalence (% of women ages 15-49)	22	41
Maternal mortality ratio (modeled estimate, per 100,000 live births)	600	470
Pregnant women receiving prenatal care (%)	93	94
Unmet need for contraception (% of married women ages 15-49)	13	27
Goal 6: Combat HIV/AIDS, malaria, and other diseases		
Children with fever receiving antimalarial drugs (% of children under age 5 with fever)	58	43
Condom use, population ages 15-24, female (% of females ages 15-24)	17	17
Condom use, population ages 15-24, male (% of males ages 15-24)	36	39
Incidence of tuberculosis (per 100,000 people)	602	433
Prevalence of HIV, female (% ages 15-24)	..	8,9
Prevalence of HIV, male (% ages 15-24)	..	4
Prevalence of HIV, total (% of population ages 15-49)	14,4	13,5
Tuberculosis case detection rate (% , all forms)	79	80
Goal 7: Ensure environmental sustainability		
CO2 emissions (kg per PPP \$ of GDP)	0,2	0,2
CO2 emissions (metric tons per capita)	0,2	0,2
Forest area (% of land area)	69	67
Improved sanitation facilities (% of population with access)	47	49
Improved water source (% of population with access)	54	60
Marine protected areas (% of total surface area)
Goal 8: Develop a global partnership for development		
Debt service (PPG and IMF only, % of exports, excluding workers' remittances)	16	3
Internet users (per 100 people)	0,2	6,3
Mobile cellular subscriptions (per 100 people)	1	34
Net ODA received per capita (current US\$)	76	98
Telephone lines (per 100 people)	1	1
Other		
Fertility rate, total (births per woman)	6,2	5,7
GNI per capita, Atlas method (current US\$)	300	960
GNI, Atlas method (current US\$) (billions)	3,1	12,5
Gross capital formation (% of GDP)	17,4	22,1
Life expectancy at birth, total (years)	42	46
Literacy rate, adult total (% of people ages 15 and above)	68	71
Population, total (millions)	10,5	12,9
Trade (% of GDP)	68,6	67,8
Source: World Development Indicators database		

Source: UNDP MDGs Progress report, 2008

▪ **MDGs Progress**

The last MDGs progress report was issued by the UNDP in 2008. The chart below shows that after quick wins between 2003 and 2005, the pace of improvement slowed down. For some targets such as extreme poverty and environmental sustainability, the situation started worsening.⁴¹

Figure 1: Zambia’s MDG progress

GOALS AND TARGETS 	Will target be met?			Supportive environment		
	2007	2005	2003	2007	2005	2003
MDG 1: Extreme poverty Target 1: Halve, between 1990 and 2015, the proportion of people living in extreme poverty.						
MDG 1: Hunger Target 2: Halve, between 1990 and 2015, the proportion of people who suffer from hunger.						
MDG 2: Universal Primary Education Target 3: Ensure that, by 2015, children everywhere, boys and girls alike, will be able complete a full course of primary schooling.						
MDG 3: Gender equality Target 4: Eliminate gender disparity in primary and secondary education preferably by 2005 and to all levels of education no later than 2015.						
MDG 4: Child mortality Target 5: Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate.						
MDG 5: Maternal mortality Target 6: Reduce by three-quarters, between 1990 and 2015, the maternal mortality ratio.						
MDG 6: HIV/AIDS Target 7: Have halted, by 2015, and begun to reverse the spread of HIV/AIDS.						
MDG 6: Malaria & other major diseases Target 8: Have halted, by 2015, and begun to reverse, the incidence of malaria and other major diseases.						
MDG 7: Environmental sustainability Target 9: Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources.						
MDG 7: Water & sanitation Target 10: Halve, by 2015, the proportion of the population without sustainable access to safe drinking water and basic sanitation.						

* Source: UNDP

ii) **Governance and Civil Society**

Governance is a major issue in the EU response strategy and its improvement is considered as a precondition for reaching value for money and even effectiveness in the three focal sectors, in line with an increasingly shared lesson learnt of all Official Development Assistance (ODA) providers.

⁴¹ Data for 2000 and 2009 in annexes.

- Political background

Zambia gained independence in 1964. The country was governed by Kenneth Kaunda of the socialist United National Independence Party (UNIP) from 1964 until 1991. From 1972 to 1991 Zambia was a one-party state with UNIP being the sole legal political party. Since the elaboration of a new constitution in 1991, amended in 1996, Zambia was governed by a multiparty system with a president elected by popular vote for a five-year term (eligible for a second term). Its legal system is based on English common law and customary law. The concept of autonomy and separation of powers exists, but is not always implemented. This is due to an imbalance in the division of powers between the legislative and executive branch, the latter being marked by extensive powers for the president.

The government started a constitutional and electoral reform processes in 2003 that already introduced some modifications, e.g. in the Electoral Act. However, the most important changes proposed by the Constitution Review Commission (CRC) and the Electoral Reform Committee require an amendment of the constitution- a process that has been very slow until today. The overall trend for political stability is however of an improvement during the reference period with progress in the Parliamentary reforms. The National Assembly however has contributed to reform processes such as the constitutional reforms and electoral reforms (notably the NCC bill en 2007).

Since the adopted National Decentralisation Policy in 2004, Zambia is also in the process of decentralisation, but as noted in the 2008-13 Country Strategy Paper (CSP), the reform is characterised by delays and remaining ambiguities. The roadmap for the implementation of this policy (Decentralisation Implementation Plan) was approved in December 2009.

The results of the 2001 presidential elections were contested by a range of election observers, including the EU. The 2006 elections were generally considered transparent and well-administered by international observers and the Electoral Commission of Zambia (EUZ). The voter registration improved considerably with about 71.4% of eligible citizens registered during the 2006 elections. Some issues related to the electoral legal/ administrative framework and uneven competition between candidates (e.g. related to use of media and campaign spending) remain to be tackled. Due to the death of president Levy Mwanawasa, new elections were held on 30 October 2008 and decided in favour of Rupiah Banda. On 20 September 2011 Patriotic Front opposition leader Michael Sata was elected president of the Zambian Republic. Although reform of key aspects of the electoral framework is still considered necessary for the future, the EU Election Observation Mission to Zambia described the elections as generally calm and well organised with only some isolated incidents.⁴²

- Institutional Effectiveness and Accountability

Like many other countries in the region, Zambia has relatively weak systemic capacity to cope with its tremendous political and economic challenges. In the World Bank Country Policy and Institutional Assessment (CPIA) rating, Zambia reached 3.5 in 2009 (in a 1 to 6 scale), a score similar to Zambia and Madagascar. In its regional context, Zambia ranks relatively low. Its average score was the same in 2005 but some improvements are recorded in 2008-2009 in economic governance at large and PFM⁴³.

The biggest weaknesses regard accountability for public resources and the inability to effectively deliver services, which is explained by a general lack of efficient systems and limited capacities.⁴⁴ Consequently, the Commission decided to select macroeconomic support and capacity-building for economic governance as a focal sector both under EDF9 and EDF10. There is no noticeable improvement of the WB government effectiveness⁴⁵ indicator over the

⁴² See EU Election Observation Mission to Zambia 2011, Press Release of 22 September 2011.

⁴³ <http://www.tradingeconomics.com/zambia/cpia-economic-management-cluster-average-1-low-to-6-high-wb-data.html>

⁴⁴ See CSP-NIP 2008-2013,, p.10

⁴⁵ Government effectiveness captures perceptions of the quality of public services, the quality of the civil service and the degree of its independence from political pressures, the quality of policy formulation and implementa-

evaluation timeframe.

Some legislative initiatives by the end of the reference period on regulating Non-Governmental Organisations (NGOs) and on financial transparency of political decision-makers have cast further doubts on the government's political will to advance reforms in favour of democratic accountability.

- Overall governance record

On many governance issues some important results have been achieved during the reference period, notably in the protection human rights, promotion of gender equity, constitutionalism, and improving freedom of the press. The governance system in Zambia is still characterised by a number of limitations and a resistance to change reinforced by the end of the reference period: Faced with the possibility of electoral defeat, the Government of the Republic of Zambia (GRZ) has been acting in a defensive manner in the last two years with regard to institutional reforms. Instead of opting for a strategy of institutional reforms in core areas, including constitutional change towards more democratic accountability, the government attempted to obstruct the rising calls from NGOs and the opposition for greater transparency, accountability and decentralised state structures.⁴⁶

On 2002, the government presented a version of the Freedom of Information Bill to the National Assembly for first reading. Up to now, the Bill is not passed. A committee of stakeholders was set-up in November 2011 to consider and provide recommendations on the development of the Freedom of Information (FOI) Bill.

The GAP assessment conducted during the 10th EDF MTR in October-November 2009 concluded that out of 199 commitments made by the Zambian government only 15 were fully met, whilst 95 registered some good progress, 78 slight progress and 7 no progress at all. The GRZ conducted a Country self assessment, under the APRM process, which involved Government, civil society, private sector and ordinary people.

- Court system

The court system consists of the Supreme Court, the High Court, subordinate magistrates' courts, and local courts. Although the underpinnings for an efficient system to handle court disputes exist, in the view of some observers⁴⁷ Zambian courts are relatively inexperienced in the area of commercial litigation. This is disputed by the authorities who have stated that matters instituted in the commercial court are disposed of faster than those on the general civil court list. There are other bodies mandated to deal with trade-related disputes, such as the Revenues Appeals Tribunal and arbitration under the guidance of the Centre for Arbitration. The lack of independence of the judiciary is largely acknowledged.

- Control of corruption

Over the years, there has been a gradual strengthening of Parliament and other oversight institutions such as the Office of the Auditor General and the Anti-Corruption Commission. There has also been increased transparency in public financial management and procurement management although there appears to have been slow progress on the approval of pending anti-corruption legislation including anti-money laundering.

Good governance and corruption remain a major area of concern, which is reflected in Zambia's 2010 score of 3 points in the Transparency International corruption index (TI CPI). Even though it improved from a 2.6 in 2006, Zambia maintains a low ranking in the world (101 of 178 countries in 2010), which is nevertheless relatively good for the Sub-Saharan region at large (rank 15 of 47).⁴⁸

tion, and the credibility of the government's commitment to such policies. World Bank, Worldwide governance Indicators; <http://info.worldbank.org/governance/wgi/index.asp>

⁴⁶ See Budget support evaluation, draft, 2011

⁴⁷ See for example U.S. Department of State (2009).

⁴⁸ Corruption perceptions index 2010- report, Transparency International.

The government announced early during the reference period a “zero tolerance” corruption policy and installed the Task Force on Corruption (TFC) in 2002, terminated in 2011. However, in general, TFC activities and results have been limited so far. According to the evolution of dedicated WB governance index, the situation has nevertheless improved in general terms (see figure 22).⁴⁹

▪ Civil society development

The civil society in Zambia is active and enjoys a certain degree of freedom of expression, which allows participating in public decision-making processes. Nevertheless, some cases of barriers to freedom of expression were still noticed like the arrest of journalists and opposition leaders or demonstrations by opposition parties and civil society that were banned or repressed by the police. An allocation of €5.5m is initially planned under EDF10 in order to support initiatives of non-state actors (NSAs).⁵⁰

During the reference period, the WB “voice and accountability” indicator⁵¹ is slightly on the increase (see figure 23 below).

iii) Zambia’s Policy Framework

The government was committed to reduce the number of people living in poverty from 70% to 50% during the period 1999 to 2015. To this effect, in May 1998, government adopted a Poverty Reduction Strategic Framework (PRSF) and then an Interim Poverty Reduction Strategy Paper (I-PRSP) was approved in July 2000. The complete PRSP was adopted in March 2002. Its implementation strategy is detailed in five-year development plans, the reference period being covered by the fourth and fifth National Development Plans.

▪ Poverty reduction

The Fifth NDP is guided by the National Vision 2030, which has the overall goal of transforming Zambia into “a prosperous middle income country by the year 2030”. The FNDP has four main objectives:

- (1) implementing growth stimulating measures that will create wealth and reduce poverty;
- (2) reducing inequality by creating opportunities, particularly in agriculture, education, and health;
- (3) empowering the poor to make a decent living through productive ventures;
- (4) constructing and rehabilitating major transport arteries to ensure that the agricultural producing areas are connected to the market, so that poor peoples’ income-yielding commodities can be transported to market.

Improving competitiveness and productivity is a key for increasing Zambia’s annual growth rate to 7% (reduced to 5% for 2009), sustaining it at that level, and making growth more inclusive. The Fifth NDP emphasises:

- (a) improved macroeconomic and expenditure management to strengthen budget execution and financial accountability, enhance the revenue base, and maintain single-digit inflation during the period of the Plan;
- (b) institutional capacity enhancement to improve and institutionalise political, administrative, financial, and budgetary transparency and accountability, and strengthen anticorruption programmes in all public institutions by 2010;
- (c) infrastructure development through increased expenditures on road and rail in-

⁴⁹ Control of corruption WB indicator captures perceptions of the extent to which public power is exercised for private gain, including both petty and grand forms of corruption, as well as “capture” of the state by elites and private interests.

⁵⁰ CSP-NIP 2008-2013, p.35

⁵¹ Voice and accountability captures perceptions of the extent to which a country’s citizens are able to participate in selecting their government, as well as freedom of expression, freedom of association, and a free media.

- rastructure and investing in new hydroelectric power stations, and implementing a power rehabilitation programme, including rural electrification; and
- (d) social-sector development, given the high incidence of malaria and HIV/AIDS and shortage of skilled labour, to improve health and education to spur economic growth.

The Fifth NDP (2006-2010) structural reform agenda will focus on (i) improving the business and investment climate (Private Sector Development Programme); (ii) providing for the delivery of basic services (Public Service Reform Programme); (iii) strengthening expenditure and financial accountability systems (Public Expenditure Management and Financial Accountability Programme); and (iv) developing the financial system (Financial Sector Development Programme). Reforms in most of these areas have already started and were to be accelerated.

The sixth NDP (SNDP) was launched in 2011.

- Trade

Trade policy has remained substantially unchanged during the review period, indeed since Zambia undertook a comprehensive reform programme in the 1990s, removing exchange controls, reducing import duties, eliminating import and export licence requirements, abolishing export bans and introducing a number of export incentives, removing subsidies, and decontrolling prices.

The simple average applied Most Favoured Nation (MFN) tariff of 13.4% is the same as in 2002. The large gap between the average applied rate of 13.4% and the bound rate of 105.7%, and the absence of bindings for over 83% of tariff lines, creates a significant degree of unpredictability for traders in the sense that there is a scope for the authorities to raise tariffs. However, with one notable exception (cellular phone handsets), applied tariffs have not been increased during the review period. In aggregate, Zambia's tariff structure shows negative escalation from first-stage processed products (15.8%) to semi-finished goods (9%) and positive escalation to finished products (16.1%).

Zambia faces numerous challenges related to compliance with standards required by its trading partners, due to limited technical, human, and financial resources. In addition, effective implementation of the WTO Agreements on Sanitary and Phytosanitary Standards (SPS) and Technical Barriers to Trade (TBT) remains a challenge.

Zambia also faces challenges in adjusting to regional trade and customs unions. The Diagnostic Trade Integration Study (October 2005) recommended to use its limited negotiation capacity to strengthen SADC's Free Trade Agreement (FTA) arrangements through improving its very restrictive Rules of Origin (ROO), removing other barriers to intra-SADC trade, and pushing for harmonisation of SADC and COMESA objectives, so that it can continue membership in both. Zambia must still implement new regional legislation, in particular on safeguards (imports) that are consistent with COMESA and SADC agreements, and transpose regional COMESA/SADC transport agreements into national legislation.⁵²

- Agriculture

Growth of agriculture, however, has remained low, and enhancing the productivity of small-scale farmers by reducing their dependency on rain-fed agriculture remains critical to the development of the sector and the reduction of rural poverty.

The national development plan sets ambitious objectives for agriculture: guaranteeing sufficient food for at least 90% of the population; increasing the contribution of the sector to total foreign exchange earnings from the current 3-5% to 10-20% and increasing its contribution to GDP from 18% to 25%, while raising incomes for those involved in agriculture. The plan assigns a pivotal role to the private sector and especially to the development of private-led marketing systems. During the review period, however, the biggest share of the agriculture

⁵² CSP 2008-2013, p. 14

budget has financed the provision of subsidised fertilisers and the acquisition of maize from farmers for the Food Reserve Agency, while spending on research and extension services has been inadequate, meaning that progress towards the goal of improving productivity and promoting diversification of agriculture has been slow.

▪ Transport

The Zambian Government has recognised early the importance of the role of the transport sector in facilitating economic growth, reducing poverty and creating employment and has approved in 2002, the Transport Policy. The policy provides for the active support and participation of the private sector in air, rail, road, maritime and inland water transport in order to facilitate sustainable growth and development of the sector and to ensure the provision of efficient, safe, good quality and adequate services. The hallmark of this policy is a Public Private Partnership and an enabling environment.

The GRZ therefore integrated the transport sector in its Poverty Reduction Strategy Plan (PRSP) and in the successive Road Sector Investment Programme (ROADSIP I and II), in its first phase running from 1997-2003 and in its second phase from 2004 –13.

With the approval of the Transport Policy in 2002, the sector has experienced some institutional and financial reforms mainly in the road sector. The overall objective for reforms in the sector was to reduce the GRZ's involvement in the sector, increasing investment and the participation of the private sector. In the same year, legislation to transform some road sector institutions was passed in 2002, namely the Road Development Act No. 13 of 2002, the Road Traffic Act No.11c of 2002 and Road Fund Act No. 12 of 2002

Following the enactment of the new legislation, the Roads Department, which was responsible for road development, regulation and licensing of road transport has been transformed into two semi-autonomous bodies, namely the Road Development Agency and the Road Transport and Safety Agency. The National Roads Board, which was responsible for administration and management of the Road Fund, was transformed into the National Road Fund Agency. The three agencies became operational in 2005.

However, the transport sector experiences a number of challenges including inadequate capacity to satisfy the increasing transport demand as well as to cope with the road maintenance backlog. The North-South Corridor has a high priority on the GRZ's transport policy agenda, as a regional initiative under the COMESA-SADC-EAC Tripartite Framework. The Corridor links the servicing port of Dar es Salaam with the Copperbelt, and the Copperbelt to the southern ports in South Africa servicing Zambia and seven other countries (Tanzania, DR Congo, Malawi, Botswana, Zimbabwe, Mozambique, and South Africa).

▪ Education

The emphasis was placed during the reference period on improving the quality of education while increasing access. Reforms targeted curriculum development; syllabus design; professional teacher enhancement; making the learner environment more productive; and creating a conducive environment for learners. Improved access was sought through provision of education through low cost/high impact interventions such as use of open and distance learning and provision of literacy and basic skills education.

The six main objectives were the following: (i) to ensure universal basic education provision to children; (ii) to ensure that opportunities exist for all citizens to have equitable access to basic and high school, tertiary education and/or technical and vocational training; (iii) to improve quality and relevance of education and skills training; (iv) to promote efficiency and cost-effectiveness; (v) to enhance institutional coordination in both public and private education and training institutions; and (vi) to ensure that library services are improved to contribute to high standards and quality of education in Zambia. The attainment of these objectives was intended through four strategic priorities: Access (investment in infrastructure development, rehabilitation and maintenance), Quality (curriculum development, educational materials and increased teacher training and deployment), Improved School Management, Teacher Management and Standards and Assessment; and Equity (girl child issues, orphans and

vulnerable children as well as Children with Special Educational Needs).

- Health

Throughout the reference period, the focus of the health sector was on:

- Policy/Legislation Development and Review,
- Scale-up of Public Health Interventions including Malaria, TB and HIV/AIDS,
- Improving access to health care services,
- Recruitment & retention of health workers,
- Strengthening training institutions,
- Infrastructure development & rehabilitation,
- Transport and communication,
- Reviewing options for health care financing, and
- Health systems research.

The main challenges tackled over the reference period include the need to complete the health facility infrastructure development plan in order to ease the allocation of resources as well as prioritisation of capital projects in under-served areas. Other interventions focused on:

- a) Finalisation of the health facilities (infrastructure) databank to serve as a source of information for formulation of development and procurement plans for capital/infrastructure programmes;
- b) Finalisation of infrastructure standards and guidelines, which will form the basis for implementation of programmes;
- c) Approval of the draft maintenance policy, which will provide guidelines on how to manage repairs and maintenance of infrastructure; and
- d) Increasing allocations to capital investment programmes.

Major policy benchmarks were the abolition by Government of user fees in the 54 rural districts of the country and the establishment of a Drug Supply Fund to facilitate the bulk procurement of drugs and medical supplies from reputable suppliers at competitive prices.

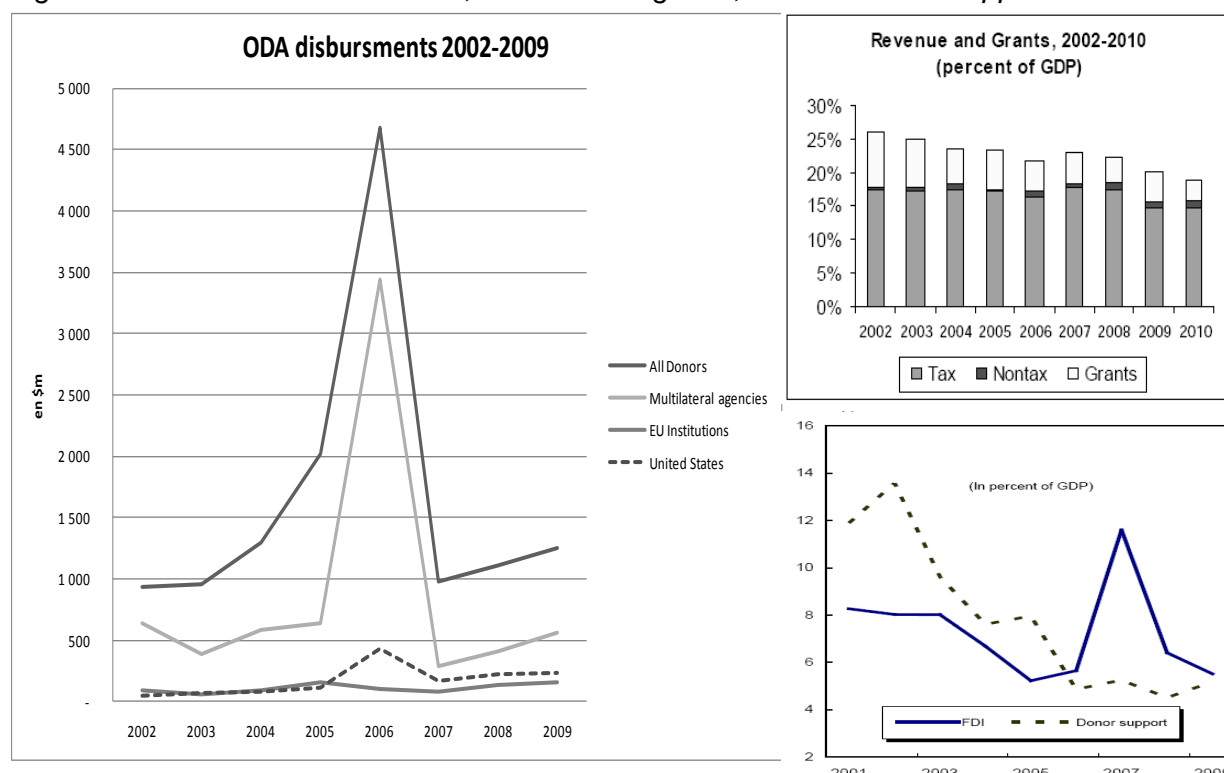
Against this cross-sectoral presentation, the Fifth NDP appears retrospectively more a very broad framework for aligning CPs to the government's priorities than a detailed framework setting out well-defined scenarios for future policies. Moreover, according to recent evaluations, the GRZ has not shown, at the end of the reference period, substantial will to engage in far reaching institutional reforms nor did it show sufficient administrative capacity in several sectors and at the level of inter-sector organisation. Therefore, the enabling environment (civil service reform, expenditure management, result-based monitoring) to improve significantly and in a sustainable manner the implementing capacity of the government was disconnected to some extent to the comprehensiveness of sector policy and strategy, often CPs led.

iv) External Aid

In 2005, Zambia qualified for debt relief under the Highly Indebted Poor Country Initiative (HIPC) and the Multilateral Debt Relief Initiative (MDRI).

ODA out of the debt relief process stayed relatively even along the reference period, with net disbursement around \$1bn (at current prices). During the evaluation period, donor aid decreased in absolute terms as well as percentage of government revenues and GDP.

Figure 2: ODA disbursements, revenue and grants, FDI and Donor support



* Source: DAC online database

ODA to Zambia is now very concentrated so that the top three donors provided 34% of ODA between 2006 and 2009. The table below shows the ten largest donors between 2006 and 2009.

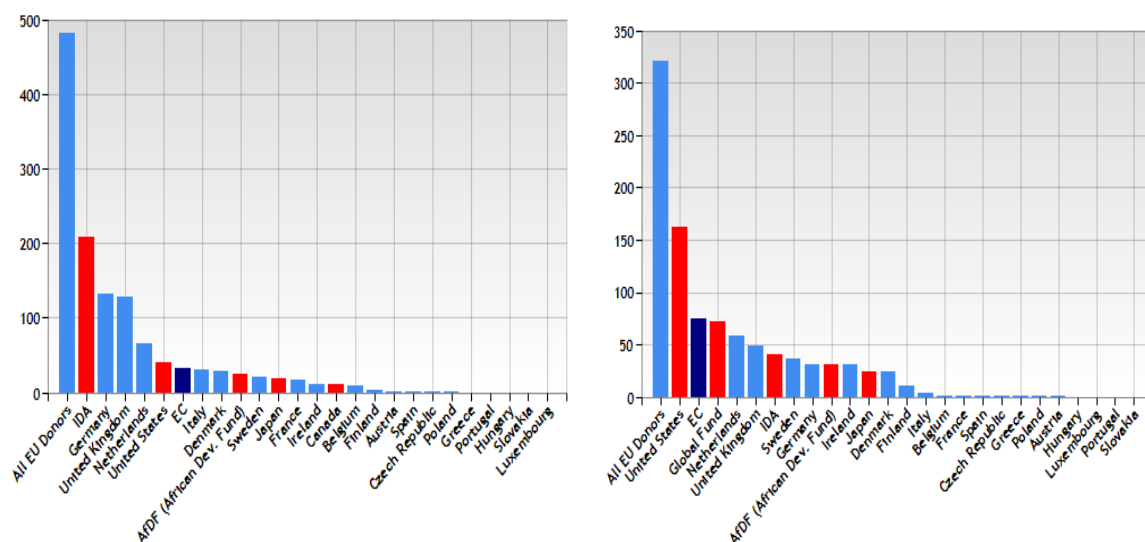
Table 5: Top ten donors 2006-2009

Donor	Per cent of total ODA provided to Zambia
1. EU	14.3
2. USA	10.7
3. United Kingdom	9.0
4. United Nations	8.9
5. World Bank	8.7
6. The Netherlands	7.6
7. Norway	5.6
8. Denmark	5.2
9. AfDB	4.4
10. Germany and Japan	4.3 (each)

* Source: Country Evaluation Of The Implementation Of The Paris Declaration In Zambia Phase II, February 2011

The rest of the donors provided 17%. The share of EU instruments increased significantly during the reference period (see figures below).

Figure 3: Evolution of main donors net disbursements: 2000 & 2008



* Source: EU Donor Atlas 2010

The division of labour by sector in 2006 was as follows in the table below.

Table 6: CPs division of labour, 2006

Sector from NDP	Lead Ministry	China (proposed)	ADB	BADEA	EC (excl. EIB)	IMF	KUWAIT Fund	OPEC	UN Systems	WB	Canada	Denmark	Finland	France	Germany	Ireland	Japan	Netherlands	Norway	Sweden	UK	USA	Total lead/active		
Agriculture	MACO		A		A				A	L			A				A	P	B	L		L	8		
Decentralization	MLGH								A	L		B			L	A	L	B				A	B	6	
Education	MoE		B	B	A				A	A	P	A	P			L	A	L	A			A	A	10	
Energy	MEWD				B				B	L							A		A	A				4	
Gender	CO-GIDD								L									A	A					4	
Governance	MOJ				A				L	A		A	B		A	A		A	L	P	L	A		10	
Health	MOH				A				L	A	A	P				P	A	A		L	L	A		9	
Housing	MLGH, MOL									A											P			A	2
HIV/Aids	MOH								L	A	B					B	A	A	A			L	L	7	
Macro-economics	MOFNP				L	A			B	L		B	A		A	B		A	A	A	L	B		9	
Private Sector Dev.	CO-DSC/MCTI				L				A	L	B		A			B	A	L		P	B	A		7	
Social Protection	MCDSS		A						A	B					L							L		4	
Science and Tech.	MTEVT									P														0	
Tourism	MTENR									L								A		L			A	4	
Water (WR and WSS)	MEWD/MLGH		A		B				A	A		L			L	A	A	B						7	
Transport	MWS/MCT		A		L		A	A	A	A		A			P		A		B					7	
Environment	MTENR								A	A		B	L							A				4	
Total lead responsibilities					3				4	6	1	1		2	1	1	2	2	2	2	5	2			

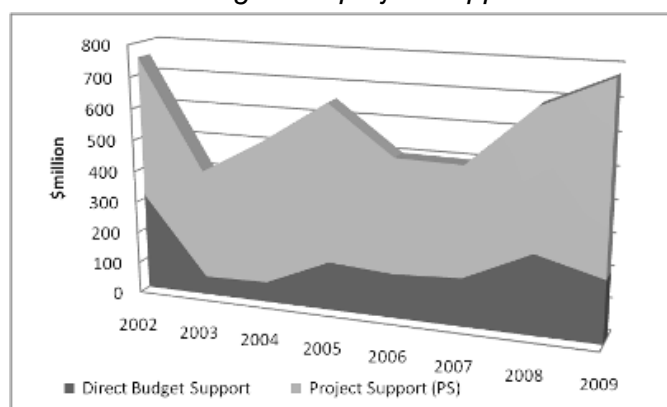
XXX Non-signature to the WHIP MoU; L Lead CP; A Active CP; B Background CP; P Phasing out

* Source: EU CSP 2008

The EU, together with co-operating partners in Zambia is supporting the coordination, harmonisation and alignment with the Government through a 3-year Joint Assistance Strategy (JASZ) under the Paris Declaration commitments. The JASZ has been agreed and signed in 2007. In co-operation with the GRZ, a JASZ II that will take the new Poverty Reduction Strategy Paper (PRSP) for 2011-2015 into account was being prepared at the time of writing.

Beyond this document, harmonisation and alignment was challenged by the increasing (though limited, see Figure 4 below) use of the budget support instruments, global as sector-wise.

Figure 4: Overview on direct budget and project support to Zambia 2002-2009



* Source: Elaborated from Country Evaluation of The Implementation Of The Paris Declaration In Zambia Phase II, February 2011

The preliminary findings of the on-going evaluation of the use of Budget Support in Zambia casts a doubt on the extent of alignment achieved through the joint Performance Assessment Framework (PAF). The PAF covered too many indicators from different sectors and was indecisive with regard to the measure of progress, both elements reflecting the inexistence of a common priority framework among Cooperating Partners. Cooperating Partners understood its focus in various ways.

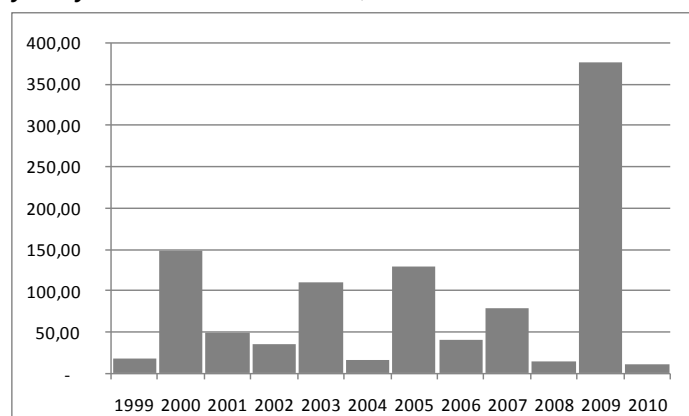
The interest in the aid effectiveness agenda continues to be high, even though one or two donor agencies that are part of the JASZ appear to have started doubting the efficacy of these dialogue platforms and seem to question whether the aid effectiveness agenda, as it is implemented, is the right way to go. Donor groups in different sectors continued to meet regularly even though the cost of coordinating and attending these meetings was recognised to be high.

During the reference period, China moved up to rank 12 (in 2009) among Zambia’s donors while not recognising the Paris Declaration principles and participating in the policy dialogue platforms. In 2008, China was donor of about 35% of the loans Zambia received.

v) EU Allocation and Disbursement

From CRIS/EIB database, overall allocation during the reference period is €1.47 billion. On this total amount, 77% was allocated under EDF/NIP, 20% by EIB (at 84% on EDF resources), and 3% by budget lines. The annual distribution is relatively even, with a peak in 2009.

Figure 5: EDF yearly allocation to Zambia, 1999-2010

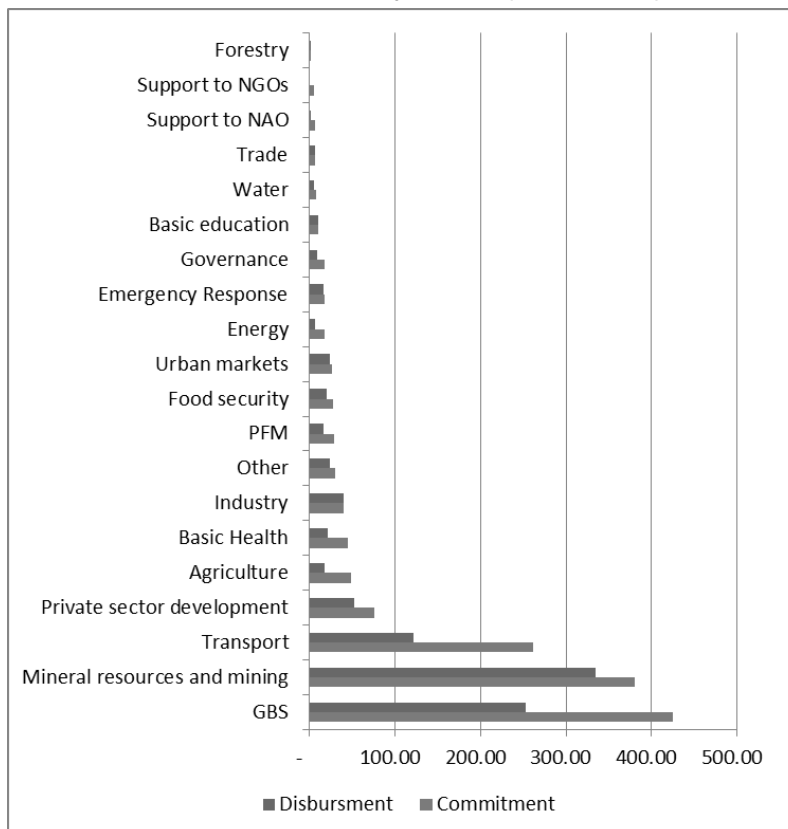


*Source: CRIS database, own calculation

On the EDF-NIP share (which includes recently signed financing agreements), a total of €712m was disbursed (62.7%) with an average length for decision execution of 5.4 years.

The sector allocation and disbursement show the share taken by financial transfers against project approach, with the main sector of intervention being general or sector (transport) budget sector approach, and SYSMIN a targeted budget support (see figure below).

Figure 6: Commitment & disbursement by sector (2000-2010)

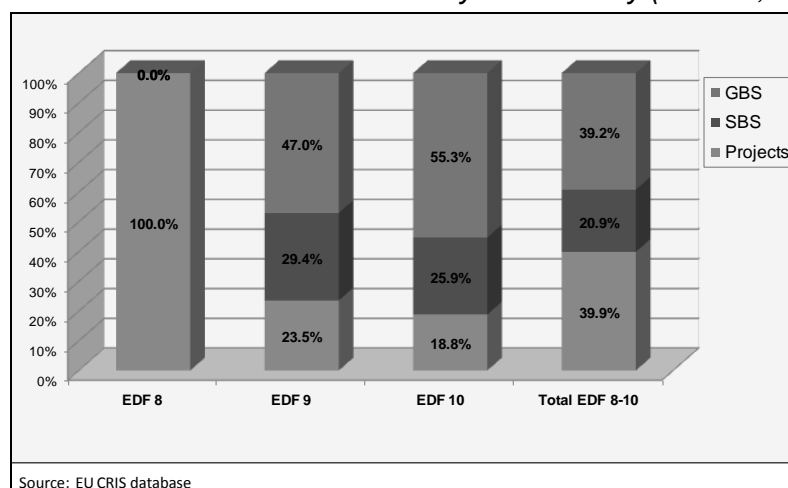


* Source: CRIS/EIB databases, own calculation

The EU commitments are focused on GBS, Mining and transport at 72%. The share of the mining sector is mainly due to the strong involvement of EIB loans to private firms in this sector.

The relatively high number of sectors of intervention (ad hoc classification) questions the reality of the concentration of EU aid, and to some extent the extent of implementation of the CPs Division of labour.

Figure 7: Trends in total EDF Commitments by Aid Modality (EDFs 8, 9, 10; 2001-2010)

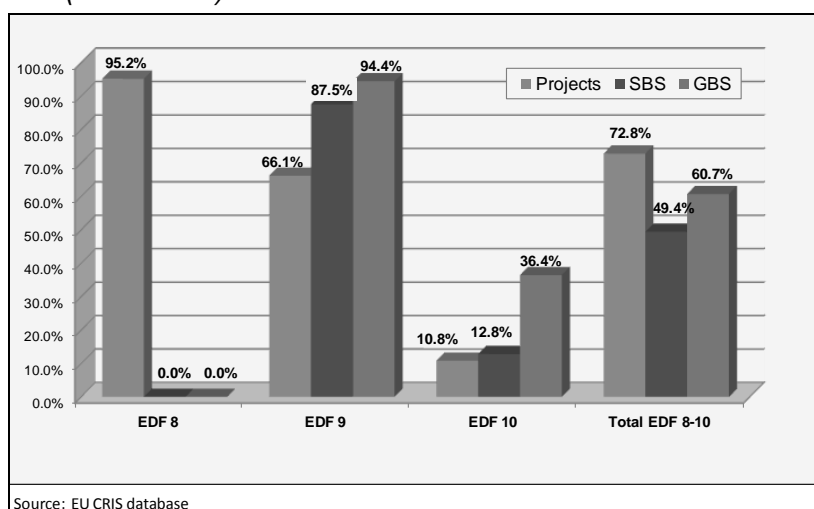


Source: EU CRIS database

Broken down by EDF strategy / programme cycle, a total of 95.2% of the (pre 2001-2010 period) EDF8 resources committed still in the 2001-2010 period have been contracted and paid out as of the end of this period (thus 4.8% not yet paid out as of 2010). For EDF9 covering the period 2001-2007, this amounts to 85.7%, implying that 14.3% of the committed EDF9 resources have not been paid yet (with 5.6% of the total committed EDF9 resources not having been contracted yet). In the first half period 2008-2010 of the total EDF10 six year period (2008-2013), about one fourth (25.5%) of the committed / allocated resources have been paid (68.0% of the committed EDF10 resources have been contracted). The portfolio efficiency analysis by aid method / modality expressed as per cent amount paid of total allocated / committed resources shows that 72.8% of the committed project approach resources in the 10-years period 2001-2010 have been actually paid, against 60.7% for the GBS modality and 49.4% for the SPS modality. For EDF9, which covers the completed CSP-NIP cycle 2001-2007, the total paid amount in percentage of the total allocated / committed resources amount to respectively 66.1% for the Project Approach, 94.4% for General Budget Support and 87.5% for Sector Budget Support.

Over time, the budget support financing instruments got more refined and more performance based. This particularly relates to the tools to assess progress and results as basis for decision making on the release of the variable tranches. Whereas under EDF9 these variable tranches for general budget support were related to / based on PFM and PRSP indicators performance, under the EDF these were additionally determined by achievements in relation to the attainment of the MDGs. The Sector Budget Support modality in relation to the Sector Policy Support Programmes (SPSPs) initially only had fixed annual tranches, but in the process under EDFX also variable tranches were introduced based on achievements on Key Performance Indicators. As far as General Budget Support (GBS) is concerned, in reaction to the international economic and financial crisis, the Commission decided to create an ad-hoc Vulnerability FLEX mechanism to be financed under the reserves of the national and regional indicative programmes of EDF10. In 2009 Zambia was considered eligible under V-FLEX on the basis of economic and social vulnerability criteria, the nature of the residual financing gap and the capacity of the EU to quickly provide meaningful support. The €30m V/Flex allocated to Zambia, which was disbursed end 2009 contributed to close the financing gap, thus maintaining priority expenditure, especially in the social sectors and infrastructures. The EDF portfolio analysis at the end of the evaluation matrix section on EQ9, Volume III (Annex X), includes a more detailed analysis of the technical evolution of the EU budget support tools applied in Zambia.

Figure 8: Actually Paid in Percentage of Total Commitments, broken down by Aid Modality and per EDF (2001-2010)



Of the total EDF resources allocation to Zambia in the period 2001-2010, a total of 56.9% (or €636m) were under decentralised management (DM), whereas 40.6% (or €454m) under Centralised Management (basically CM, but also CM-IO or ICM-DA) and 2.5% under Partially Decentralised Management as main management mode / modality.

Annex IV: Regional Strategic Objectives and Priorities

Zambia is encompassed into the region of Eastern and Southern Africa and the Indian Ocean for EC EDF programming purposes. The ESA-IO region was created with the signing of EDF9 RSP/RIP in November 2002. This new geo-configuration came into play based on the Cotonou Agreement principle of having overlapping regional organisations covered by one RSP.

1. RSP/NIP 2002-2007

EU strategy:⁵³

“The 9th EDF RSP/RIP for the Region of Eastern and Southern Africa and the Indian Ocean (2002-2007) includes the regional organisations COMESA, EAC, IOC and IGAD. Its overall aims are to increase economic growth and reduce poverty through higher levels of regional economic integration. These two goals are particularly emphasised in the EDF9 whereas in the EDF8 the reduction of poverty was cited as one of the goals along with human resources development, gender issues and environmental protection. In the EDF9 the main strategy being followed to achieve poverty reduction comprises higher levels of export-led economic growth through economic liberalisation (in particular that of trade policy) and promotion of investment and supply-side measures. The specific challenges are the establishment of a Customs Union at a regional level, which will be founded on existing preferential trade areas and free trade areas.”

The EDF9 total allocation was €223 million, with the following initial breakdown:

- Economic integration and trade, 45-55%
- Natural resources management, 15-25%
- Transport and communications, 15-25%
- Non-focal sectors, 10-15%

“The ESA-IO regional cooperation strategies identify transport as one of the pillars for increased trade and strengthened regional integration through improved inter- and intra-regional linkages and reduction in transport and communications costs. However, although shortcomings in transport and communications infrastructure are recognised as a serious constraint and despite the substantial allocations provided under the EC regional strategies for infrastructure projects and facilitation measures for transport and communications, resources allocated under the RIP are insufficient to significantly address these shortcomings. The recent development of the EC-funded TCSP/IP was intended to identify and prioritise infrastructure investments.

The place of NRM in the EC regional cooperation strategies has been characterised by substantial allocations and diversified interventions in the areas of agriculture, trans-boundary and land resource management, marine and coastal resources and environmental management. Overall the regional strategies pursue common goals and aim at: (i) developing a conducive and harmonised policy & regulatory framework; (ii) promoting regional scientific, technical and management frameworks for improved management of (shared) natural resources; and (iii) raising people’s environmental awareness and knowledge.”

The EDF9 for the ESA region was fully committed before the sunset clause of 31 December 2007, but a number of large programmes have started shortly before this deadline while others are still ongoing until 2009 and 2010.

⁵³ Quotations are extracted from the Regional level evaluation, “Evaluation Of The Commission’s Support To The Region Of Eastern And Southern Africa And The Indian Ocean”, December 2008, p. 8

Main results of the ESA-IO evaluation (2008)

The results that can be related directly to the Zambian CSE, besides regional integration in itself, are those on transport and natural resources management.

Transport and Communications⁵⁴:

“The EC is contributing to the establishment of transport and communications sector planning, regulatory and management system and to the advancement in national and regional convergence. National implementation lags behind, though sector policies and management are improving. Little progress has been done in the integration of different transport modalities. EC interventions are becoming more visible, strategic and effective, despite the persistence of significant efficiency and management problems. Increasing support for infrastructure investment facilitation is needed.”

Natural Resources Management:

“The Programme has played a leading role in supporting regional NRM cooperation favouring the empowerment of RIOs and improving coordination with and between development partners. Significant achievements are evident in a number of areas: development of sectoral strategies (e.g. fisheries); creation / strengthening of cooperation networks (e.g. IO coral reef); development and adoption of shared management tools; improvement of public awareness and stakeholders’ participation.”

Conflict Prevention, Resolution and Management:

“The EC/EU, despite its huge added value and strategic potential to support CPRM strategies, is ill-equipped at present to do so. Lack of qualified personnel, low sensitivity to conflict issues and insufficiently flexible financing instruments or mechanisms limit its potential to be a more significant player in this development area. Problems of coherence among the different programmes in place at AU, regional, sub-regional and national levels, reduce credibility and may have future negative impact.”

Main conclusions, as reminded in the EDF10 RSP, are the following:

- ❖ The need for continued focus on strengthening the capacity of the four ROs to implement their own specific strategies and priorities;
- ❖ Appropriate devolution within the programme can be achieved through broader use of Contribution Agreements, while at the same time IRCC [Inter-regional Coordinating Committee] should improve harmonisation and convergence among the ROs, and strengthen its linkages with the Tripartite Task Force;
- ❖ Specific support to facilitate and enhance investment in infrastructure is needed, including project preparation and brokerage of different sources of investment;
- ❖ Enhanced coordination among EC and other donors should be promoted.

2. EDF10 RSP/NIP

The EDF10 RSP for ESA-IO was submitted to the EC in October 2006, and was signed in November 2008.

The indicative initial allocation for the ESA-IO region amounts to around €645 million. It will be distributed between the two focal sectors as follows:

- Regional Economic Integration (including Infrastructure (comprising energy), and Natural Resources, Environment and Food Security): 85% of the total allocation (€548 million).
- Regional Political Integration/Cooperation: 10% of the total allocation (€64 million).

Other programmes will be allocated with 5% of the total allocation (€32 million).

The objectives set-up to the Regional Economic Integration is:

- To support the implementation and consolidation of existing CUs and FTAs;

⁵⁴ Summary of the answer to the EQ

- To support the region's efforts to move towards common markets and monetary unions with integrated rules and standards, free movement of production factors, competition policy, and macroeconomic convergence;
- To strengthen the development and implementation of regional trade arrangements in goods and services, EPAs, and multilateral trade arrangements, specifically under the WTO;
- To provide those countries liberalising their trade regimes with support so that they are able to make the necessary economic adjustments and to address the possible short-term revenue losses;
- To reduce the cost of doing business through the removal of supply-side constraints, including improvement of regional economic infrastructures;
- To ensure the sustainable management of the natural resources of the region as a core asset for the livelihood systems of the people and to ensure that it provides a basis for sustainable economic growth and food security; and
- To develop sustainable energy policies based on improved access to sustainable energy services and regional electricity markets integration.

The Regional Political Integration/cooperation will be shaped by the EU regional political partnership for peace, security and development in the Horn of Africa. As it stands, the new RSP does not introduce a new EC response strategy as, under a different organisation of focal sectors, the priorities stay unchanged.

Annex V: Main Results of the 2006 Country Strategy Evaluation

The EU assistance for **general budget support** is successful at the implementation level, with an increase in the share of externally-funded activities now channelled through the national budget; and a lively policy dialogue focussed on key budgeting issues and an improvement in donor harmonisation of activities. It is moderately successful at the result level, where it contributes to a more favourable budget financing structure for GRZ, an improved predictability of resource allocation and an enhanced fungibility of GRZ funds

The €15 million **Private Sector Capacity Building programme** under EDF 9 was inaugurated shortly before the Evaluation Mission visited the country.

EDF assistance to the **transport sector** is fully integrated in ROADSIP II programme whose objective, among others, is to reduce the backlog in road maintenance. The objectives indicated in the CSP are not completely fulfilled (railway sector and transport mode study). Most emphasis is given to the road sector (ROADSIP II) and to the airport system. The required indicators of quantity and quality, necessary to obtain the first tranche disbursement for the 70 M € SBS, for trunk, main and district road periodic maintenance, were satisfactorily fulfilled by the NRDA (i.e. 50% of the Agency posts filled; TA assistance contract signed; 6000 km of routine maintenance on paved roads in fair condition).

Under the health reforms, GRZ and CPs have been moving towards targeted **Health Sector** budget support. But EC preference is to have limited direct interventions in the Health Sector, as the EU Member States (MS) have a comparative advantage. A new €10m financing proposal for basket funding under decentralisation modalities in the 9th EDF was not approved due to legal reasons. This means that most of the earmarked funds have not been spent under the 9th EDF.

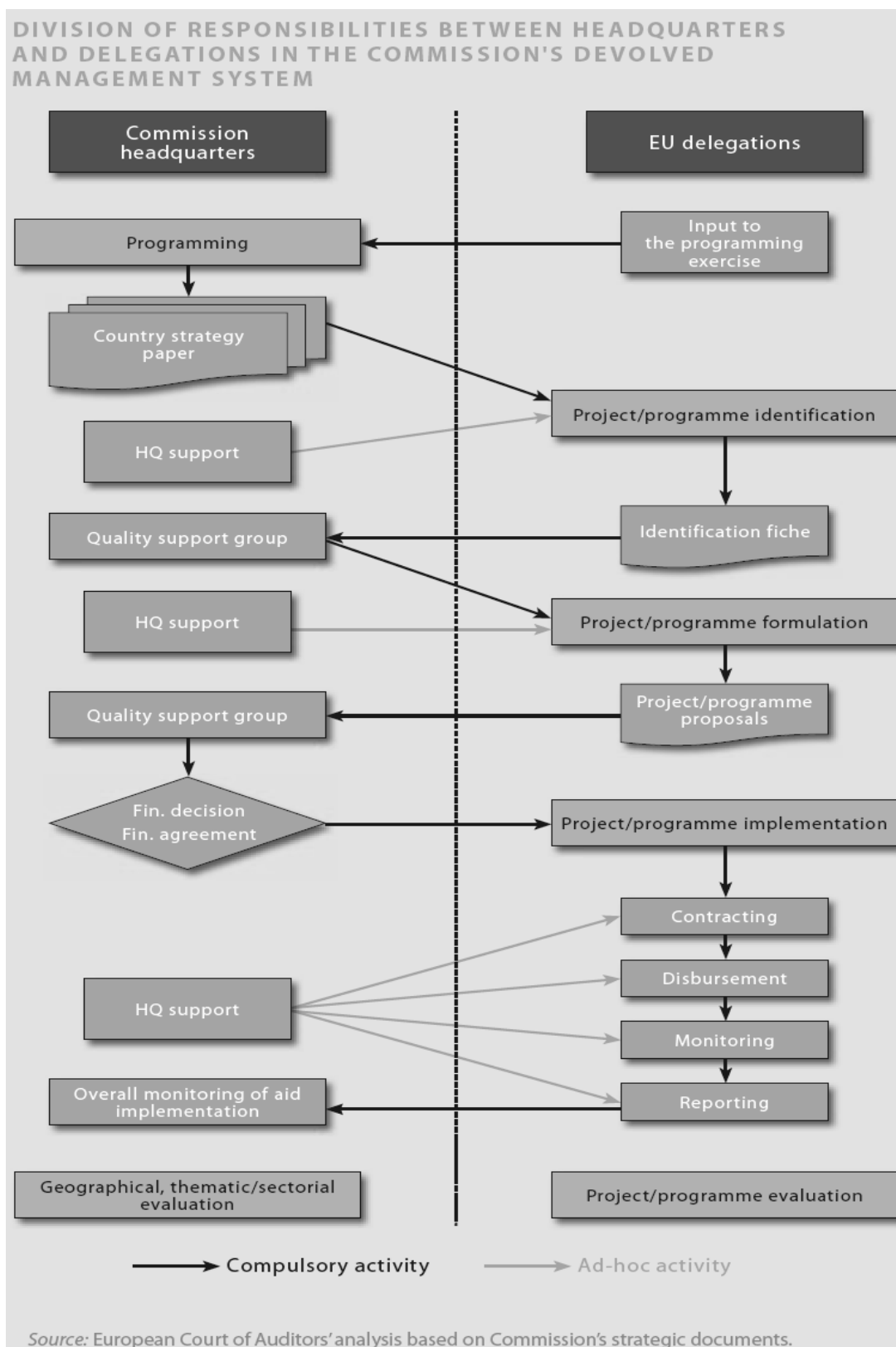
Regarding **Governance** issues, which apply to all sectors, the EC has been supporting Public Finance Management reforms through SAF V and Support to Planning and Budgeting Reforms programmes. EC support has been well positioned and has covered the critical governance concerns such as public finance management and corruption as defined by PRSP and TNDP. There has been improved governance, as reflected in improved Public Finance Management and improving dialogue (consultation) between the Government and the NSAs. However, capacity problems remain in some areas (in line ministries and at lower levels).

Key Conclusions and Recommendations

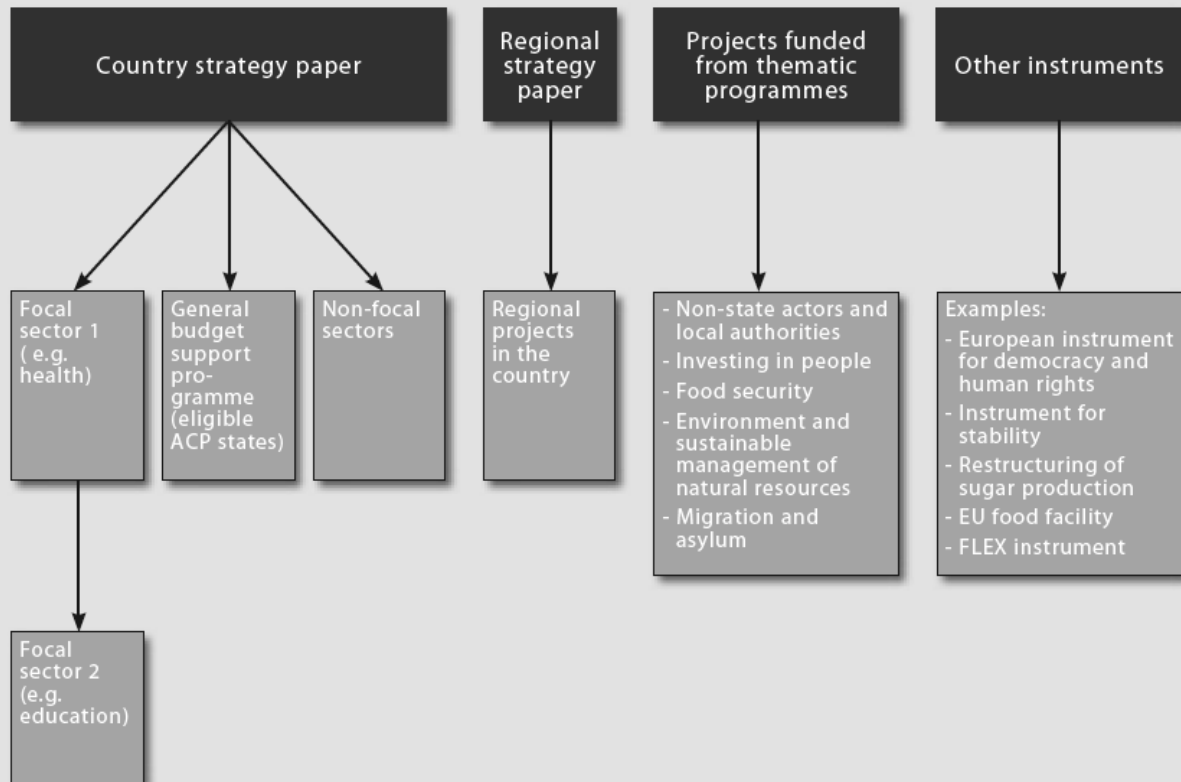
Under the 10th EDF the EC should continue general budget support, support for capacity building in the public sector, and strongly support transport, agriculture, food security and private sector development, as well as environmental protection; in addition to possible selective support to the health and education sectors.

Of the envelope A for EDF 10, the Evaluation Team proposes that the two concentration areas be (1) Infrastructure, communications and transport (about 25%); (2) Governance, democracy, human rights and support for economic and institutional reform (about 60%); Concentration area 2 would cover several sub-sectors: Governance, democracy, human rights, support for economic reform, including private sector development, institutional reform. Budget support should be the main channel for EC funding in concentration area 2. The non concentration areas (15%) would cover agriculture, food security, environmental protection, possibly the social sectors, provisions for NSAs and a technical cooperation facility.

Annex VI: Division of Responsibilities between Headquarters and Delegations



AREAS OF AID INTERVENTION OF A TYPICAL DELEGATION



Source: European Court of Auditors' analysis based on Commission's documents.

Annex VII: Project Inventory (CRIS database) and Analysis

Note on data compilation and organisation

The CRIS database provides detailed information about the technical, financial and accounting progresses of EU funded projects. The system displays the names of the country and region where the interventions are planned, the project title and numbers, the planned budget⁵⁵ and the corresponding budget lines as well as the DAC codes referring to the sector of intervention.

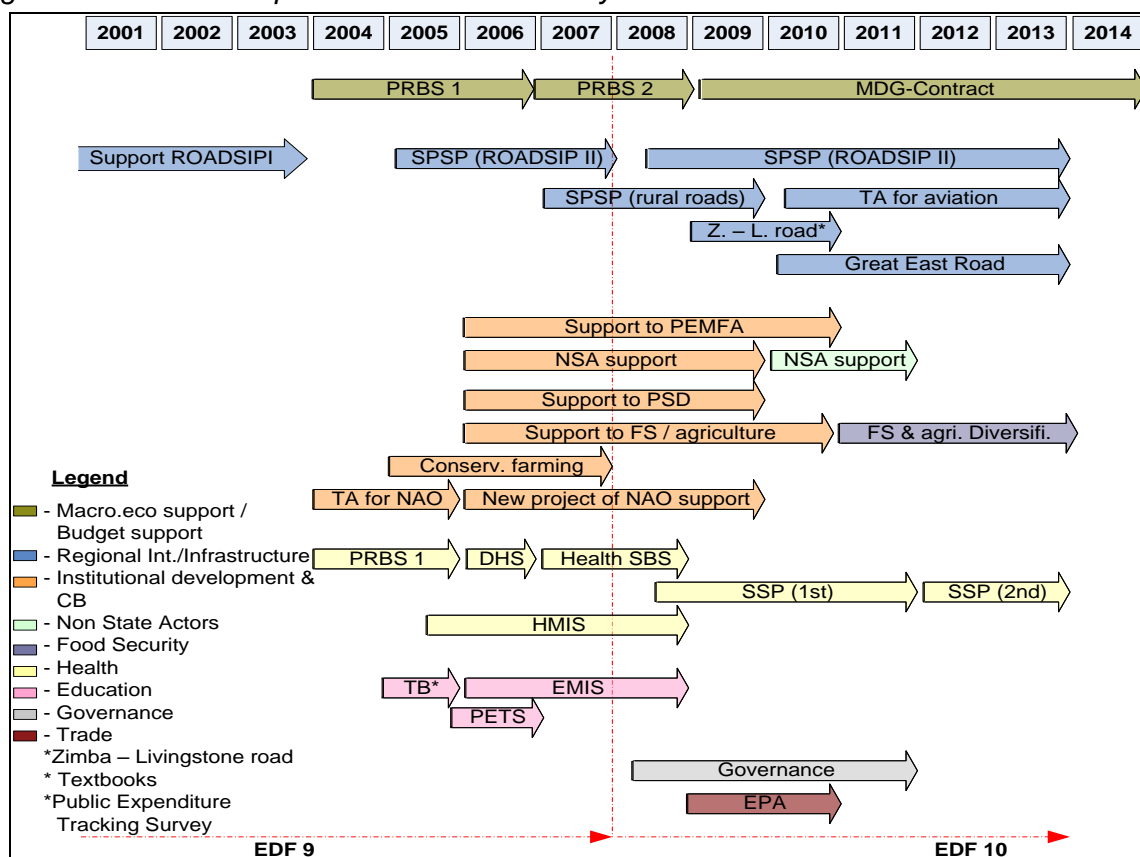
The evaluators used the information collected from the databases to compile comprehensive “project lists” of the projects providing an overview of the EU’s interventions in Zambia from 2001 to 2010. As a number of projects from the previous EDF8 were either closed or are still ongoing within the evaluation period, these have been included in the inventory and are also considered in the reconstruction of the intervention logic.

Inventory I) contains the exact start and end dates (when available) for each national project. This information allowed the team to identify all interventions falling inside the scope of the evaluation for temporal reasons. The project lists were sorted by period of intervention (EDF) or Decision Number (in case of budget line funding) as well as by DAC Codes. This allowed to identify the main sectors of interventions and to subsequently carry out a sector analysis.

Irrelevant entries were deleted from the inventory.⁵⁶

During the Desk phase the evaluation team has complete the list of projects and related documentation (in particular the collection of ROM and evaluation reports or Mid-term reviews) with the help of project and programme related documentation sent by the EUD in Zambia.

Figure 9: EU co-operation with Zambia: Key sectors in EDF9 and EDF10



* Source: Own compilation based on information from CSPs and NIPs

⁵⁵ In addition to the planned budget, CRIS consultation provides also the amounts contracted and paid.

⁵⁶ All pre-financing agreements and cancelled projects have been deleted from the list.

i) List of bilateral EDF funding under EDF8, EDF9 and EDF10 (period 2001 -2010)

Project No.	Decision (CRIS) No.	Status	Title	DAC Code	Sector	ZM sign. Date of FA	starting date	closing date (DLE)	Allocated	Contracted	Paid
8-ACP-ZA-019 9-ACP-ZA-002	FED/1999/014-310	CL	PUBLIC WELFARE ASSISTANCE SCHEME (PWAS)	15110	Government and civil society, general	03.03.1999	01.03.2000	29.02.2004	1.072.059	1.072.059	1.072.059
8-ACP-ZA-020	FED/1999/014-315	CL	REHABILIT. KABWE-KAPIRI MPOSHI AND CHISAMBA ROADS (+7ZA025)	21020	Transport and storage	01.03.1999	01.09.2000	30.04.2005	16.757.544	16.757.544	16.757.544
8 EDF	FED/1999/014-498	CL	ECHO/ZMB/254/1999/01000- EMERGENCY HUMANITARIAN ASSISTANCE TO CONGOLESE REFUGEES	72010	Emergency Response				1.500.000	1.500.000	1.500.000
8 EDF	FED/1999/014-668	CL	EXPORT DEVELOPMENT PROGRAMME II (EDP I: 7ZA013/10000000.00)						5.956.415	5.956.415	5.956.415
8-ACP-ZA-030	FED/2000/014-789	CL	SUPPORT TO THE CULTURAL SECTOR	16061	Other social infra and services	05.01.2000		30.11.2004	1.620.512	1.620.512	1.620.512
8-ACP-ZA-032	FED/2000/014-828	CL	FEASIBILITY STUDY LIVINGSTONE AIRPORT	21050	Transport and storage	28.01.2000	01.05.2000	30.09.2000	334.730	334.730	334.730
8 EDF	FED/2000/014-833	CL	UPDATE PROJECT PROPOSAL FOR EDF SYSMIN FUND SUPPORT TO ZCCM PRIVATISATION PROCESS	32220	Mineral resources and mining				34.030	34.030	34.030
8-ACP-ZA-034	FED/2000/014-875	CL	SUPPORT TO NAO'S OFFICE (+ 7ZA089 + 8ZA022)	15110	Government and civil society, general	31.03.2000	01.01.2000	31.12.2003	1.697.081	1.697.081	1.697.081
8 EDF	FED/2000/014-938	CL	FEASIBILITY STUDY ON NRDC	31181	Agriculture	?	?	?	208.310	208.310	208.310
8-ACP-ZA-036	FED/2000/014-985	EC	PROGRAMME DE DIVERSIFICATION DU SECTEUR MINIER	32220	Mineral resources and mining	09.06.2000	01.12.2001	02.11.2010	30.000.000	28.441.816	19.968.480
8-ACP-ZA-037/ 038/ 039/ 040/ 041/ 042/ 043/ 044	FED/2000/015-065	CL	Saf v - SYSMIN	32220	Mineral resources and mining	18.09.2000	01.09.2000	31.12.2004	115.574.913	115.574.913	115.574.913
8-ACP-ZA-045	FED/2000/015-078	CL	MICROPROJECTS PROGRAMME II	16050	Other social infra and services				13.745.114	13.745.114	13.745.114
8 EDF	FED/2000/015-191	CL	PROJECT FORMULATION ESSENTIAL ROAD MAINTENANCE INPUTS"	21020	Transport and storage				16.079	16.079	16.079

Project No.	Decision (CRIS) No.	Status	Title	DAC Code	Sector	ZM sign. Date of FA	starting date	closing date (DLE)	Allocated	Contracted	Paid
8 EDF	FED/2000/015-277	CL	EVALUATION PREQUALIF DOSSIERS & INTERNATIONAL RESTR DOSSIERS	15110	Government and civil society, general				23.577	23.577	23.577
8 EDF	FED/2001/015-394	CL	EVALUATION TENDER DOSSIERS EXPORT DEVELOPMENT PROGRAMME II	15110	Government and civil society, general				10.555	10.555	10.555
8-ACP-ZA-050	FED/2001/015-399	CL	CAPITAL INVESTMENT LINE II PROJECT_(21000, 22151)	32120	Industry	16.02.2001	01.01.2001	31.12.2003	39.058.745	39.058.745	39.058.745
8-ACP ZA-051	FED/2001/015-454	CL	FORESTRY SUPPORT PROGRAMME	31220	Forestry	22.06.2001	01.03.2002	30.09.2005	1.359.873	1.359.873	1.359.873
8 EDF	FED/2001/015-490	CL	APPRAISAL OF LIVESTOCK SUPPORT PROJECTS	31163	Agriculture				70.373	70.373	70.373
8-ACP-ZA-053	FED/2001/015-572	CL	Lumwana study	32220	Mineral resources and mining	13.07.2001	22.05.2001	31.12.2002	7.000.000	7.000.000	7.000.000
8 EDF	FED/2002/015-781	CL	SUPPORT TO PLANNING AND BUDGETING REFORMS	15110	Government and civil society, general				462.332	462.332	462.332
8-ACP-ZA-108	FED/2002/015-804	CL	Echo/zmb/254/2002/01000 emergency to refugees in zambia	72010	Emergency Response	31.01.2001	01.01.2002	03.06.2002	2.139.587	2.139.587	2.139.587
8-ACP-ZA-055 9-ACP-ZA-010	FED/2002/015-858	EC	REHABILITATION OF LIVINGSTONE AND LUSAKA AIRPORTS AIRPORT RECONSTRUCTION AND REHABILITATION	21050	Transport and storage	18.07.2002	01.10.2003	30.06.2011	13.450.000	12.672.522	12.470.470
8 EDF	FED/2002/015-876	CL	PRE-FEASIBILITY STUDY FOR A FEEDER ROADS PROGRAMME	21020	Transport and storage				63.570	63.570	63.570
8 EDF	FED/2002/015-911	CL	FEASIBILITY STUDY FOR PERIODIC MAINTENANCE OF TRUNK, MAIN AND DISTRICT ROADS	21020	Transport and storage				416.365	416.365	416.365
8-ACP-ZA-059 9-ACP-ZA-023	FED/2002/016-047	EC	URBAN MARKETS DEVELOPMENT PROGRAMME	43030	Other multisector	19.11.2002	10.12.2003	15.01.2003	21.200.000	21.136.455	19.268.450
8-ACP ZA-060	FED/2003/016-151	CL	SUPPORT TO THE NAO FOR CLOSURE OF EDF COMMITMENTS	91010	Administrative cost of donors	06.02.2003	10.02.2003	30.06.2004	79.500	79.500	79.500
8-ACP ZA-061	FED/2003/016-188	CL	PROJECT APPRAISAL & PREP FP FOR CONSERVATION FARMING	31130	Agriculture	18.03.2003	01.06.2003	31.07.2003	14.704	14.704	14.704
TOTAL EDF8									273.865.969	271.466.762	260.923.369
9-ACP ZA-001	FED/2003/016-242	CL	REHABILITATION OF KAZUNGULA PONTOONS	21040	Transport and storage	19.08.2003	19.08.2003	31.12.2008	370.336	370.336	370.336

Project No.	Decision (CRIS) No.	Status	Title	DAC Code	Sector	ZM sign. Date of FA	starting date	closing date (DLE)	Allocated	Contracted	Paid
9-ACP ZA-003	FED/2003/016-305	CL	CAPACITY BUILDING IN DPT OF ECONOMIC AND TECHN. COOPERATION, MINISTRY OF FINANCE AND NATIONAL PLANNING	15111	Government and civil society, general	19.09.2003	19.09.2003	30.06.2008	743.068	743.068	743.068
9-ACP ZA-005	FED/2003/016-366	EC	POVERTY REDUCTION BUDGET SUPPORT PROGRAMME 2003-2006 (PRBS01)	51010	General budget support	22.12.2003	22.12.2003	31.12.2010	108.200.000	108.180.921	107.509.599
9-ACP-ZA-007	FED/2003/016-404	EC	SUPPORT TO THE EDUCATION STRATEGIG PLAN	11230	Basic education	15.03.2004	15.03.2004	31.12.2010	10.002.243	10.002.243	10.002.243
9-ACP ZA-008	FED/2003/016-534	CL	FEASIBILITY STUDY "REHABILITATION AND MAINTENANCE OF FEEDER ROADS IN ZAMBIA	21020	Transport and storage	24.12.2003	05.11.2007	31.12.2007	470.816	470.816	470.816
9-ACP-ZA-009	FED/2004/016-586	EC	TECHNICAL COOPERATION FACILITY	99810	Unallocated	25.05.2004	25.05.2004	30.09.2011	2.847.757	2.631.757	2.299.004
9-ACP ZA-014	FED/2004/016-972	EC	Capacity Building for Private Sector Development	32130	Industry	26.04.2005	26.04.2005	31.12.2012	15.000.000	13.830.987	12.216.548
9-ACP ZA-012	FED/2004/017-400	CL	ECHO/ZMB/EDF/2004/01000 HUMANITARIAN AID TO FACILITATE THE REPATRIATION TO ANGOLA OF ANGOLAN REFUGEES IN ZAMBIA	72010	Emergency Response	07.09.2004	07.09.2004	31.12.2006	2.000.000	2.000.000	2.000.000
9-ACP ZA-011	FED/2004/017-408	CL	PROMOTION OF CONSERVATION FARMING AND CROP DIVERSITY	31161	Agriculture	26.11.2004	26.11.2004	31.12.2009	1.601.322	1.601.322	1.601.322
9-ACP ZA-013	FED/2004/017-416	EC	PERIODIN MAINTANANCE OF TRUNK, MAIN AND DISTRICT ROADS	21020	Transport and storage	11.02.2005	17.12.2004	31.12.2013	96.000.000	95.134.941	81.711.354
9-ACP ZA-015	FED/2005/017-436	CL	ECHO/ZMB/EDF/2005/01000 HUMANITARIAN AID TO FACILITATE THE REPATRIATION TO ANGOLA OF ANGOLAN REFUGEES IN ZAMBIA	72010	Emergency Response	07.03.2005	07.03.2005	31.12.2007	3.500.000	3.500.000	3.500.000
9-ACP ZA-016	FED/2005/020-661	CL	4TH MICORPROJECTS PROGRAMME IN ZAMBIA - COMPLEMENTARY FUNDING TO 8 ACP ZA 12 (43010	Other multisector	19.09.2007	19.09.2007	31.12.2009	1.423.891	1.423.891	1.423.891
9-ACP-ZA-017	FED/2006/017-955	EC	SUPPORT TO AGRICULTURAL DIVERSIFICATION AND FOOD SECURITY IN WESTERN AND NORTH WESTERN ZAMBIA	31110	Agriculture	19.12.2005	19.12.2005	31.12.2013	15.000.000	14.733.034	12.635.976
9-ACP ZA-018	FED/2006/017-956	EC	EC SUPPORT TO THE PUBLIC EXPENDITURE MANAGEMENT (PEMFA)	15111	Government and civil society, general	22.03.2006	19.12.2005	31.12.2012	13.000.000	13.000.000	13.000.000
9-ACP ZA-025	FED/2006/018-559	CL	Retention for Human Resources f.Health	12281	Basic health	04.12.2006	04.12.2006	30.06.2011	8.571.450	8.571.450	8.571.450

Project No.	Decision (CRIS) No.	Status	Title	DAC Code	Sector	ZM sign. Date of FA	starting date	closing date (DLE)	Allocated	Contracted	Paid
9-ACP ZA-024	FED/2006/018-569	EC	PRBS 02 (2007-2008)	51010	General budget support	29.03.2007	04.12.2006	31.12.2013	62.000.000	53.017.437	52.478.486
9-ACP ZA-022	FED/2006/020-681	EC	ECHO/ZMB/EDF/2006/01000 HUMANITARIAN AID FOR VULNERABLE POPULATIONS SUFFERING THE CUMULATIVE EFFECTS OF DROUGHT AND AIDS	72010	Emergency Response	27.03.2006	27.03.2006	31.12.2008	2.200.000	1.952.068	1.952.068
9-ACP-ZA-026 9-ACP-ZA-027	FED/2007/019-150	EC	Programme for the Institutional Development and Involvement of Non-State Actors in the Cooperation Between the European Commission and Zambia	92010	Support to NGOs	03.07.2007	03.07.2007	31.12.2012	5.000.000	0	0
9-ACP ZA-020	FED/2007/019-261	EC	CAPACITY BUILDING WITHIN THE DEPARTMENT OF ECONOMIC AND TECHNICAL COOPERATION	15111	Government and civil society, general	18.08.2006	18.08.2006	31.12.2011	1.700.000	1.630.879	1.431.451
9-ACP RPR-116	FED/2007/019-313	EC	1st CfP Water Facility (163B) : Implementation of Integrated Water Resources Management in Zambia	14010	Water and Sanitation	08.11.2007	24.07.2007	07.11.2013	3.750.000	3.501.403	2.381.862
9-ACP RPR-117	FED/2007/019-315	EC	1st CfP Water Facility (163A) : Support Improving Water Supply and Sanitation for the Urban Poor in Zambia	14010	Water and Sanitation	10.03.2008	04.10.2007	31.12.2014	4.092.258	3.060.118	2.640.729
9-ACP ZA-021	FED/2007/019-642	EC	Rehabilitation of the Zimba-Livingsstone Road	21020	Transport and storage	12.04.2006	12.12.2006	31.12.2015	15.000.000	13.159.556	9.033.349
9-ACP-RPR-119	FED/2007/020-837	EC	ECHO/ZMB/EDF/2007/01000 ASSISTANCE FOR THE REPATRIATION OF CONGOLESE REFUGEES FROM ZAMBIA TO THE DRC	72010	Emergency Response	10.08.2007	10.08.2007	15.03.2010	2.000.000	1.780.913	1.780.913
9-ACP SAD-023	FED/2007/020-866	EC	POST-FLOOD RECOVERY PROGRAMME IN ZAMBIA	72010	Emergency Response	21.12.2007	21.12.2007	30.06.2011	1.500.000	1.318.540	1.281.680
9-ACP-ZA-028	FED/2008/019-727	EC	Technical Cooperation Facility II (TCF II)	99810	Unallocated	20.09.2007	20.09.2007	31.12.2012	3.500.000	3.105.355	2.875.890
9-ACP-RPR-174	FED/2008/020-660	EC	RURAL ELECTRICITY INFRASTRUCTURES AND SMALL SCALE PROJECTS	23040	Energy generation and supply	10.03.2008	07.12.2007	31.12.2015	9.980.750	8.993.566	0
TOTAL EDF9									389.453.892	367.714.602	333.912.036
10-ACP-ZA-002	FED/2008/020-931	EC	SUPPORTING ACTIONS AGAINST CHILD TRAFFIC AND CHILD LABOUR IN ZAMBIA	15140	Government and civil society, general	19.08.2009	01.01.2008	19.08.2015	1.600.000	1.600.000	425.000
10-ACP-ZA-004	FED/2008/020-949	EC	PRBS 3 - MDG CONTRACT 1 - CRIS REF. 2008/199-76	51010	General budget support	14.12.2009	17.12.2008	05.03.2017	255.000.000	255.000.000	92.812.500

Project No.	Decision (CRIS) No.	Status	Title	DAC Code	Sector	ZM sign. Date of FA	starting date	closing date (DLE)	Allocated	Contracted	Paid
10-ACP-ZA-005	FED/2008/020-950	EC	SUPPORTING PUBLIC HEALTH SERVICE DELIVERY IN ZAMBIA CRIS REF. 2008/198-54	12220	Basic health	09.04.2009	17.12.2008	09.04.2015	35.000.000	35.000.000	11.500.000
10-ACP-ZA-006	FED/2008/020-974	EC	SECOND SECTOR POLICY SUPPORT PROGRAMME CRIS REF. 2008/199-08	21020	Transport and storage	03.07.2009	17.12.2008	03.07.2016	77.000.000	341.410	204.846
10-ACP-ZA-007	FED/2008/020-975	EC	SUPPORTING THE ELECTORAL SYSTEM IN ZAMBIA - CRIS REF. FED/2008/203-74	15151	Government and civil society, general	19.08.2009	01/012008	19.08.2015	7.400.000	7.400.000	3.580.000
10 EDF	FED/2009/021-385	EC	Urban Food Vouchers Project, Zambia	52010	Developmental food aid/Food security assistance	21.12.2009	21.12.2009	30.06.2014	4.630.000	4.600.000	3.680.000
10 EDF	FED/2009/021-433	EC	Technical Cooperation Facility (TCF) III	99810	Unallocated	05.05.2010	?	05.05.2015	5.000.000	1.302.064	450.845
10 EDF	FED/2009/021-628	EC	ECHO/ZMB/EDF/2009/01000	72010	Emergency Response	N Avail	N Avail	15.10.2011	2.700.000	2.311.827	2.080.062
10 EDF	FED/2009/022-082	PO	Support to Statistics	16062	Other social infra and services				6.000.000	0	0
10 EDF	FED/2010/021-651	EC	Support to the strengthening of the Justice Sector in Zambia: Access to Justice	15130	Government and civil society, general	04.11.2010	07.07.2010	04.05.2016	6.000.000	6.000.000	2.739.383
10 EDF	FED/2010/021-973	EG	Aviation Sector Support Programme	21050	Transport and storage				3.000.000	0	0
10 EDF	FED/2010/022-057	EG	Agriculture Sector Performance Enhancement Programme (PEP)	31110	Agriculture				8.900.000	0	0
10 EDF	FED/2010/022-275	PO	Support to National Authorising Officer (NAO), Ministry of Finance & National Planning, Zambia	15110	Government and civil society, general				4.000.000	0	0
10 EDF	FED/2010/022-409	EG	Rehabilitation of the Great East Road (T4)	21020	Transport and storage				38.000.000	0	0
10 EDF	FED/2010/022-712	PO	Support to Economic Governance: PFM reforms and Domestic Accountability	15111	Government and civil society, general				7.000.000	0	0
10 EDF	FED/2011/023-201	PO	Conservation Agriculture scaling Up	31120	Agriculture				11.100.000	0	0
Total EDF10									472.330.000	313.555.302	117.472.636

ii) List of bilateral Budget Line funding during 2001 - 2010

BL number	Title	DAC Code	Sector	Allocated	Contracted	Paid
DCI-FOOD/2010/022-323	Food Facility GBS	51010	General budget support	5.800.000	0	0
DCI-SUCRE/2007/019-090	Accompanying measures 2007-2010 for Sugar Protocol countries - Zambia	31162	Agriculture	6.000.000	3.477.005	2.400.269
DCI-SUCRE/2012/023-070	Accompanying Measures for Former Sugar Protocol Countries 2011-2013 - Zambia		Trade	4.752.000	0	0
DDH/2006/018-413	ELE - EU EOM to Zambia 2006	15151	Government and civil society	2.304.530	2.304.530	2.304.530
FOOD/2005/017-308	Food Security Programme 2005 - NGO Programme Zambia	52010	Developmental food aid/ Food Security	2.000.000	1.999.219	1.946.964
FOOD/2006/018-078	Annual Work Programme 2006 Food Aid and Food Security. NGO Allocation Zambia	52010	Developmental food aid/ Food Security	1.848.074	1.848.074	1.773.669
SUCRE/2006/018-531	Accompanying measures 2006 for Sugar Protocol countries - Zambia	31162	Agriculture	434.127	434.127	434.127
DCI-FOOD/2009/223-797	Seed Entrepreneurship for Economic Development and Food Security (SEEDFS)	52010	Developmental food aid/ Food Security	1.085.164		958.023
DCI-FOOD/2009/213-361	Improving Productivity of the Small-Scale Agricultural Sector in Zambia	52010	Developmental food aid/ Food Security	2.404.444		1.844.500
DCI-MULTI/2009/229-118	Consolidation of the Farmer Register for Zambia	31166	Agriculture	153.000	153.000	153.000
DCI-FOOD/2009/213-679	Farmer Input Support Initiative (FISRI) to Rising prices of agricultural commodities in Zambia	52010	Developmental food aid/ Food Security	7.472.052	7.472.052	7.472.052
DCI/FOOD/2010/254-139	Expansion of the 'Farmer Input Support Response Initiative' (FISRI) in Zambia	52010	Developmental food aid/ Food Security	3.578.904	3.578.904	3.399.959
DCI/FOOD/2009/223-980	Integrated Agricultural Development Project "Educating children and young people in changing climate"	52010	Developmental food aid/ Food Security	1.000.000	1.000.000	886.274
DCI/FOOD/2009/223-863	Responding to soaring food prices: a step towards sustainable agriculture, income generation and empowerment of small scale farmers.	52010	Developmental food aid/ Food Security	1.073.389	1.073.389	966.050
DCI/FOOD/2010/255-936	Strengthening the scaling up and impact of innovative food security approaches for PLWHIV in Zambia	12240	Early Childhood Education?	404.575	404.575	231.960
DCI/FOOD/2010/256-103	Action on HIV, Nutrition and Food Security in the Copperbelt	12240	Early Childhood Education?	405.000	405.000	235.445
DCI/FOOD/2010/256-310	Project for the Reduction of Nutritional Vulnerability (PRUVEN II)	52010	Developmental food aid/ Food Security	404.935	404.935	244.016

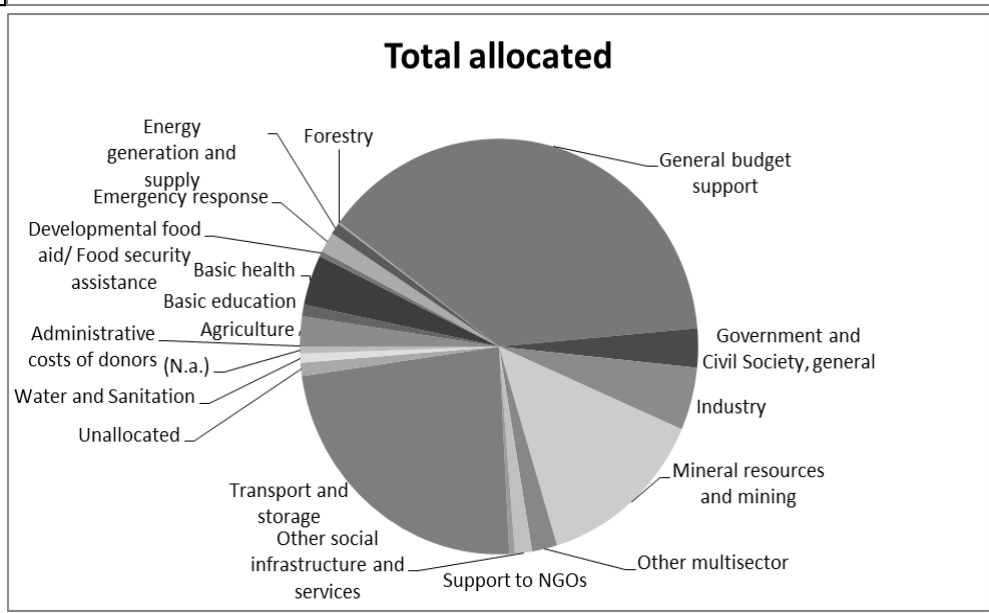
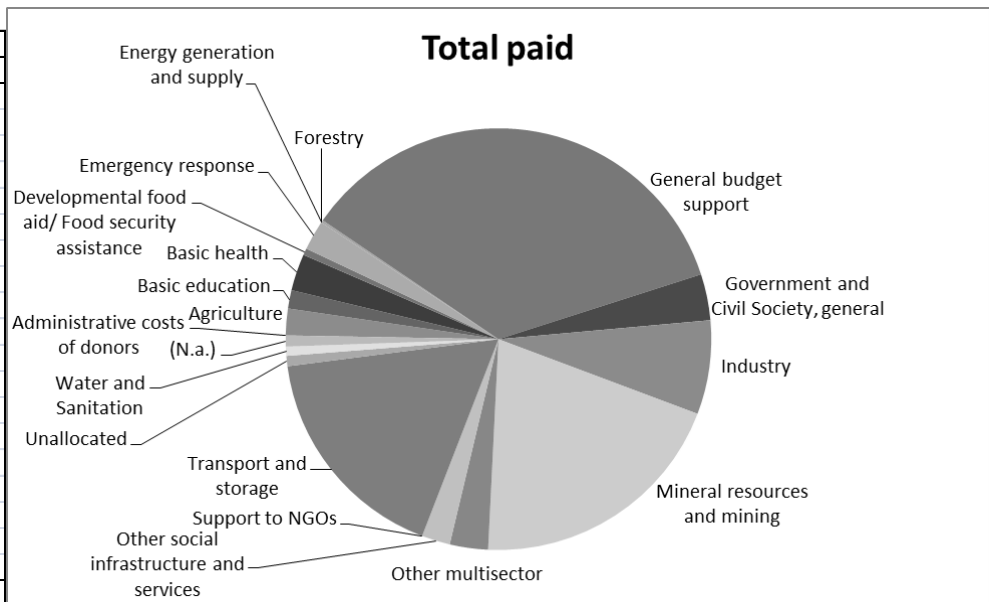
BL number	Title	DAC Code	Sector	Allocated	Contracted	Paid
DCI/FOOD/2010/256-580	The Food Security and Nutrition Support Project for Vulnerable Households (FSNV)	52010	Developmental food aid/ Food Security	448.613	448.613	238.499
DCI/FOOD/2010/259-189	Agriculture Diversification and Food Security Project	52010	Developmental food aid/ Food Security	335.977	335.977	220.142
Total Budget Lines				41.904.784	25.339.400	25.709.479

iii) List of EIB loans for Zambia, 2001 – 2010

Mandate	Funds	CA Date	Progress	Date of Signature	Contract Name	Sector	Signed Amount in EUR	Disbursed Amount in M EUR
Lome - Convention 4 - prot.2	EDF	23/01/2001	Disbursed	04/04/2001	CAPITAL INVESTMENT LINE GL II - A	GLOBAL LOANS, GROUPED LOANS, MIDCAP LOANS	15.000.000	15.000.000
Lome - Convention 4 - prot.2	EDF	22/05/2001	Fully Reimb	08/10/2001	LUMWANA FEASIBILITY STUDY	MINING AND QUARRYING	7.000.000	7.000.000
Lome - Convention 4	EDF	30/04/2002	Fully Reimb	09/08/2002	BWANA MKUBWA MINING EXPANSION	MANUFACTURING	14.000.000	14.000.000
Lome - Convention 4 - prot.2	EDF	23/01/2001	Disbursed	14/07/2003	CAPITAL INVESTMENT LINE GL II - B	GLOBAL LOANS, GROUPED LOANS, MIDCAP LOANS	24.800.000	2.380.000
Cotonou agreement	EDF	16/09/2003	Disbursed	11/12/2003	KANSANSHI COPPER MINE	MINING AND QUARRYING	34.000.000	34.000.000
Cotonou agreement	EDF	14/12/2004	Disbursed	25/02/2005	MOPANI COPPER PROJECT	MANUFACTURING	48.000.000	38.000.000
Cotonou agreement	EDF	19/07/2005	Signed	09/12/2005	ZESCO KARIBA NORTH II	ELECTRICITY, GAS, STEAM AND AIR CONDIT	7.600.000	6.500.000
Cotonou agreement	EDF	26/09/2006	Fully Reimb	29/11/2006	LUMWANA COPPER PROJECT A	MINING AND QUARRYING	48.000.000	37.500.000
Cotonou agreement	EDF	26/09/2006	Fully Reimb	29/11/2006	LUMWANA COPPER PROJECT B	MINING AND QUARRYING	19.000.000	13.500.000
Cotonou agreement	EIB own res	26/09/2006	Fully Reimb	29/11/2006	LUMWANA COPPER PROJECT C	MINING AND QUARRYING	18.000.000	15.700.000
Lome - Convention 4 - prot.2	EDF	13/06/2000	Disbursed	13/12/2006	SMALLSCALE MINING SECT LOAN FACIL(SYMIN)	GLOBAL LOANS, GROUPED LOANS, MIDCAP LOANS	10.000.000	2.500.000
Cotonou agreement	EIB own res	13/03/2007	Fully Reimb	27/04/2007	MUNALI NICKEL PROJECT	MINING AND QUARRYING	30.000.000	30.000.000
Cotonou agreement	EDF	12/06/2007	Signed	26/11/2008	CAPITAL INVESTMENT LINE GL III	GLOBAL LOANS, GROUPED LOANS, MIDCAP LOANS	20.000.000	1.000.000
Total:							295.400.000	217.080.000

Sector allocation and disbursement

Sector	Data	
	Total paid	Total allocated
Administrative cost of donors	79 500	79 500
Agriculture	14 530 685	25 794 708
Basic education	10 002 243	10 002 243
Basic health	20 071 450	43 571 450
Developmental food aid/Food security assistance	3 680 000	4 630 000
Emergency Response	16 234 310	17 539 587
Energy generation and supply	-	9 980 750
Forestry	1 359 873	1 359 873
General budget support	252 800 585	425 200 000
Government and civil society, general	25 184 507	33 708 673
Industry	51 275 293	54 058 745
Mineral resources and mining	142 577 423	152 608 942
Other multisector	20 692 340	22 623 891
Other social infra and services	15 365 626	15 365 626
Support to NGOs	-	5 000 000
Transport and storage	121 849 461	260 879 441
Unallocated	5 625 739	11 347 757
Water and Sanitation	5 022 591	7 842 258
(vide)	5 956 415	5 956 415
Total général	712 308 040	1 107 549 860



Annex VIII: List of Documents Consulted

AUTHOR	YEAR	FULL TITLE OF DOCUMENT
EU		
EU-GRZ	2011	MTR CSP/PIN 2008-2013
EU-GRZ	2009	Cooperation between EU and Republic of Zambia –Joint Annual Report 10 th EDF Mid Term Review
EU	2009	EC Guidelines for preparations and implementation of an MDG- Contract,
EU-GRZ	2008	CSP/PIN 2008-2013
EU	2008	Millennium Development goal contract (2009-2014)
EU	2007	Poverty Reduction Budget Support II (9ACP ZA 024)
EU	2006	Country Strategy Evaluation
EU	2004	Poverty Reduction Budget Support (9ACP ZA 005)
EU-ESA	2002	RSP/RIP 2002-2007
EU-GRZ	2001	CSP/PIN 2001-2007; Addenda 1, 2
EU	Multi	EAMR 2005 to January 2011
EU-GRZ	Multi	JAR 2003 to 2011
GENERAL PLANNING		
Government of Zambia	2011	Statutory Instrument No. 62 of 2011; The Non-Governmental Organisations' Act 2009 (Act No. 16 of 2009) – The Non-Governmental Organisations' (Forms and Fees) Regulations , 2011
GRZ/MoFNP	2011	Sixth National Development Plan 2011-2015
Government of Zambia	2011	Zambia Country Level Political Economy Analysis, July, 2011
Governance Secretariat	2007-2011	Fifth National Development Programme (FNDP) Annual Reporting on Governance; Years 2006 to 2010
Government of Zambia	2010	Sixth National Development Plan
GRZ/MoFNP	2009	FNDP MTR
GRZ/MoFNP	2009	FNDP annual progress report 2007
MoFNP, Zambia	2009	Development Cooperation Report
GRZ	2009	MDGs Progress report 2008
GRZ	2009	MDGs Progress report 2011
Government of Zambia	2009	The Non-Governmental Organisations' Act 2009 (Act No. 16 of 2009)
Governance Secretariat	2008	Governance Mid-Term Review (2006-2008)
Governance Secretariat	2008	Governance Data Mapping; Assessing the Quality and Availability of Governance Data; May 2008
Zambia Land Alliance (ZLA)	2007	Analysis of Zambia's Fifth National Development Plan
GRZ/MoFNP	2008	FNDP annual progress report 2006
GRZ/MoFNP	2006	Fifth National Development Plan 2006-2010
GRZ	2006	Vision 2030
Government of Zambia	2006	Vision 2030 – A Prosperous middle-income nation by 2030
Government of Zambia	2006	Fifth National Development Plan 2006 -2010: Broad Based Wealth and Job Creation Through Citizenry Participation and Technological Advancement
GRZ	2002	PRSP

GENERAL ECONOMIC DEVELOPMENT		
Central Statistical Office	2011	2010 Census of Population and Housing, Preliminary Report (CD-ROM)
Central Statistical Office	2011	Zambia 2010 Census of Population and Housing; Preliminary Report; February 2011
UNDP	2011	Millennium Development Goals Progress Report 2011
UNDP	2011	Zambia Human Development Report 2011. Service Delivery for Sustainable Human Development
WB	2011	Doing business 2011
Central Statistical Office	2010	Labour Force Survey Report
Central Statistical Office	2010	Poverty Trend Report 1996-2010
UNDP	2010	Human Development Report 2010 - The Real Wealth of Nations: Pathways to Human Development, Factsheet Zambia
UNDP	2010	How is Zambia faring with the MDGs in 2010?
UNDP	2010	PPT - The Real Wealth of Nations: Pathways to Human Development - Human Development Report 2010, 20th anniversary edition
World Bank: Roy Pepper, Delia Rodrigo, Peter Ladegaard	2010	Better Regulation for Growth - Governance Framework and Tools for Effective Regulatory Reform
GRZ/MoFNP	2010	FinScope Zambia 2009
Central Statistical Office	2009	Zambia Demographic and Health Survey 2007
World Bank	2009	Macroeco. and sectoral data - Zambia from 1960-2009
WHO	2009	Trade policy review
WB	2008	Country Assistance Strategy (CAS)
Central Statistical Office	2007	Micro-Level Estimates of Poverty in Zambia
Central Statistical Office	2007	2005 Labour Survey
UNCTD	2007	Investment Policy Review Zambia
UNDP	2007	Kwacha appreciation 2005-2006: implications for the Zambian Economy
Central Statistical Office	2005-2009	Living Conditions Monitoring Surveys 2004, 2006 and 2008
GRZ/MoFNP	2004	Financial Sector Development Plan For Zambia 2004 – 2009
UNDP	2003	Zambia Human Development Report 2003 - Eradication of Extreme Poverty and Hunger in Zambia: An Agenda for Enhancing the Achievement of the Millennium Development Goals
GRZ/MoFNP	Multi	Economic reports 2003-2007
BOZ	Multi	Annual reports 2004-2009
BOZ	Multi	Developments Zambian Economy 2007-2008
IMF	Multi	Article IV 2007, 2009
IMF	Multi	Staff Country reports 2006, 2008
IMF	Multi	Reviews, selected issues 2006, 2007 (PRSP), 2009
World Bank	Multi	Statistics MDG World Bank
DEVELOPMENT PARTNERS COORDINATION		
SAG on Macro-Economy	2012	Macro Economic Group; 2012 Budget Highlights; Presentation, January 2012
Access to Justice Project (AtoJ)	2011	Access to Justice Project (AtoJ); Various Internal Documents (e.g. meeting minutes, notes for the file, etc.); 2011
Africa Legal Network (AFN)	2011	New Law to Regulate NGOs in Zambia; Legal Notes Series; 2011
Centre d'Economie de la Sorbonne (CES)	2011	Improving Aid Effectiveness in Aid Dependent Countries: Lessons from Zambia; CES Working Paper 2011.40; 2011

Chena, Kaputo and Geinitz, Dedo	2011	Support to Zambian Non-State Actors - Diversity of Aid Modality - lessons learned; Article published in the framework of the Democratisation, State and Civil Society – Good Governance Programme; 2011
CNRS	2011	Improving Aid Effectiveness in Aid-Dependent Countries: Lessons from Zambia
CPs-GRZ	2011	MoU JASZ II
Democratisation, State and Civil Society – Good Governance Programme	2011	Capacity Development for Non-State Actors – Civil Society; 2011
Democratisation, State and Civil Society – Good Governance Programme	2011	Democratisation, State and Civil Society – Partners, Programmatic, Way Forward; 2011
DIE & IOB (German Development Institute & Policy and Evaluation Operations Department)	2011	Between High Expectations and Reality: An Evaluation of Budget Support in Zambia (2005-2010) – Synthesis Report; 2011
East and South Africa – Indian Ocean Region (ESA-IO) – European Union	2011	Co-operation between the European Union and the ESA-IO Region: Joint Progress Report (10 th EDF MID-Term Review); Second Draft, 30 Nov 2011
Economist Intelligence Unit (EIU)	2011	Country Report Zambia – December 2011
EU Election Observation Mission	2011	EU Election Observation Mission to the Zambia General Elections; Statement to the press by the Chief Observer; 06 September 2011
EU Election Observation Mission	2011	EU Election Observation Mission to the Zambia General Elections; Statement of Preliminary Findings; 20 September 2011
EU Election Observation Mission	2011	EU Election Observation Mission to the Zambia General Elections; Press Release for the Presentation of the Preliminary Statement; 22 September 2011
EU	2011	EU response to the Government-Oriented DOL for JASZ II
EU	2011	Joint Assistance Strategy for Zambia II (2011-2015) EU proposals
EUD Lusaka	2011	Note on the Health Sector Budget Support Disbursements 2010
EUD Lusaka	2011 et al.	Access to Justice Project – Internal Notes; 2011 and other years
EUD Lusaka	2011	EU response to the Government-Oriented DOL for JASZ II; March 2011.
EUD Lusaka	2011	Joint Assistance Strategy for Zambia II (2011-2015) – EU Proposals; 27 May 2011;
EUD Lusaka	2011	Mid Term Review of EU-SADC Co-Operation under the 10th EDF - Evaluation of Regional (RSP/RIP) – National (CSP/NIP) Coherence, Zambia Delegation Contribution; 30 August 2011
EUD Lusaka	2011	Mid Term Review of 10th EDF Regional Strategy Papers (RSP) and Regional Indicative Programmes (RIP) - Key questions to EU Delegations in East and Southern African and the Indian Ocean region, Zambia Delegation Contribution; 22 September 2011
EUD Lusaka	2011	Rationale for 10th EDF NSAs capacity building project in Zambia; Internal Note; 2011
European Commission	2011	Reference Document N° 12, Engaging Non-State Actors in New Aid Modalities – for better development outcomes and governance; January 2011
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Project/Programme Related Documents

Project Number	Title	FA, addendum	Action Fiche	ROM reports	Mid-term review	Final evaluation	Other audits	CRIS Report	Disbursement dossiers	Notes to files	Progress reports	Other documents
8 ACP ZA 36	PROGRAMME DE DIVERSIFICATION DU SECTEUR MINIER	X		X		X		X				
8 ACP ZA 55	REHABILITATION OF LIVINGSTONE AND LUSAKA AIRPORTS	X		XX		X						
8 ACP ZA 59	URBAN MARKETS DEVELOPMENT PROGRAMME	X		XX		X		X		X		
9 ACP ZA 13	SPSP 1 - PERIODIC MAINTENANCE OF TRUNK, MAIN AND DISTRICT ROADS	XX		XX	X		XX	X	XX	X		X
9 ACP ZA 14	CAPACITY BUILDING FOR PRIVATE SECTOR DEVELOPMENT											
9 ACP ZA 18	EC SUPPORT TO THE PUBLIC EXPENDITURE MANAGEMENT(PEMFA)		X			X						
9 ACP ZA 21	REHABILITATION OF THE ZIMBA-LIVINGSTONE ROAD	XX		X								
8 ACP ZA 32	FEASIBILITY STUDY LIVINGSTONE AIRPORT							X				
8 ACP ZA 38	EXPORT DEVELOPMENT PROGRAMME II					X						
8 ACP ZA 20	REHABILIT. KABWE-KAPIRI MPOSHI AND CHISAMBA ROADS (+7ZA025)	X		XX								
9 ACP ZA 1	REHABILITATION OF KAZUNGULA PONTOONS	X						X				
9 ACP ZA 8	FEASIBILITY STUDY "REHABILITATION AND MAINTENANCE OF FEEDER ROADS"							X				
10 ACP ZA 6	SPSP 2 - SECOND SECTOR POLICY SUPPORT PROGRAMME	X	X							X		
	REHABILITATION OF THE GREAT EAST ROAD (T4)											X
	AVIATION SECTOR SUPPORT PROGRAMME	X						X				X
9 ACP ZA 14	CAPACITY BUILDING FOR PRIVATE SECTOR DEVELOPMENT	XX		XX		X	X					X
8-ACP-ZA-019 9-ACP-ZA-002	PUBLIC WELFARE ASSISTANCE SCHEME (PWAS)											
8-ACP-ZA-030	SUPPORT TO THE CULTURAL SECTOR											
8-ACP-ZA-034	SUPPORT TO NAO'S OFFICE (+ 7ZA089 + 8ZA022)											
8-ACP-ZA-037/ 038/039/040/041/ 042/043/044	Saf v - SYSMIN											

Project Number	Title	FA, addendum	Action Fiche	ROM reports	Mid-term review	Final evaluation	Other audits	CRIS Report	Disbursement documents	Notes to files	Progress reports	Other documents
8-ACP-ZA-045	MICROPROJECTS PROGRAMME II											
8-ACP-ZA-050	CAPITAL INVESTMENT LINE II PROJECT_(21000, 22151)											
8-ACP ZA-051	FORESTRY SUPPORT PROGRAMME											
8-ACP-ZA-053	Lumwana study											
8-ACP-ZA-108	Echo/zmb/254/2002/01000 emergency to refugees in Zambia											
8-ACP ZA-060	SUPPORT TO THE NAO FOR CLOSURE OF EDF COMMITMENTS											
8-ACP ZA-061	PROJECT APPRAISAL & PREP FP FOR CONSERVATION FARMING											
9-ACP ZA-003	CAPACITY BUILDING IN DPT OF ECONOMIC AND TECHN. COOPERATION, MINISTRY OF FINANCE AND NATIONAL PLANNING											
9-ACP ZA-005	POVERTY REDUCTION BUDGET SUPPORT PROGRAMME 2003-2006 (PRBS01)	XX						XX				X
9-ACP-ZA-007	SUPPORT TO THE EDUCATION STRATEGIG PLAN											
9-ACP-ZA-009	TECHNICAL COOPERATION FACILITY											
9-ACP ZA-012	ECHO/ZMB/EDF/2004/01000 HUMANITARIAN AID TO FACILITATE THE R EPATRIATION TO ANGOLA OF ANGOLAN REFUGEES IN ZAMBIA											
9-ACP ZA-011	PROMOTION OF CONSERVATION FARMING AND CROP DIVERSITY											
9-ACP ZA-015	ECHO/ZMB/EDF/2005/01000 HUMANITARIAN AID TO FACILITATE THE R EPATRIATION TO ANGOLA OF ANGOLAN REFUGEES IN ZAMBIA											
9-ACP ZA-016	4TH MICORPROJECTS PROGRAMME IN ZAMBIA - COMPLEMENTARY FUNDING TO 8 ACP ZA 12 (
9-ACP-ZA-017	SUPPORT TO AGRICULTURAL DIVERSIFICATION AND FOOD SECURITY IN WESTERN AND NORTH WESTERN ZAMBIA											
9-ACP ZA-018	EC SUPPORT TO THE PUBLIC EXPENDITURE MANAGEMENT (PEMFA)											
9-ACP ZA-025	RETENTION FOR HUMAN RESOURCES FOR HEALTH	X						XX				
9-ACP ZA-024	PRBS 02 (2007-2008)	XX						XX				
9-ACP ZA-022	ECHO/ZMB/EDF/2006/01000 HUMANITARIAN AID FOR VULNERABLE POPULATIONS SUFFERING THE CUMULATIVE EFFECTS OF DROUGHT AND AIDS											

Project Number	Title	FA, addendum	Action Fiche	ROM reports	Mid-term review	Final evaluation	Other audits	CRIS Report	Disbursement dosiers	Notes to files	Progress reports	Other documents
9-ACP-ZA-026 9 ACP-ZA-027	Programme for the Institutional Development and Involvement of Non-State Actors in the Cooperation Between the European Commission and Zambia											
9-ACP ZA-020	CAPACITY BUILDING WITHIN THE DEPARTMENT OF ECONOMIC AND TECHNICAL COOPERATION											
9-ACP RPR-116	1st CfP Water Facility (163B) : Implementation of Integrated Water Resources Management in Zambia											
9-ACP RPR-117	1st CfP Water Facility (163A) : Support Improving Water Supply and Sanitation for the Urban Poor in Zambia											
9-ACP-RPR-119	ECHO/ZMB/EDF/2007/01000 ASSISTANCE FOR THE REPATRIATION OF CONGOLESE REFUGEES FROM ZAMBIA TO THE DRC											
9-ACP SAD-023	POST-FLOOD RECOVERY PROGRAMME IN ZAMBIA											
9-ACP-RPR-174	RURAL ELECTRICITY INFRASTRUCTURES AND SMALL SCALE PROJECTS											
10-ACP-ZA-002	SUPPORTING ACTIONS AGAINST CHILD TRAFFIC AND CHILD LABOUR IN ZAMBIA											
10-ACP-ZA-004	PRBS 3 - MDG CONTRACT 1 - CRIS REF. 2008/199-76	XX						XX		X		
10-ACP-ZA-005	SUPPORTING PUBLIC HEALTH SERVICE DELIVERY IN ZAMBIA CRIS REF. 2008/198-54	X	X					XX				
10-ACP-ZA-007	SUPPORTING THE ELECTORAL SYSTEM IN ZAMBIA - CRIS REF. FED/2008/203-74											
10 EDF	Urban Food Vouchers Project, Zambia											
10 EDF	ECHO/ZMB/EDF/2009/01000											
10 EDF	Support to Statistics											
10 EDF	Support to the strengthening of the Justice Sector in Zambia: Access to Justice											
10 EDF	Agriculture Sector Performance Enhancement Programme (PEP)											
10 EDF	Support to National Authorising Officer (NAO), Ministry of Finance & National Planning, Zambia											
10 EDF	Support to Economic Governance: PFM reforms and Domestic Accountability											
10 EDF	Conservation Agriculture scaling Up											
FED/2000/014-833	UPDATE PROJECT PROPOSAL FOR EDF SYSMIN FUND SUPPORT TO ZCCM PRIVATISATION PROCESS											
FED/2000/015-191	PROJECT FORMULATION ESSENTIAL ROAD MAINTENANCE INPUTS"											

Project Number	Title	FA, addendum	Action Fiche	ROM reports	Mid-term review	Final evaluation	Other audits	CRIS Report	Disbursement dossiers	Notes to files	Progress reports	Other documents
FED/2001/015-394	EVALUATION TENDER DOSSIERS EXPORT DEVELOPMENT PROGRAMME II											
FED/2001/015-490	APPRAISAL OF LIVESTOCK SUPPORT PROJECTS											
FED/2002/015-781	SUPPORT TO PLANNING AND BUDGETING REFORMS											
DCI-FOOD/2010/022-323	Food Facility GBS											
DCI-SUCRE/2007/019-090	Accompanying measures 2007-2010 for Sugar Protocol countries - Zambia											
DCI-SUCRE/2012/023-070	Accompanying Measures for Former Sugar Protocol Countries 2011-2013 - Zambia											
DDH/2006/018-413	ELE - EU EOM to Zambia 2006											
FOOD/2005/017-308	Food Security Programme 2005 - NGO Programme Zambie											
FOOD/2006/018-078	Annual Work Programme 2006 Food Aid and Food Security. NGO Allocation Zambia											
SUCRE/2006/018-531	Accompanying measures 2006 for Sugar Protocol countries - Zambia											
DCI-FOOD/2009/223-797	Seed Entrepreneurship for Economic Development and Food Security (SEEDFS)											
DCI-FOOD/2009/213-361	Improving Productivity of the Small-Scale Agricultural Sector in Zambia											
DCI-MULTI/2009/229-118	Consolidation of the Farmer Register for Zambia											
DCI-FOOD/2009/213-679	Farmer Input Support Initiative (FISRI) to Rising prices of agricultural commodities in Zambia											
DCI/FOOD/2010/254-139	Expansion of the 'Farmer Input Support Response Initiative' (FISRI) in Zambia											
DCI/FOOD/2009/223-980	Integrated Agricultural Development Project "Educating children and young people in changing climate"											
DCI/FOOD/2009/223-863	Responding to soaring food prices: a step towards sustainable agriculture, income generation and empowerment of small scale farmers.											

Project Number	Title	FA, addendum	Action Fiche	ROM reports	Mid-term review	Final evaluation	Other audits	CRIS Report	Disbursement dossiers	Notes to files	Progress reports	Other documents
DCI/FOOD/2010/255-936	Strengthening the scaling up and impact of innovative food security approaches for PLWHIV in Zambia											
DCI/FOOD/2010/256-103	Action on HIV, Nutrition and Food Security in the Copperbelt											
DCI/FOOD/2010/256-310	Project for the Reduction of Nutritional Vulnerability (PRUVEN II)											
DCI/FOOD/2010/256-580	The Food Security and Nutrition Support Project for Vulnerable Households (FSNV)											
DCI/FOOD/2010/259-189	Agriculture Diversification and Food Security Project											

Annex IX: List of Persons Met

Name, First Name	Unit / Institution
Akapelwa, W.	Acting Director, M&E Department, Ministry of Finance and National Planning
Ashley, John	Consultant, 2011 Food Facility Evaluation - Country Study Zambia
Banda, Ezra Brian	Programme Manager, Keepers Zambia Foundation, Self Help Africa
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Beaume, Eric	EU Delegation, Head of Cooperation
Belemu, Julian	Ministry of Finance and National Planning, NAO Support Office, Programme/accounting Officer
Bjork, Sigvard	EU Delegation, Head of Section Infrastructure
Carlos, Antonio	Member of Parliament, Kaoma District constituency
Chanda, Aubrey	District Agricultural Coordinator, Ministry of Agriculture and Livestock, Kaoma District
Chasiya Kazembe	Ministry of Finance, Donor Coordination
Cheabi, Ellach	ZNFU, Deputy Director
Chihana, Temwani	Ministry of Finance and National Planning, NAO Support Office, EDF projects Coordinator
Chikuba, Mukuli S.	Chief Economist, Ministry of Finance and National Planning
Chipimo, Francis	Advisor, M&E Department, Ministry of Finance and National Planning
Chisenda, Danies K.	Director, Budget and Economic Affairs, Ministry of Finance and National Planning
Chitengi Kalongo	Self Help Africa, Zambia Country Director
Chungu, Chiibimbi	District Marketing Development Officer, Ministry of Agriculture and Livestock, Kaoma District
Ciccarelli, Paolo	DG DEVCO Commission of the EU, E7
Costandache, Ioan-Adrian	(Evaluation Manager) DG DEVCO Commission of the EU
Creusen, Christian	EU Delegation, Head of Finance & Contracts section
Denaunay-Belleville, Eddy	EU Delegation, Economic Section, Agriculture
Di Mauro, Francesca	EU Delegation
Fekete, Georgina	Deputy Country Director (Programme), United Nations Development Programme (UNDP)

Name, First Name	Unit / Institution
Gwai, Ganizani	ZCSMBA, Program manager
Hammond, Mike	Head of Office, DFID, Department for International Development
Hamutunda, Fredrick	Zambia Bureau of Standards, Metrology manager
Hansaali, Rilla Situmbeko	Office of the President, Public Service Management Division, Acting PS
Hervio, Gilles	Head/Ambassador EU Delegation Zambia
Herzig, D. Peter	Head of section in charge of social sectors and Governance, EU Delegation Zambia
Himwaaba, Humphrey	Director, Finance Department, Electoral Commission of Zambia
Holla, Jörg Peter	Programme Coordinator, Democratisation, State and Civil Society, GiZ Office Lusaka (telephone interview)
Hurtado Dominguez, Daniel	Head of Section, Regional Cooperation – First Secretary, EU Delegation Zambia
Jere, Leah M.	Ministry of Finance and National Planning, NAO Support Office
Kalinda, D. Paul	Health Advisor, Social Sectors, EU Delegation Zambia
Kaluba, David C.	Principal Economist, Ministry of Finance and National Planning
Kalumbi, John	Director, Central Statistical Office
Kamekela, Ray M.	Zambia Bureau of Standards, Laboratory Analyst
Kamwanga, Jollie	Research Coordinator, M&E Department, Ministry of Finance and National Planning
Kaoma, Prudence	M&E Officer, M&E Department, Ministry of Finance and National Planning
Kapwepwe, Edgard	Ministry of Finance, Economic management department, Deputy Director
Kasaro, Brown	Deputy Director, Information Technology, Electoral Commission of Zambia
Kennedy, Musonda	Accountant General
Kunda, Boniface	Ministry of Commerce, Trade & Industry, Industry dept, Chief Economist
Libagi, Daniel S.	Project Officer, Zambia Civic Education Association (ZCEA)
Longo, Tadejo	Monitoring and Evaluation Officer, M&E Department, Ministry of Finance and National Planning
Lubemba, Miyoba	Zambia Development Agency, Manager, export market development
Lugasi, Frederick	District Commissioner, Kaoma District, Western Province
Lukupwa, Emmanuel	District Planning Officer, Kaoma District, Western Province

Name, First Name	Unit / Institution
Lundell, Per	Head of Cooperation, Swedish Embassy (telephone interview)
Lungu, Bazak Zakeyo	EU Delegation Zambia
Lungu, Goodwill	Executive Director, Transparency International Zambia
Lupunga, Paul	Ministry of Finance, Economic Management Dept, Chief Economist
Lwao, Chilambwe	EU Delegation, Economic Section
Maass, Ute	Third Secretary, Development Cooperation and Trade
Mahjoub, M.	EU Delegation
Maimbo, Daniel	Procurement and Contracts Advisor, NAO Support Office, Ministry of Finance and National Planning
Malisa, Nicodemus	Zambia Bureau of Standards, Laboratories Manager
Mampondela, Vanny	Monitoring & Evaluation and Information Specialist, Governance Secretariat
Manda, Elia	Self Help Africa, Head of programmes
Marum, Lawrence H.	Director CDC Zambia
Matanga Simbeleko, Lorraine	EU Delegation
Mazimba, Clare	Ministry of Finance, PEMFA Finance Manager
Mbangu, Martin S.	Road Transport & Safety Agency, Deputy Director, Safety
Mbele, Francis	Office of the Auditor General, Director, Public debt and investment
Mboulo, Seke	Kaoma District Council, Permanent Secretary
Mc Dermott, Peter	DIFID, Lusaka
Mendamenda, Davidson	Deputy Auditor General, Corporate Service Division, Office of the Auditor General
Mukubi, Mudukula	Resource Mobilisation Officer, World Vision Zambia
Mukuka, Daniel	Direct of Works, District Council of Kaoma, Western Province
Mukuka, Peter	Deputy Director, Central Statistical Office
Mukuli, S. Chikuba	Ministry of Finance, Chief Economist
Mukuna, Daniel	Kaoma District Council, Director of Works
Mulumbi, Mwila	Acting Executive Director, Civil Society for Poverty Reduction (CSPR)

Name, First Name	Unit / Institution
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Musashi, Darwin	Ministry of Transport, Works, Supply & Communications, Works Planning Department, Director
Musonda, Anna	Association for Economic and Policy Dialogue
Musonda, Bupe	Ministry of Education-Planning Statistician
Musonda, Kennedy	Ministry of Finance, Accountant General
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Mwale, Engwase B.	Executive Director, Non Governmental Organisations' Coordinating Council (NGOCC)
Mwale, K.	NGOCC
Mwansa, Innocent	Assistant Project Officer, Zambia Civic Education Association
Mwape, Elias	Road Development Agency, Chief Engineer – Design
Mwape, John C.	Ministry of Transport, Works, Supply & Communications, Principal Transport Economist
Mweemba, Healey	Ministry of Commerce, Trade & Industry, EIF Coordinator
Mwela, Mathias	Ministry of Commerce, Trade & Industry, Dept of Trade, Director
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Ndambo, Ndambo E.M.	Zambia Farmers' Union, Executive Director
Ngwira, Eleanor	Ministry of Finance and National Planning, NAO Support Office
Nkulukusa, Felix	Ministry of Finance, Economic Management Dept, Director
Ntswara, Nyonde	PRWEN II Project Coordinator, ActionAid Zambia
Nyambe, Maurice	Programme Officer, ActionAid Zambia
Nyangu, Nelson	Ministry of Transport, Works, Supply & Communications, Transport Planning Department, Director
Pekuri, Kirsi	EU Delegation, Head of Economic Section
Phiri, Boniface	Zambia Congress of Trade Unions, Director research
Phiri, Steven	Registrar, Department of Registrar of NGOs, Ministry of Community Development and Mother & Child Health
Ross, Sally	Office of the Auditor General, Acting Director, Planning & Information
Rostedt, Annelie	Coordination Specialist, United Nations, Lusaka

Name, First Name	Unit / Institution
Rousseau, Stephanie	EU Delegation Zambia, Programme Officer, Regional Cooperation and Sugar Accompanying Measures
Rusonda, John	Federation of Free Trade Union, Director research
Sakala, Ackim	Office of the President, Public Service Management Division, PMEC support service dept.
Seke, Bulo	Council Secretary, District Council, Kaoma District
Sikapizye, Humphrey	Acting Executive Secretary, Zambia Council for Social Development (ZCSD)
Sikazwe, Kapembwa	Road Development Agency, Chief Engineer – Planning
Simbic, Hamu	ZNFU, Head Outreach & member service
Simemba, Moses M.	Zambia Development Agency, Senior export specialist
Sitsala, Monde	Deputy Director and Deputy NAO, Ministry of Finance and National Planning
Situmbeko, Hope	Programme Officer, Regional Integration Support Mechanism, COMESA Secretariat
Stoll, Uwe	Director, KfW Office Zambia, German Development Cooperation (telephone interview)
Ukwimi, Joel M.	Ministry of Finance, Deputy Accountant General
Yamba, Fredson K.	Secretary to the Treasury, Ministry of Finance and National Planning
Zoll, Christian	Counsellor, Development Cooperation, German Embassy
	Ministry of Agriculture, Permanent Secretary
	National Road Fund Agency, Director
	National Road Fund Agency, Evaluation department
	KZF Director, SelfHelp Africa partner
	Road Transport & Safety Agency, CEO

Annex X: Logics of Intervention for EDF9 and EDF10

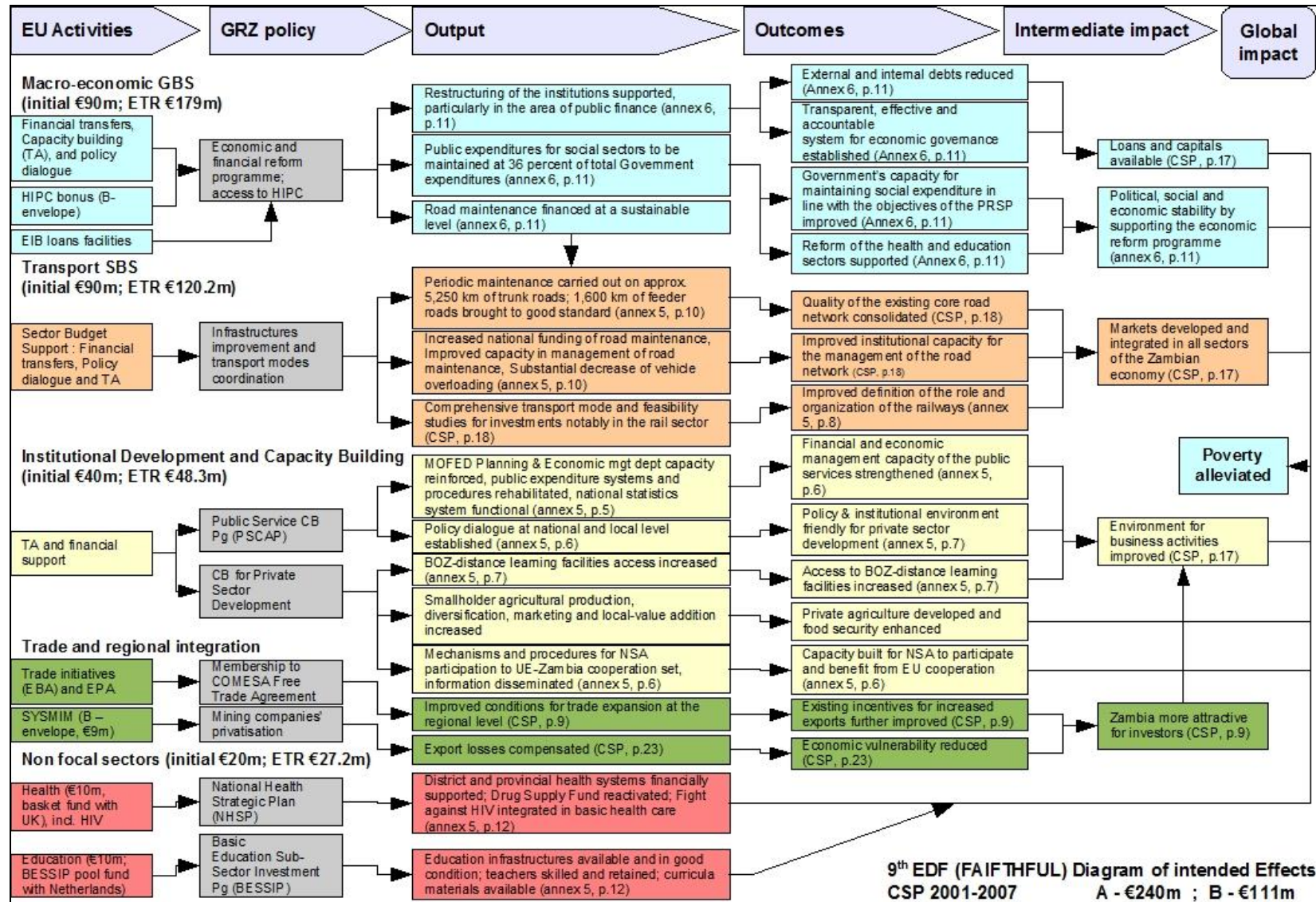
Reconstructed diagrams of intended effects

Based on the two CSPs covering the period under evaluation, the evaluators first have constructed faithful diagrams of the inherent logics of intervention for EDF9 and EDF10.

In a second step reconstructed diagrams were rebuilt in which gaps and missing links of the faithful intervention logics were closed.

In a third step consolidated diagrams of the whole evaluation period were reconstructed to visualise the EU's global and sector-specific intervention logics and to provide a shared reference for formulating the evaluation questions (see below pages).

Figure 10: Faithful EDF9 Intervention Logic (period 2001 – 2007)⁵⁷



⁵⁷ In faithful diagrams, the information is mostly extracted from the sector logical frameworks presented in the CSP's annexes.

Figure 11: Reconstructed EDF9 Intervention Logic (period 2001 -2007)

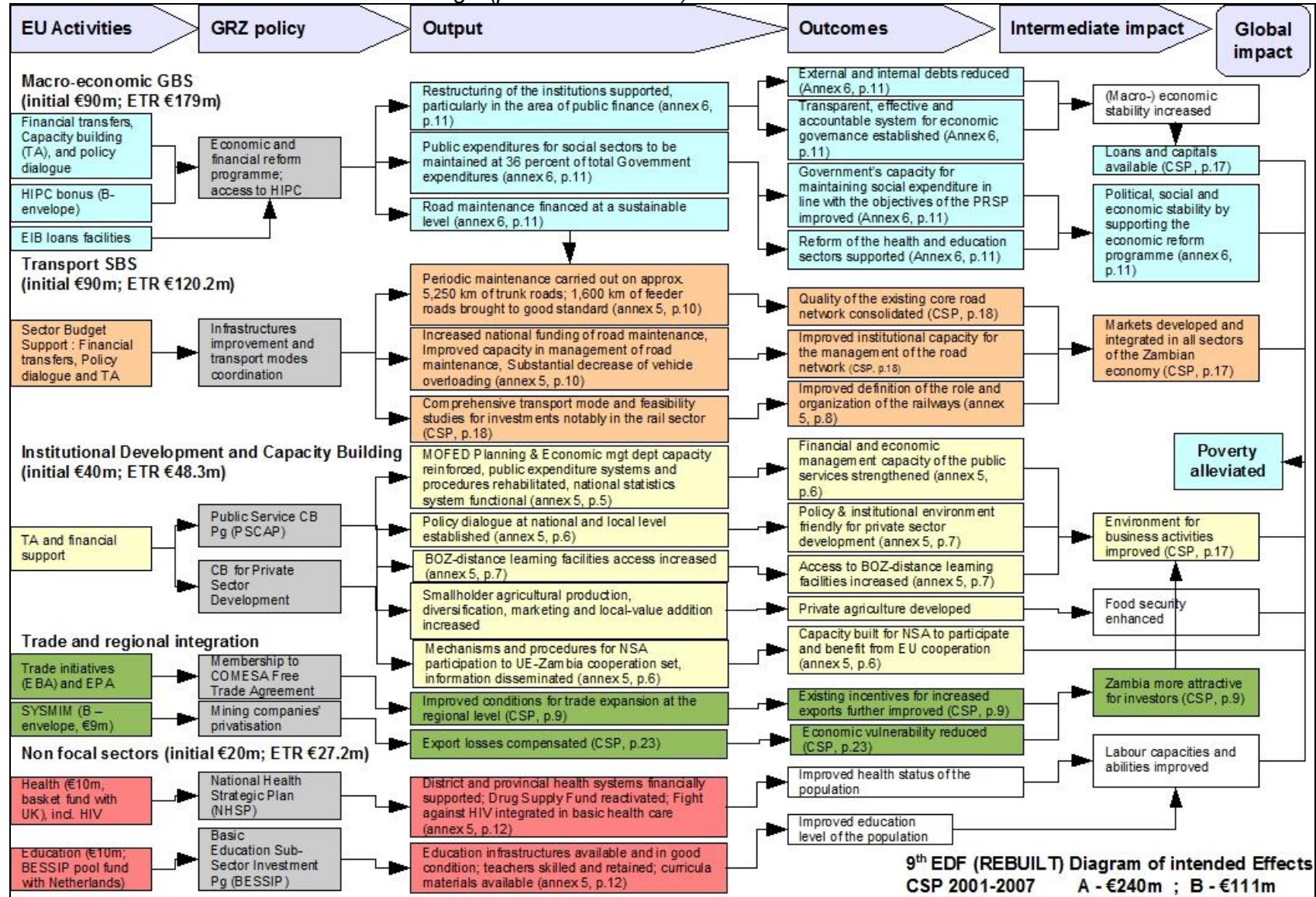
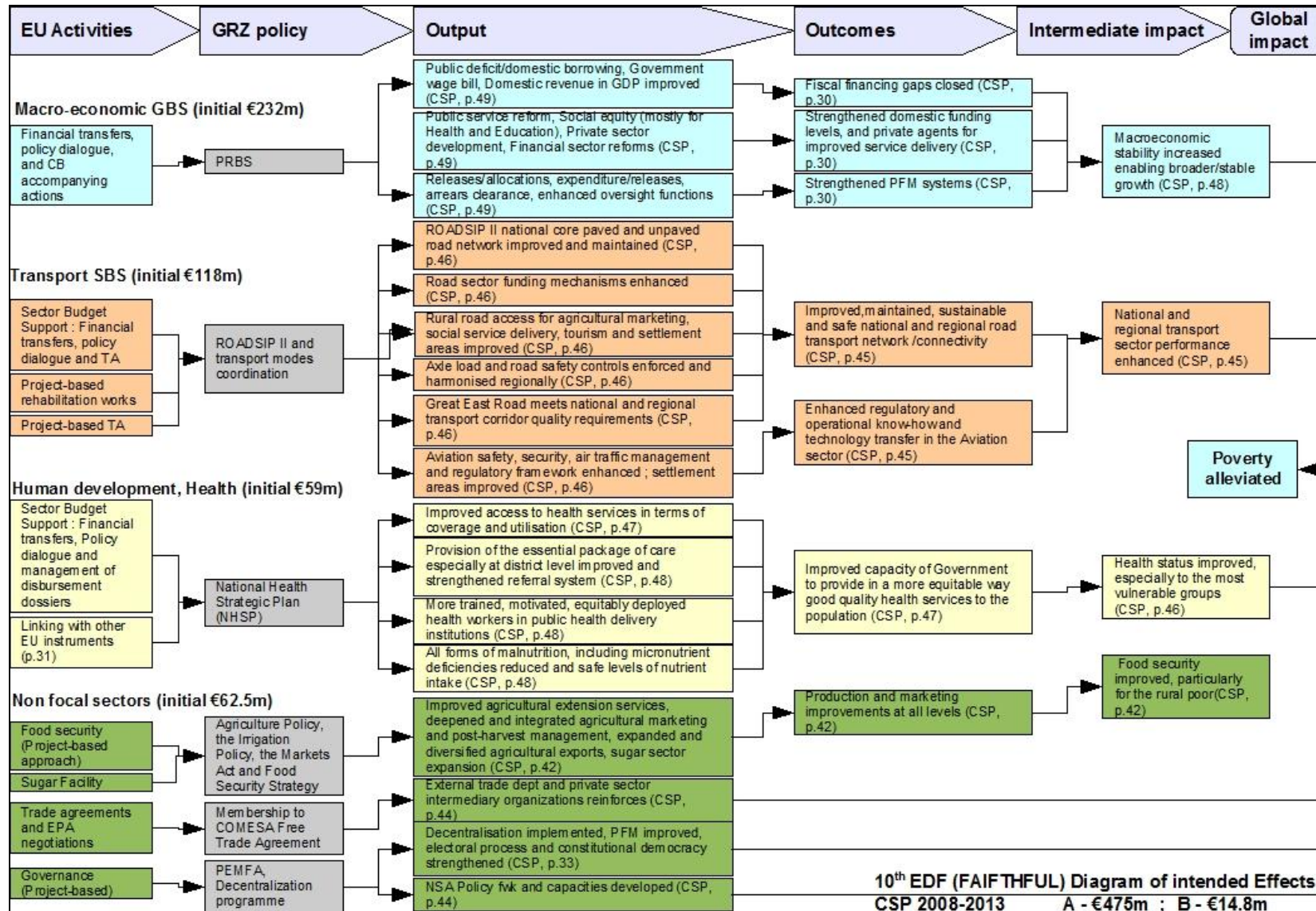


Figure 12: Faithful EDF10 Intervention Logic (period 2008 – 2013)⁵⁸



⁵⁸ In faithful diagrams, the information is extracted from the sector logical frameworks presented in the CSP's annexes.

Figure 13: Reconstructed EDF10 Intervention Logic (period 2008 – 2013)

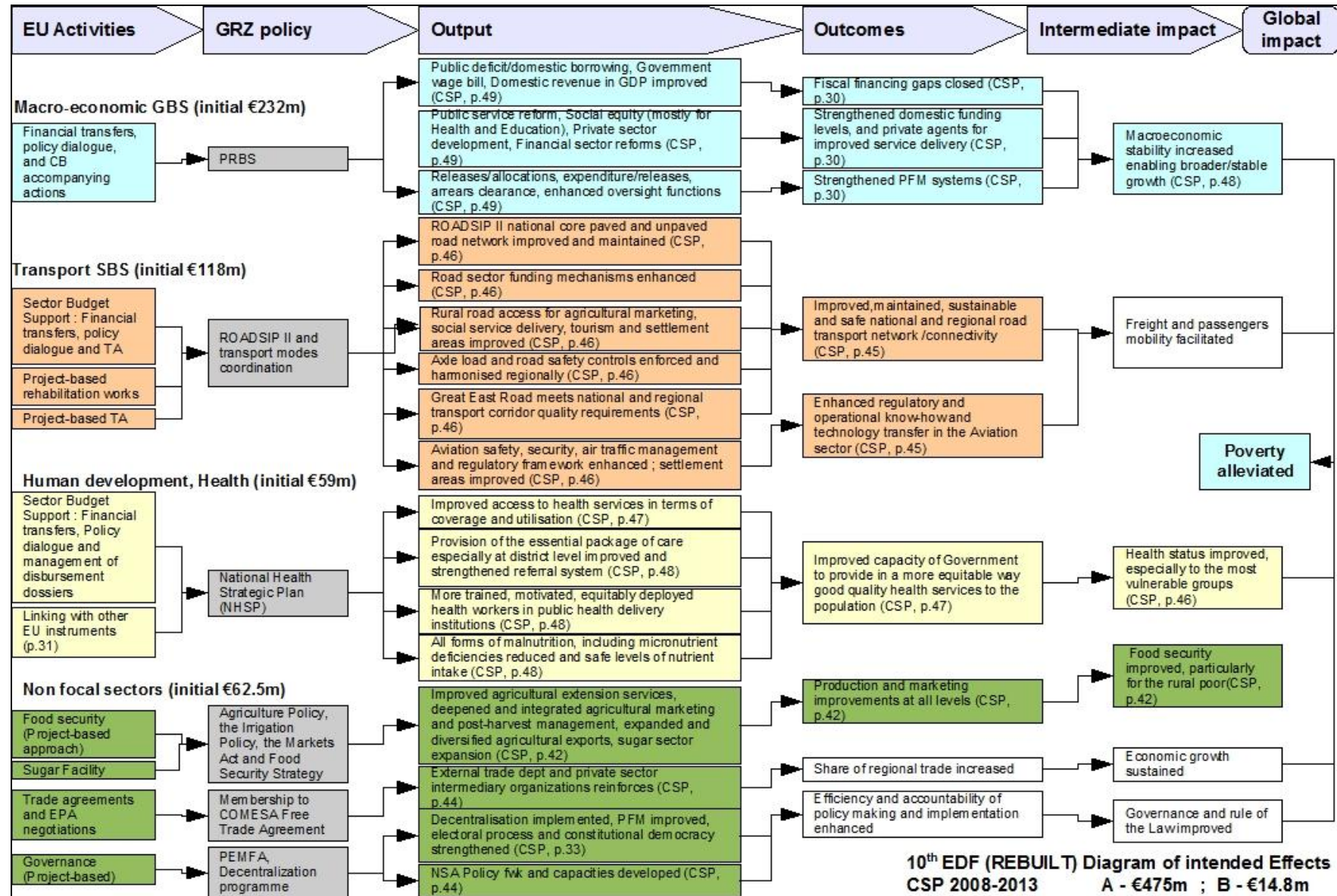


Figure 14: Reconstructed and consolidated Intervention Logic for the evaluation period 2001-2010

