

Evaluation

Complementarity in Finland's Development Policy and Co-operation

A Case Study on Complementarity in Finland's Country Programme in Zambia



Evaluation report 2013:1

MINISTRY FOR FOREIGN AFFAIRS OF FINLAND

- REPORT 2013:1 Complementarity in Finland's Development Policy and Co-operation
A Case Study on Complementarity in Finland's Country Programme in Zambia
ISBN 978-952-281-204-9 (pdf), ISSN 1235-7618
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(Parts 1 Kenya, 2 Mozambique (Eng, Por), 3 Tanzania, 4 Zambia, 5 Lao Peoples
Democratic Republic, 6 Vietnam, 7 Western Balkans, 8 Central America)
ISBN: 978-951-724-878-5 (printed), ISBN: 978-951-724-879-2 (pdf), ISSN: 1235-7618
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Ann Bartholomew

Evaluation report 2013:1

MINISTRY FOR FOREIGN AFFAIRS OF FINLAND

This evaluation was commissioned by the Ministry for Foreign Affairs of Finland to Particip GmbH. The Consultant authors bear the sole responsibility for the contents of the report.

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This report can be accessed at <http://formin.finland.fi/developmentpolicy/evaluations>

Hard copies can be requested from EVA-11@formin.fi

or

Development Evaluation (EVA-11)

The Ministry for Foreign Affairs of Finland

P.O. Box 451

00023 GOVERNMENT

Finland

ISBN 978-952-281-204-9 (pdf)

ISSN 1235-7618

Cover photo: Marja-Leena Kultanen

Cover design: Anni Palotie

Layout: Taittopalvelu Yliveto Oy

Printing house: Kopijyvä Oy

Anyone reproducing the content or part of the content of the report should acknowledge the source. Proposed reference: Bartholomew A 2013 *Complementarity in Finland's Development Policy and Co-operation: A Case Study on Complementarity in Finland's Country Programme in Zambia*. Evaluation report 2013:1. Ministry for Foreign Affairs of Finland, Kopijyvä Oy, Jyväskylä, 103 p. ISBN 978-952-281-204-9 (pdf).

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PREFACE

Finland is committed to improve and accelerate complementarity actions in her development co-operation in order to reach common goals with development partners, as agreed in Busan partnership for effective development co-operation. To this end, the Ministry for Foreign Affairs of Finland commissioned a comprehensive evaluation on the complementarity in Finland's development co-operation. The evaluation was divided to several case studies looking the complementarity in some of the instruments like NGO funding and institutional partnerships as well as in country strategies with Mozambique and Zambia. This desk review report describes the complementarity in the Finland's country programme in Zambia. A separate Synthesis report will aggregate the results and lessons learned in different case studies and will make policy level conclusions and recommendations.

Zambia is one of the principal cooperation partner countries of Finland. Finland's country programme in Zambia was aligned with the national plans of Zambia as well as with the programmes of other donors. However, complementarity with NGOs, the Institutional Co-operation Instrument (IKI) and private sector instruments was limited. Only some of the projects were designed to support sector programmes.

The review emphasized, that there no strategies in place to achieve complementarity with non-traditional development partners such as China, Brazil and South Africa, which all play increasingly important role in Zambia. In this new situation with Zambia, Finland should collaborate more with private sector as well as the other new partners in order to promote the development of just society with equal rights and possibilities for all. The evaluation also recommends to make more use of partner country systems and to strengthen common goals and joint implementation with other instruments of development co-operation.

Helsinki, 20.12.2013

Jyrki Pulkkinen
Director
Development Evaluation

ACKNOWLEDGEMENTS

Research for this evaluation was conducted between January and December 2013 by a team of independent consultants contracted by Particip GmbH, which is based in Freiburg, Germany. The team was composed of: Lucien Bäck, team leader and member of the Policy and Practice and Institutional Co-operation Instrument (IKI) sub-teams; Ann Bartholomew, Policy and Practice sub-team; Gunnar Olesen and Yoseph Endeshaw, Non-Governmental Organisations (NGOs) sub-team; Mette Visti and Ziad Moussa, IKI sub-team. Sincere thanks are due to all members of the evaluation team for their considerable efforts to complete this challenging evaluation.

The team was supported by several Particip staff members and external experts. Regina Husáková (Evaluation Consultant) assumed the responsibility of overall evaluation management and co-ordination, with the support of Sarah Seus (Evaluation Consultant) and Meike Pollakowski (Evaluation Assistant). They all worked under the supervision of Georg Ladj (Head of the Evaluation Unit), who also provided Quality Assurance for this evaluation, together with external expert James Mackie (European Centre for Development Policy Management). In Finland, the team was supported by Anna Pursiainen (Junior Assistant). Language editing of all reports was ensured by David Clare (Editing Consultant, London).

Particip GmbH and the team wish to extend their special thanks notably to the Unit responsible for Development Evaluation (EVA-11) attached to the Office of the Under-Secretary of State in Finland's Ministry for Foreign Affairs (MFA): Aira Päivöke (Director), Kristiina Kuvaja-Xanthopoulos (Counsellor), Riikka Miettinen (Evaluation Officer), and Riitta Oksanen (Senior Adviser).

The team is also grateful to numerous staff members of Finland's Ministry for Foreign Affairs in Helsinki and several Embassies of Finland in partner countries that were visited for patiently responding to numerous questions and freely expressing their views. The team also wishes to express its appreciation of the helpful and dedicated attitude of the NGOs and IKI implementing agencies in Finland, which granted interviews to the respective sub-teams and responded to surveys. Kepa, the Service Centre for Development Co-operation, which is the umbrella organisation for Finnish development NGOs, kindly assisted the NGO sub-team with the logistics in Finland.

Last but not least, Particip GmbH and the team wish to express their gratitude to staff of governmental and non-governmental partner organisations in countries visited, who granted interviews to team members during field visits and/or responded to surveys. Their views and perspectives were particularly important for this evaluation.

ACRONYMS AND ABBREVIATIONS

€	Euros
AAA	Accra Agenda for Action
AfDB	African Development Bank
BA	Busan Agreement
BDSVS	Business Development Services Voucher Scheme
BESIP	Basic Education Support Implementation Plan (BESIP)
COMESA	Common Market for Eastern and Southern Africa
CPG	Co-operating Partners Group
CSO	Civil Society Organisation
DFID	Department for International Development
EIF	Enhanced Integrated Framework
ENRMMP	Environment and Natural Resources Management and Mainstreaming Programme
EQ	Evaluation Question
EU	European Union
FAO	Food and Agriculture Organisation
FNDP	Fifth National Development Plan
GBS	General Budget Support
GoZ	Government of the Republic of Zambia
HDI	Human Development Index
HIP	Harmonisation in Practice Initiative
HoC	Heads of Co-operation
HoM	Heads of Mission
IFAD	International Fund for Agricultural Development
IKI	Institutional Co-operation Instrument/Instituutioiden välisen kehitysyhteistyön instrumentti
ILO	International Labour Organisation
IMF	International Monetary Fund
IUCN	International Union for Conservation of Nature
JASZ	Joint Assistance Strategy for Zambia
Kepa	Finnish Service Centre for Development Co-operation (umbrella organisation for Finnish development NGOs)
LCF	Local Co-operation Fund
MDG	Millennium Development Goal
MFA	Ministry for Foreign Affairs (Finland)
MoESP	Ministry of Education Strategic Plan (Zambia)
MoU	Memorandum of Understanding
MTENR	Ministry of Tourism Environment and Natural Resources (Zambia)
MTK	Central Union of Agricultural Producers and Forest Owners □ Finland
NAO	National Audit Office (Finland)
NGO	Non-Governmental Organisation

ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
OECD-DAC	OECD Development Assistance Committee
OPM	Oxford Policy Management
PAF	Performance Evaluation Framework
PD	Paris Declaration
PEMFAP	Public Expenditure Management and Financial Accountability Programme
PFAP	Provincial Forestry Action Programme
PIU	Project Implementation Unit
PLARD	Luapula Agriculture and Rural Development
PRS	Poverty Reduction Strategy
PRSP	Poverty Reduction Strategy Paper
PSDRP	Private Sector Development Reform Programme
SBS	Sector Budget Support
SIP	Small-Scale Irrigation Project
SNDP	Sixth National Development Plan
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WHIP	Wider Harmonisation in Practice Group
WP-EFF	Working Party on Aid Effectiveness
WTO	World Trade Organisation
ZARI	Zambia Agricultural Research Institute

Evaluointi täydentävyydestä Suomen kehityspolitiikassa ja kehitysyhteistyössä

Osaevaluointi täydentävyydestä Suomen maaohjelmasta Sambiassa

Ann Bartholomew

Suomen ulkoasiainministeriön evaluointiraportti 2013:1

ISBN 978-952-281-204-9 (pdf); ISSN 1235-7618

Koko raportti on luettavissa osoitteessa <http://formin.finland.fi/developmentevaluation/evaluations>

TIIVISTELMÄ

Tämä osaevaluointi täydentävyydestä Suomen maaohjelmassa Sambiassa on osa Suomen kehityspolitiikan ja kehitysyhteistyön täydentävyyden laajempaa evaluointia. Tutkimus rajattiin asiakirjojen kattavaan analysointiin ja joihinkin ulkoasiainministeriön henkilöstön kanssa Suomessa tehtyihin haastatteluihin.

Vuosina 2004–2012 Pariisin julistuksen tukema avun harmonisoinnin periaate edisti kehitysyhteistyön ulkoista täydentävyyttä Sambian hallituksen ja muiden avunantajien kanssa enemmän kuin Suomen kehityspolitiikan linjaukset sinänsä. Suomen maaohjelma Sambiassa sovitettiin yhteen Sambian hallituksen keskeisimpien kansallisten suunnitelmien kanssa. Yhteistyö muiden avunantajien kanssa toimi hyvin. Suomi ei kuitenkaan onnistunut rajaamaan maaohjelmaansa yleiseen budjettitukeen ja kolmeen keskeiseen sektoriin, mikä olisi ollut osoitus paremmasta työnjaosta muiden avunantajien kanssa.

Ulkoasiainministeriö ohjeisti ja seurasi ohjelmia vain vähän täydentävyyden saavuttamiseksi Suomen kehitysyhteistyön eri instrumenttien välillä. Täydentävyys institutioiden välisen kehitysyhteistyön instrumentin (IKI), kansalaisjärjestöyhteistyön sekä alueellisten ohjelmien ja yksityisen sektorin kanssa oli vähäistä. Vain muutamat hankkeet oli suunniteltu nimenomaan tukemaan sektoriohjelmia.

Evaluoinnissa suositellaan, että ulkoista täydentävyyttä vahvistetaan käyttämällä enemmän kumppanimaiden omia järjestelmiä sekä vähentämällä sektorien ja ohjelmien lukumäärää. Sisäistä täydentävyyttä voidaan edistää määrittelemällä selvemmin yhteiset päämäärät ja tavoitteet sekä vahvistamalla yhteistyötä maaohjelman, kansalaisjärjestöyhteistyön ja IKI-hankkeiden välillä.

Ulkoasiainministeriön olisi myös lisättävä Sambiasta vastaavien pysyvien työntekijöiden määrää Afrikan ja Lähi-idän osastolla ohjelman tehokkuuden takaamiseksi.

Avainsanat: täydentävyys, harmonisointi, yhteensovittaminen, maaohjelmat, Sambia

Utvärdering av komplementaritet i Finlands utvecklingspolitik och -samarbete

Fallstudie av komplementaritet i Finlands landprogram för Zambia (IKI)

Ann Bartholomew

Utvärderingsrapport för Utrikesministeriet i Finland 2013:1

ISBN 978-952-281-204-9 (pdf); ISSN 1235-7618

Rapporten finns i sin helhet på adressen <http://formin.finland.fi/developmentevaluation/evaluations>

REFERAT

Denna fallstudie av komplementariteten i landprogrammet för Zambia ingår i en större utvärdering av komplementariteten i Finlands utvecklingspolitik och -samarbete. Fallstudien bestod av en omfattande dokumentgranskning samt ett begränsat antal intervjuer med Utrikesministeriets (UM) personal i Helsingfors.

Under den utvärderade perioden (2004–2012) var drivkraften för extern komplementaritet i Zambia i huvudsak landets ramverk för harmonisering av biståndet, underbyggda av Parisdeklarationen, snarare än av Finlands politiska riktlinjer och former för genomförandet. Finlands landprogram anpassades till den zambiska regeringens (GoZ) primära nationella planer. Samarbetet med övriga givare var gott. Finland lyckades inte begränsa sitt landprogram till tre sektorer samt allmänt budgetstöd, vilket skulle ha inneburit en större arbetsfördelning bland givarna.

Det fanns bara begränsad styrning och övervakning från UM:s sida avseende hur man åstadkommer intern komplementaritet mellan Finlands olika utvecklingsinstrument. Komplementariteten med icke-statliga organisationer (NGO), Institutionella samarbetsinstrumentet (IKI), regionala program och den privata sektorn var begränsad i och med att endast vissa projekt hade planerats specifikt för att stödja sektorsprogram.

Utvärderingen rekommenderar förstärkning av den externa komplementariteten genom större utnyttjande av partnerländernas system och minskning av antalet sektorer och program. Den interna komplementariteten kan ökas genom formulering av gemensamma mål och syften samt förstärkning av gemensam implementering av landprogrammet, NGO-samarbetsprogrammen och IKI-instrumentet.

UM bör också öka de fasta personalresurserna för Zambiaärenden på avdelningen för Afrika och Mellanöstern för att säkerställa större effektivitet i programmet.

Nyckelord: komplementaritet, harmonisering, anpassning, landprogram, Zambia

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Evaluation report of the Ministry for Foreign Affairs of Finland 2013:1

ISBN 978-952-281-204-9 (pdf); ISSN 1235-7618

The full report can be accessed at <http://formin.finland.fi/developmentevaluation/evaluations>

ABSTRACT

The case study on complementarity in the country programme in Zambia is part of a broader evaluation of complementarity in Finland's development policy and co-operation. The case study was limited to an extensive review of documents and limited interviews with Ministry for Foreign Affairs (MFA) staff in Helsinki.

During the period under review (2004-2012), external complementarity in Zambia was mainly driven by country frameworks for aid harmonisation, underpinned by the Paris Declaration, rather than by Finland's policies and implementation modalities. Finland's country programme was aligned with the main national plans of the Government of Zambia (GoZ). Collaboration was good with other donors. Finland did not succeed in limiting its country programme to three sectors, plus general budget support, which would have reflected a greater division of labour with other donors.

There was little guidance and oversight by the MFA, how to achieve internal complementarity between different instruments of Finnish cooperation. Complementarity with Non-Governmental Organisations (NGOs), the Institutional Co-operation Instrument (IKI) regional programmes, and the private sector was limited, as only some projects were specifically designed to support sector programmes.

The evaluation recommends that external complementarity be strengthened by making more use of partner country systems and by reducing the number of sectors and programmes. Internal complementarity could be enhanced by the formulation of common goals and objectives, and by strengthening joint implementation between the country programme and those of NGO co-operation and the IKI instrument.

The MFA should also increase permanent staffing for the Zambia Desk in the Department for Africa and the Middle East in the MFA to ensure greater programme efficiency.

Keywords: complementarity, harmonisation, alignment, country programmes, Zambia

YHTEENVETO

Tässä osaevaluoinnissa tarkastellaan Suomen maaohjelmaa Sambiassa (2004–2012). Tavoitteena oli arvioida, missä määrin täydentävyyteen pyrkivä suomalainen ja kansainvälinen kehityspolitiikka näkyivät maaohjelmassa. Evaluoinnin kohteena oli myös se, miten tämä vaikutti maaohjelman toteuttamiseen. Tämä arviointi on osa Suomen kehityspolitiikan ja kehitysyhteistyön täydentävyyden laajempaa evaluointia.

Täydentävyys Suomen kehitysyhteistyössä Sambiassa

Ulkoinen täydentävyys

Yleisesti ottaen Suomen maaohjelma Sambiassa täydensi Sambian hallituksen ja muiden yhteistyökumppanien kehityspolitiikkaa. Ohjelma sovitettiin yhteen Sambian keskeisimpien kansallisten suunnitelmien kanssa. Näitä olivat viides ja kuudes kansallinen kehityssuunnitelma sekä Visio 2030.

Suomi keskitti toimensa Sambian hallituksen priorisoimille aloille yhteistyössä muiden avunantajien kanssa ja laati sektoriohjelmansa hallituksen suunnitelmien pohjalta. Tärkeimmät sektoriohjelmat, joissa Suomi oli osallisena – koulutuksen, maatalouden, metsätalouden, ympäristön ja yksityisen sektorin kehittäminen – perustuivat kaikki Sambian hallituksen omiin sektorisuunnitelmiin ja strategioihin, joita Sambia myös itse rahoitti.

Lisäksi Suomi pyrki muihin päämääriin, jotka eivät olleet keskeisiä kehitystavoitteita Sambian hallitukselle. Näitä olivat esimerkiksi ihmisoikeusperustainen lähestymistapa ja tuki kansalaisyhteiskunnan järjestöille.

Suurin osa Suomen maaohjelmasta Sambiassa toteutettiin yhteistyössä muiden kehitysyhteistyökumppaneiden kanssa. Sektoritasolla nähtiin joitain hyviä esimerkkejä yhteisiin päämääriin ja tavoitteisiin perustuvasta yhteistyöstä. Esimerkkejä ovat Suomen tuki yhdessä muiden Pohjoismaiden kanssa ympäristösektorilla sekä Yhdysvaltojen, Ruotsin, Euroopan unionin ja kehityspankkien kanssa maataloussektorilla. Yleiseen budjettitukeen liittyvässä yhteistyössä oli kuitenkin ongelmia, jotka johtuivat erilaisista tavoitteista avunantajaryhmän sisällä.

Suomi ei noudattanut aloitetta avunantajien välisestä työnjaosta, josta sovitaan kumppanimaissa ja EU:n ohjeissa keskittää tuki kolmelle sektorille sekä yleiseen budjettitukeen. Suomi poistui koulutussektorilta, mutta Suomen ohjelma Sambiassa koostui suuresta määrästä pienempiä ohjelmia, jotka oli ryhmitelty neljälle sektorille. Tämä oli ristiriidassa myös Suomen vuonna 2012 laatimien toimintalinjausten kanssa, joissa ohjeistettiin edustustoja vähentämään hankkeiden ja ohjelmien määrää.

Suomen ja Sambian hallituksen yhteistyössä ei ollut tarvittavia välineitä kahdenvälisen tilivelvollisuuden varmistamiseksi. Ainoa väline, jolla hallituksen ja yhteistyökumppanin suoriutumista seurattiin, oli Pariisin julistukseen liittyvä seurantatutkimus.

Käytössä ei ollut strategioita tai mekanismeja täydentävyyden saavuttamiseksi uusien kehityskumppaneiden kuten Kiinan, Brasilian ja Etelä-Afrikan kanssa, vaikka näiden rooli Sambiassa korostui jatkuvasti.

Sisäinen täydentävyys

Suomen kehityspolitiikka oli määritelty lähinnä päämäärien ja periaatteiden tasolla, mutta ei ollut tarkoin eritelty, miten sisäinen täydentävyys maatasolla saavutetaan. Vuoteen 2012 mennessä oli annettu vain vähän ohjeistusta kahdenvälisen yhteistyön täytäntöönpanosta maatasolla.

Sambiassa täydentävyys Suomen kehitysyhteistyön eri instrumenttien välillä oli vaihtelevaa. Jotkut hankkeet oli nimenomaan suunniteltu tukemaan sektoriohjelmaa. Esimerkiksi pienviljelijöiden tuotannon kehittämisohjelma, jota Suomi toteutti Kansainvälisen maatalouden kehittämisrahaston (IFAD) kanssa, oli suunniteltu Luapulan maatalouden ja maaseudun kehittämisen ohjelman vaiheen II tukitoimien täytäntöönpanemiseksi laajemmassa mittakaavassa.

Monia hankkeita ja ohjelmia ei kuitenkaan ollut sovitettu kunnolla yhteen maaohjelman tavoitteiden kanssa. Näin oli esimerkiksi kansalaisjärjestöjen kohdalla. Ulkoasiainministeriön kansalaisjärjestöyksikön ja Suomen Lusakan edustuston välillä oli vain vähän yhteydenpitoa. Kuitenkin paikallisen yhteistyön määrärahat täydensivät paremmin maaohjelmaa, sillä edustusto vastasi päätöksenteosta ja hallinnosta.

Toteutetut kaksi alueellista ja yksityisen sektorin ohjelmaa osattiin sovittaa yhteen yleisten ohjelmavoitteiden ja muiden hankkeiden ja ohjelmien kanssa, sillä Suomen edustustolle Lusakassa tiedotettiin niistä asianmukaisesti. Edustusto ilmoitti kuitenkin, ettei sillä ollut riittäviä tietoja IKI-hankkeista.

Yhteistyö Suomen Sambian edustuston ja ulkoasiainministeriön Afrikan ja Lähi-idän osaston välillä toimi hyvin, mutta Sambiasta vastaava henkilöstömäärä osastolla oli liian pieni. Tämä johti joihinkin jatkuvuuteen ja institutionaaliseen muistiin liittyviin ongelmiin.

Keskeinen heikkous oli myös se, ettei Suomen edustustossa Lusakassa ollut käytössä mekanismeja, joiden avulla olisi seurattu ulkoasiainministeriöstä tulevien toimintalinjauksen ja ohjeiden noudattamista sekä arvioitu ja varmistettu järjestelmällisesti täydentävyyden toteutumista.

Läpileikkaavat tavoitteet

Suomi käytti täydentävyyden edistämiseen liittyviä toimenpiteitä yleiseen budjettituen kautta tukeakseen läpileikkaavia tavoitteita, kuten ympäristön kestävyyttä, mutta onnistui heikommin muiden tavoitteiden toteutuksessa. Sukupuolten tasa-arvo ja HIV/AIDS:in torjuminen eivät näkyneet Suomen poliittisessa vuoropuhelussa, eikä niitä sovellettu ohjelmien toteutuksessa vaikka ne korostuivat Sambian maaohjelman asiakirjoissa.

Sambian maaohjelman tehokkuus

Suomi edistyi aluksi hyvin Pariisin julistuksen indikaattorien saavuttamisessa, mutta myöhempinä vuosina tämä prosessi muutti suuntaa. Lopulta Sambian valtion järjestelmiä käytettiin vähemmän ja ohjelma-avun kautta kanavoitiin vähemmän tukea. Muiden avunantajien kanssa tehty yhteistyö toi mukanaan myös suuria kuluja.

Tarkasteluna aikana käytössä ei ollut järjestelmää ohjelmien seuraamiseksi ja arvioimiseksi. Myös taloushallinnosta saatiin vain vähän tietoa ja jonkin verran näyttöä, että hankkeiden ja ohjelmien hallintajärjestelmät saattoivat olla riittämättömiä.

Täydentävyyden tulokset ja kestävyys

Tulokset viittaavat siihen, että maaohjelman täydentävyyden lisääminen oli tuloksellista silloin, kun hallituksen ja yhteistyökumppanien tavoitteet oli sovitettu yhteen ja Sambialla oli vahva omistajuus ohjelmista.

Tärkein taustatekijä täydentävyyden ja koordinoinnin lisäämisessä Sambiassa oli avunantajien välinen yhteisymmärrys. Avunantajat toteuttivat joukon aloitteita lisätäkseen avun tuloksellisuutta. Myöhempinä vuosina tämä prosessi alkoi muuttaa suuntaa tai hidastua. Tämä johtui monista tekijöistä, kuten niin kutsutusta ”avunantajien väsymisestä”, rahoitukseen liittyvien väärinkäytösten ilmenemisestä ja yhteistyökumppanien erilaisista tavoitteista. Lisäksi uudet kehitysyhteistyökumppanit alkoivat hallita enemmän yhteistyötä eikä mahdollisuuksia täydentävyyden lisäämiseen löydetty riittävästi.

SAMMANFATTNING

Denna granskning baserad på dokumentation är en studie av Finlands landprogram för Zambia (2004–2012). Målet var att bedöma i vilken utsträckning Finlands och internationella utvecklingspolitiska riktlinjer för komplementaritet återspeglades i programmet. Dessutom bedömdes hur detta påverkade genomförandet av Finlands program. Granskningen utgör en del av resultaten från en större utvärdering av komplementariteten i Finlands utvecklingspolitik och -samarbete.

Komplementaritet i Finlands utvecklingssamarbete i Zambia

Extern komplementaritet

Finlands Zambiaprogram var i stora drag komplementärt med den zambiska regeringens och övriga utvecklingspartners politiska riktlinjer. Programmet var anpassat till Zambias primära nationella planer – femte och sjätte nationella utvecklingsplanen och visionen 2030.

I samarbete med övriga givare fokuserade Finland på områden som zambiska regeringen prioriterat och planerat sektorsprogram utifrån regeringens sektorsplaner. Alla stora sektorsprogram där Finland deltar – utbildning, utveckling av den privata sektorn, jordbruk, skogsbruk och miljö – var baserade på regeringens sektorsplaner och finansierade tillhörande strategier.

Å andra sidan försökte Finland också uppnå mål som inte var bland zambiska regeringens viktigaste utvecklingsmål – t.ex. en människorättsbaserad ansats och stöd till civilsamhällets organisationer (CSO).

Merparten av Finlands program genomfördes i samverkan med andra utvecklingspartner och det fanns en del goda exempel på samarbete utifrån gemensamma mål och syften på sektorsnivå. Sådana exempel är Finlands stöd till miljösektorn med andra nordiska länder och stödet till jordbrukssektorn tillsammans med Europeiska unionen (EU), USA, Sverige och utvecklingsbankerna. Det uppstod dock problem inom allmänt budgetstöd (GBS) på grund av givargruppens olika agendor.

Finland följde inte initiativet för arbetsfördelning mellan givarna, framförallt i fråga om processen i landet, eller EU:s riktlinjer om fokusering av stödet till tre sektorer och GBS. Finland lämnade utbildningssektorn, men den finländska programhelheten bestod ändå av ett stort antal program fördelade på fyra sektorer. Detta var också i strid med Finlands utvecklingspolitiska åtgärdsprogram från 2012, som gav ambassaderna anvisningar om att minska antalet projekt och program.

Det fanns inga processer för säkerställande av Finlands och den zambiska regeringens gemensamma bilaterala ansvar. Förhållandet skiljde sig inte från det som övriga givare hade med regeringen. Den enda övervakningen av regeringens och samarbetsparternas prestation skedde genom Parisdeklarationens övervakningsundersökning.

Inga strategier eller mekanismer fanns för att åstadkomma komplementaritet med icke-traditionella utvecklingspartner – t.ex. Kina, Brasilien och Sydafrika – som spelade en allt viktigare roll i Zambia.

Intern komplementaritet

Finlands utvecklingspolitiska riktlinjer angav övergripande mål och principer, men var inte specifika med avseende på hur man uppnår intern komplementaritet på landsnivå. Fram till 2012 förekom endast begränsad styrning avseende genomförandet av det bilaterala samarbetet på landsnivå.

Komplementariteten mellan olika instrument i Finlands utvecklingssamarbete i Zambia varierade. Vissa projekt hade planerats specifikt för att stödja sektorsprogram. Ett exempel är programmet för ökad produktivitet hos småbrukare, som Finland planerade tillsammans med Internationella jordbruksutvecklingsfonden (IFAD) för att skapa möjligheter att i större skala genomföra fas II av programmet för jordbruks- och landsbygdsutveckling i Luapula.

Det fanns dock många projekt och program som inte var väl anpassade till landprogrammets mål. Ett sådant exempel är det NGO-stöd som tillhandahölls direkt av UM i Helsingfors. Det har förekommit endast begränsad kontakt mellan NGO-enheten i Helsingfors och Finlands ambassad i Lusaka. I motsats till detta var de lokala samlingsföretagen mer komplementära med landprogrammet i och med att ambassaden ansvarade för beslutsfattandet och administrationen.

De två programmen för regionerna och den privata sektorn var anpassade till de övergripande programmålen och andra projekt och program i och med att Finlands ambassad i Lusaka var ändamålsenligt informerad. Ambassaden rapporterade dock att den saknade tillräcklig information om IKI-projekten.

Arbetsfördelningen mellan UM och Finlands ambassad i Zambia var effektiv, men personalresurserna för Zambiaärenden på avdelningen för Afrika och Mellanöstern blev en problematisk fråga. Detta resulterade i bristande kontinuitet i stödet och det institutionella minnet.

En central brist var att man varken i Helsingfors eller på Finlands ambassad i Lusaka hade en mekanism för övervakning av överensstämmelsen med riktlinjerna och styrningen från Helsingfors och en systematisk bedömning och för säkerställande av hur komplementariteten realiserades.

Genomgående mål

Finland kunde beakta miljömässig hållbarhet med hjälp av åtgärder för komplementaritet, framförallt genom deltagande i GBS, men var mindre framgångsrik på andra områden. Jämställdhet och bekämpning av hiv/aids, som poängterades i landprogramdokumenten för Zambia, framhölls inte i Finlands politiska dialog och överfördes inte till genomförandet av programmet.

Programmets effektivitet

I början gjorde Finland goda framsteg mot uppfyllelse av Parisdeklarationens indikatorer, men utvecklingen vände under de senaste åren. Finland utnyttjade regeringens system i minskande grad och mindre stöd gavs genom programbistånd. Samarbetet med övriga givare medförde höga transaktionskostnader.

Det fanns ingen systematisk process för att granska och utvärdera program under utvärderingsperioden. Det fanns lite information om den ekonomiska förvaltningen samt vissa belägg för att systemen för projekt- och programledning inte har varit ändamålsenliga.

Personalresurserna för Zambiaärenden på avdelningen för Afrika och Mellanöstern var otillräckliga, vilket ledde till bristfällig kontinuitet.

Resultat och komplementaritetens hållbarhet

Resultaten från programstödet pekar på att ökad komplementaritet var ett effektivt medel för att uppnå resultat när regeringen hade ett starkt ägarskap och regeringens och samarbetsparternas mål samordnades.

Den främsta drivkraften mot ökad komplementaritet och samordning i Zambia var samförståndet mellan givarna, som genomförde flera initiativ för att öka biståndets effektivitet. Denna utveckling började vända eller försvagas under de senaste åren. Orsaken var en rad faktorer, bl.a. "givartrötthet", framkomsten av finansiella oegentligheter och samarbetsparternas olika agendor. Icke-traditionella samarbetsparter blev mer dominerade utan att man sökte möjligheter till komplementaritet.

SUMMARY

This desk review provides a study of Finland's country programme in Zambia (2004-2012). The objective was to assess the extent to which Finnish and international development policies aimed at complementarity have been reflected in Finland's country programme in Zambia. It also assessed how this impacted on implementation of Finland's programme. This review forms part of the outputs of the Evaluation of Complementarity in Finland's Development Policy and Co-operation.

Complementarity in Finland's development co-operation in Zambia

External complementarity

Finland's programme in Zambia was broadly complementary with policies of the Government of the Republic of Zambia (GoZ) and those of other development partners. The programme was aligned with Zambia's main national plans – the Fifth and Sixth National Development Plans and the Vision 2030.

In co-operation with other donors, Finland focused activities on areas of government priority and undertook sector programming based on government sector plans. The major sector programmes that Finland was engaged with – in education, private sector development, agriculture, forestry and the environment – were all based on GoZ sector plans and provided funds for these strategies.

However, Finland also pursued goals that were not key development objectives for the GoZ – for example, a human rights-based approach and support to civil society organisations (CSOs).

The majority of Finland's programme was undertaken in collaboration with other development partners, and there were some good examples of joint work based on shared goals and objectives at sector level. Examples are Finland's support with the Nordic countries in the environment sector, and with the European Union (EU), United States, Sweden and the Development Banks in the agriculture sector. However, there were problems experienced with General Budget Support (GBS) due to diverging agendas within the donor group.

Finland did not comply with the initiative aimed at a division of labour between donors, particularly with regard to the in-country process or the EU guidelines to focus support on three sectors and GBS. Finland did exit from the education sector, but the programme consisted of a large number of programmes, grouped into four sectors. This also was in contradiction to the Finland's Development Policy of 2012, which directed Embassies to reduce the number of projects and programmes.

There were no processes to ensure bilateral joint accountability between Finland and the GoZ. The relationship did not differ from that of other donors with the GoZ. The only monitoring of government and co-operating partner performance was through the Paris Declaration Monitoring Survey.

No strategies or mechanisms were in place to achieve complementarity with non-traditional development partners – such as China, Brazil and South Africa – that played an increasingly important role in Zambia.

Internal complementarity

Finland's development policies were at the level of overarching goals and principles, but not specific how to achieve internal complementarity at country level. Until 2012, there was little guidance given on implementation of bilateral cooperation at country level.

In Zambia, complementarity between different instruments of Finland's development co-operation was mixed. Some projects were specifically designed to support sector programmes. For example, the Smallholder Productivity Promotion Programme that Finland undertook with the International Fund for Agricultural Development (IFAD) was designed to provide an opportunity to implement the Luapula Agriculture and Rural Development programme phase II interventions on a wider scale.

There were, however, many projects and programmes that were not well aligned with the country programme objectives. Such was the case, for example, for NGO support provided directly by the MFA in Helsinki. There was little contact between the NGO unit in Helsinki and the Embassy of Finland in Lusaka. By contrast, Local Co-operation Funds were more complementary with the country programme, as the Embassy was responsible for decision-making and administration.

The two regional and private sector programmes undertaken were aligned with overall programme objectives and other projects and programmes, as the Embassy of Finland in Lusaka was adequately informed. However, the Embassy reported that it did not have sufficient information on IKI projects.

The division of labour between the MFA and the Embassy operated effectively, but staffing of the Zambia desk in the Department for Africa and the Middle East was an issue. This resulted in a lack of continuity in support and institutional memory.

A key weakness was that there were no mechanisms in either Helsinki or in the Embassy to monitor compliance with policies and guidance from Helsinki and to systematically assess and ascertain how complementarity was implemented.

Cross-cutting themes and objectives

Finland was able to use measures aimed at complementarity to address environmental sustainability, particularly through participation in GBS, but was less successful in other areas. Gender equality and combating HIV/AIDS, although highlighted in country programme documents, did not feature in Finland's policy dialogue, and was not translated into programme implementation.

Efficiency of the country programme in Zambia

Finland made good progress towards meeting the Paris Declaration indicators initially, but in later years this process reversed. Less use was eventually made of government systems, and less support was provided through programme aid. Joint work with other donors entailed a high transaction cost.

There was no systematic process to review and evaluate programmes during the evaluation period. There was also little information on financial management and some evidence that project and programme management systems may have been inadequate.

Staffing of the Zambia Desk in the Department for Africa and the Middle East was inadequate leading to a lack of continuity.

Results and sustainability of complementarity

Results from programmatic support suggest that increased complementarity was effective in achieving results when there was strong government ownership, and if the objectives of the government and co-operating partners were aligned.

The main driver towards increased complementarity and co-ordination in Zambia was the consensus among donors, who implemented a series of initiatives to increase aid effectiveness. In later years, this process began to reverse or slow down. This was the result of a number of factors, such as “donor fatigue”, the emergence of financial irregularities and diverging co-operating partner agendas. Non-traditional development partners also became more dominant, without opportunities for complementarity being sought.

Summary of Main Findings, Conclusions and Recommendations

Findings	Conclusions	Recommendations
Information Management		
<p>Monitoring and evaluation of specific programmes was not systematically undertaken, as demonstrated by a lack of documentation in this area. There was also evidence that project and programme management systems were inadequate. For example, an audit of the Business Development Services Voucher Programme and the PEMFA programme found financial irregularities.</p>	<p>The MFA in Helsinki did not demand rigorous reporting, monitoring and evaluation from the Embassy of Finland in Lusaka. As a result it was not possible to monitor results systematically and demonstrate the effectiveness of the Finland's country programme performance or to learn lessons for future programming.</p>	<p>Systems for regular monitoring and evaluation of the performance of projects, programmes, IKI, Local cooperation Fund (LCF) and NGO projects run by the MFA need to be established in country strategy documents (possibly in an annex to the current Country Strategy for 2013-2016) to demonstrate effective programme performance and to learn lessons for future programming. Implementation of the guidelines outlined in the Manual for Bilateral Programmes 2012 is expected to address this issue.</p>
External Complementarity		
<p>The programme was broadly aligned with GoZ policies and strategies, while there were shared goals between donors and Finland in sector programmes.</p> <p>Finland's use of country systems of Zambia decreased in recent years. However, funding through GoZ institutions and systems tended to slow down implementation, due to capacity issues.</p>	<p>The decline in the use of country systems by Finland was due to concerns over weak public financial management systems in Zambia. Further strengthening of GoZ public financial management systems is likely to be necessary in order to reverse this trend.</p> <p>Results from programme support suggested that increased</p>	<p>Finland needs to increase the use of Zambia's financial and administrative systems to increase external complementarity in line with Paris Declaration commitments. Where public financial management systems are weak, increased support should be given to strengthen these systems. Further, capacity building support should be considered to strengthen government systems and capacity to ensure quick</p>

<p>Mutual accountability processes only took place through the Paris Declaration Monitoring Survey.</p> <p>Non-traditional development partners such as China, Brazil and South Africa, were not included in aid co-ordination frameworks.</p>	<p>complementarity was effective in achieving results principally, when there was strong GoZ ownership and if the objectives of the GoZ and donors were aligned.</p> <p>The presence of non-traditional development partners and the fact that Official Development Assistance (ODA) is now only a small part of the GoZ budget, may make external complementarity more difficult to achieve in the future.</p>	<p>er implementation of joint programmes.</p> <p>Programmatic support should be undertaken only where there is strong government ownership and the objectives of the GoZ and Finland are aligned.</p> <p>Further efforts should be made to work with non-traditional development partners and, where possible, to increase complementarity with their programmes. Finland should lobby with the GoM and in the donor community to invite non-traditional partners to development forums and initiatives to increase complementarity with their programmes where possible.</p>
<p>Internal Complementarity</p>		
<p>Finland's country programme in Zambia intervened in four sectors plus GBS and the number of programmes and projects was relatively high.</p>	<p>Until 2012, there was no pressure from the MFA to reduce fragmentation. The 2012 Development Policy Programme stated that there should be a focus on three sectors plus budget support and that the number of projects and programmes was to be decreased.</p>	<p>The Embassy of Finland in Lusaka needs to reduce the number of sectors within which it is working, and reduce the number of programmes overall. This can only be undertaken over a period of time. However, new programmes should not be undertaken by the Embassy and as a result the country programme will reduce as on-going programmes finish.</p>
<p>Bilateral projects and programmes as well as LCF projects were mostly</p>	<p>The Regional Department for Africa and the Middle East apparently</p>	<p>There needs to be greater complementarity between the country programme</p>

<p>aligned with country programme goals. Regional programme goals also closely coincided with country programme goals. However, this was not the case for IKI and NGO programmes funded from Helsinki.</p>	<p>made sure that goals of regional programmes and the country programme coincided.</p> <p>There was not sufficient oversight by the Embassy of Finland in Lusaka (nor the Regional Department for Africa and the Middle East of MFA) of IKI and NGO projects funded from Helsinki. This was due to a lack of systems established to monitor and share information on IKI and NGO projects.</p>	<p>in Zambia – in terms of goals and objectives – and those of IKI and NGO support provided by the MFA. Also, greater information should be provided on these programmes to the Embassy of Finland in Lusaka so that it can ensure greater oversight of these activities in-country. This could be undertaken through strengthening the monitoring systems of these interventions as noted under the recommendation on information management. The Embassy should also sit on the boards or coordinating bodies of the IKI projects.</p>
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Cross-cutting themes and objectives

<p>Gender equality, climate sustainability and combating HIV/AIDS, although highlighted in country programme documents (Participation plans, the Country Strategy 2013-2016 and individual project and programme documents), did not feature in Finland's policy dialogue, and was not translated into programme implementation.</p> <p>Participating in the General Budget Support (GBS) group allowed Finland to ensure that an indicator related to the environmental sustainability figured in the GBS Perfor-</p>	<p>Finland found it difficult to ensure that cross-cutting themes and objectives were addressed in programmes designed and implemented with other partners. This was because the focus was lost when there were competing donor agendas. Focusing on one specific cross-cutting objective, such as the environment in GBS, increased chances of success.</p>	<p>There needs to be greater attention paid to cross-cutting objectives in programme implementation. Rather than focusing on all three cross-cutting objectives in Finland's 2012 development policy (gender equality, reduction of inequality and climate sustainability), a more systematic and realistic approach to addressing cross-cutting objectives is likely to be helpful. This should be based on focusing efforts on interventions where Finland is likely to be able to successfully address selected cross-cutting objectives. The country strategy should include clear targets</p>
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<p>mance Evaluation Framework (PAF), despite resistance from some other cooperating partners.</p>		<p>related to cross-cutting objectives, so that the Embassy knows what it needs to achieve.</p>
<p>Managerial issues</p>		
<p>Finland's development policies of 2004, 2007 and 2012 addressed complementarity very generally and provided no guidance on implementation at country level. Policy guidelines were not sufficiently practical to be useful in-country.</p> <p>The division of labour between the MFA and the Embassy in Lusaka worked well in terms of decision-making, The Zambia desk in the Department for Africa and the Middle East lacked continuity in terms of personnel. Only one senior officer was assigned to the desk, and interns on short-term contracts were used to fill gaps in staffing.</p>	<p>Finland's Development Policy Documents and country programme guidance documents, including the 2012 Manual for Bilateral Programmes, did not contain sufficient guidance how to achieve complementarity and monitor achievement of complementarity objectives.</p> <p>MFA rules did not allow for more delegation of authority to the Embassy in Lusaka.</p> <p>Inadequate staffing of the Zambia desk was due to budget restrictions within the MFA, which led to interns being used instead of permanent staff.</p>	<p>Clear policy guidance needs to be provided for Embassies by the MFA on how to implement complementarity within country programmes. There is also the need for development of frameworks and indicators in country strategy documents through which the achievement of objectives related to complementarity can be monitored by both the Embassies and the MFA.</p> <p>The MFA should provide increased levels of permanent staffing for the Zambia Desk in the Department for Africa and the Middle East and reduce the number of interns used.</p>

1 INTRODUCTION

The case study relating to the Finland's country programme in Zambia is part of the overall evaluation of complementarity in Finland's development policy and co-operation between 2004 and 2012. The case study was conducted in parallel with other case studies on NGO co-operation, the IKI instrument, and Finland's country programme in Mozambique. In a final synthesis report, the case studies will feed into the evaluation of complementarity in Finland's development policy and co-operation.

The evaluation's definition of complementarity, developed on the basis of relevant Organisation for Economic Development (OECD), EU and Finnish policy documents, is:

Complementarity is achieved when two or more actors in development co-operation work to a common goal to achieve shared overall development outcomes, recognising that they will achieve more through a strategic division of labour and joint governance accountability, by combining their capacities, skills and resources in an optimum manner, based on their institutional strengths and constraints.

The definition contains four levels of complementarity that are applied in this report: shared goals; strategic action; division of labour; joint accountability.

The achievement of complementarity usually requires a process of analysing the context, negotiating mutual or joint agreements within the various dimensions of the development co-operation system (vertical/horizontal), and can involve action within and outside the development co-operation organisation (internal/external). This analysis and negotiation process also requires leadership to reach decisions about the optimum combination of skills and resources. Joint accountability figures prominently in OECD, EU and Finnish policy documents. It refers to obligations that development partners have to each other at all levels, both horizontally and vertically, and relate to constituencies in both donor and partner countries.

On the basis of detailed Terms of Reference (ToR) for this evaluation, a Theory of Change model was developed as the key methodology for the evaluation (Figure 1).

It depicts causal paths leading at all levels to complementarity that is assumed to support the **overall objective of development policy and co-operation coherence**. The latter is understood to define Finland's contribution to global goals, such as poverty reduction, and achievement of Millennium Development Goals (MDGs) and other internationally-agreed development goals.

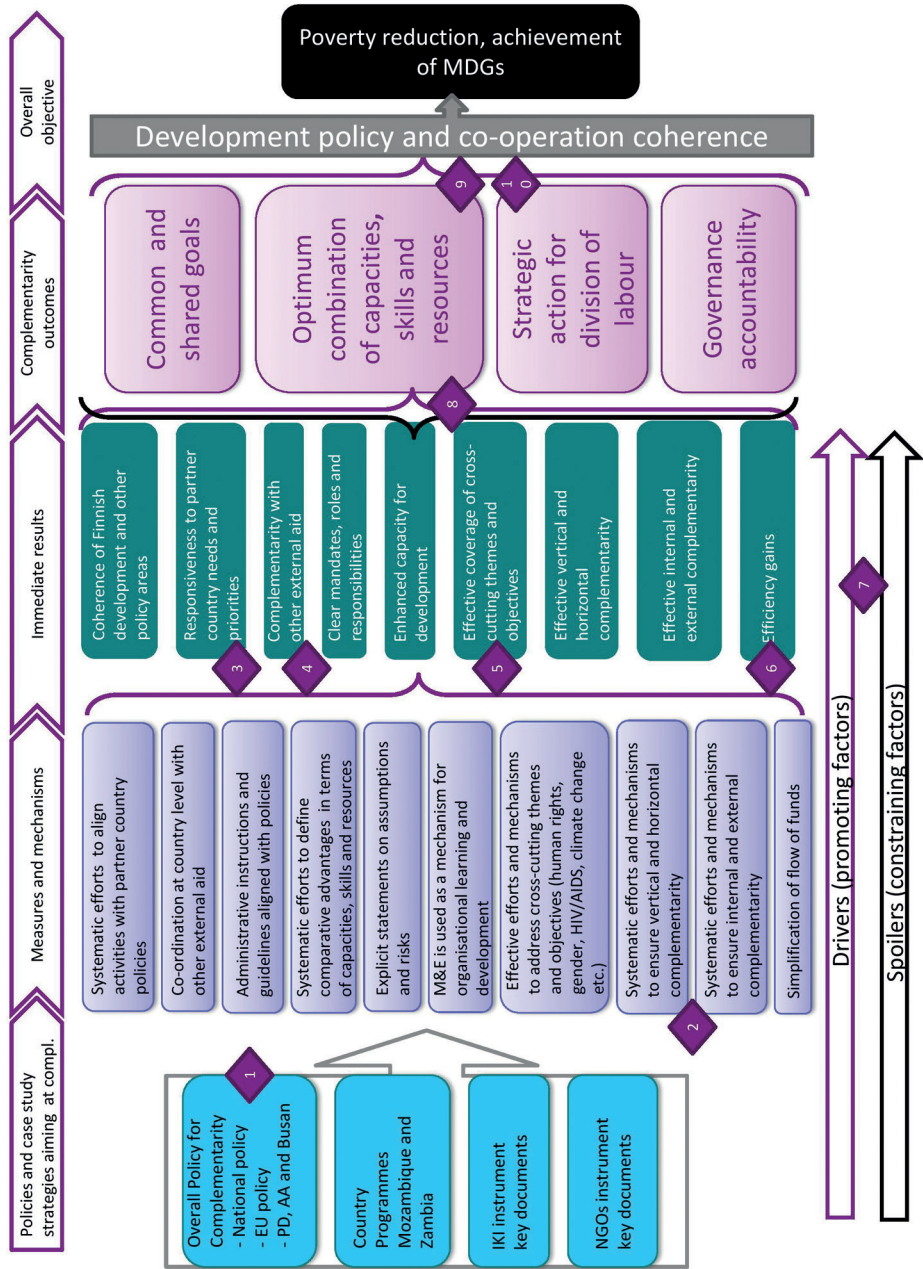
Complementarity is the intended outcome that is represented in the four key dimensions described in the working definition of the term.

To achieve these **complementarity outcomes**, Finland adopted a series of **measures and mechanisms** – vertical and horizontal, internal and external, how to deal with external partners – that were expected to produce **immediate results**.

Immediate results include, for example: efficient use of resources; activation of Finnish competitive advantages; clearer roles and responsibilities at the organisational level that will enable citizens and civil society to hold Government and other duty bearers accountable; at country level, responsiveness to partner country needs and priorities, and complementarity with other forms of external assistance; at all levels, measures and mechanisms ensuring adequate coverage of cross-cutting themes and objectives and to efficiency gains due to a simplification of the flows of funds.

However, the full application of the Theory of Change model will be possible only in the subsequent Synthesis Report based on the inputs from the case study reports, including the country study desk reviews.

Figure 1 Theory of change.



The elements linking the different levels of complementarity are expressed in a limited number of **evaluation questions** (EQs) that reflect the evaluation questions in the Terms of Reference (ToR). The overall EQs were adapted to the requirements of the different case studies specified in the ToR (Section 2). For the entire evaluation, complementarity is regarded in four dimensions:

Internal complementarity considers relations inside Finland's development co-operation, including the MFA and partners and stakeholders such as other Ministries in Finland, technical agencies and Finnish NGOs.

External complementarity considers relations with bilateral, private and multi-lateral donors abroad, as well as long-term partner countries and other countries benefiting from Finland's co-operation.

Vertical complementarity considers all the levels, from international discourse to field operations.

Horizontal complementarity refers to actors' interactions at the same level.

The conceptual framework and overall methodology for the evaluation were developed in an internal inception report in April 2013, followed by internal desk review reports for each case study and on overall policy and practice of Finland's development co-operation.

The desk review reports concerning NGO co-operation and the IKI instrument were completed by interviews with the MFA and other stakeholders in Finland, as well as by surveys. These case studies also involved field visits from June-August 2013 to countries in Africa, Asia, Latin America and the Caribbean.

The case studies on the country programmes in Mozambique and Zambia involved only a desk review of documents available in the public domain and in archives of the MFA in Helsinki. Interviews were undertaken with key personnel in the MFA – in particular, in the Department for Africa and the Middle East and the Zambia Desk – and with the Head of Co-operation at the Embassy of Finland in Lusaka. However, these members of staff were quite new to the programme, so detailed discussion of how the programme evolved over time was not possible.

2 APPROACH

2.1 Scope and purpose

This desk review provides a study of Finland's country programme in Zambia from 2004-2012. The objective of the review is to assess how Finnish and international development policies aimed at complementarity have been reflected in Finland's country programme in Zambia, and how this has impacted on implementation of the programme. It will also provide a baseline for the evaluation of the new Country Strategy 2013-2016, as well as lessons on how to improve complementarity. The main evaluation questions adapted to the desk review of the country programmes in Mozambique and Zambia are summarised in Box 1.

The report begins by first discussing the methodology for the case-study and limitations of the approach. In the second section, the country context in Zambia is outlined – including the country background, development strategies, and development assistance to Zambia. In the third section, the evolution of Finland's country programme is described in terms of the influence of international and Finnish development policies, and trends in sector programmes and funding. In the fourth section, there is an assessment of the in-country and internal complementarity of Finland's programme in Zambia, as well as cross-cutting themes and objectives, the efficiency of the programme, and results. In the final section, conclusions are drawn on the extent to which complementarity in the programme has been achieved, and recommendations are made to improve complementarity.

2.2 Methodology and limitations

The methodology followed the theory of change outlined in Section 1. As required by the ToR, this case study had to rely exclusively on key documentation relating to the programme in Zambia that could be found in the archives of the MFA and other relevant information that could be obtained through searches on the internet. Limited interviews could be conducted with staff in the Department for Africa and the Middle East and – not specifically on the Country Programme in Zambia – with other personnel in the MFA.

The evaluation reviewed overall Finland's policies, strategies and guidelines for country programmes and assessed measures and mechanisms that were expected to produce immediate results. Documentation relating to bilateral negotiations, country strategies and programme implementation was triangulated with information from other multilateral and bilateral donors operating in Zambia. Contextual information was also obtained from general MFA documentation on overall policy and strategy and multilateral organisations such as the OECD Development Assistance Committee (OECD-DAC).

Box 1 The Evaluation Questions for Mozambique and Zambia Country Case-Studies.

- CS-EQ 1 To what extent and how has complementarity as expressed in Finnish and international policies been reflected in development cooperation with Mozambique and Zambia?
- CS- EQ 2 Which measures and mechanisms have been used to operationalize complementarity in Mozambique and Zambia?
- CS- EQ 3 Which measures and mechanisms aiming at complementarity have been applied in Zambia and Mozambique to better respond to the partner countries' needs and priorities?
- CS- EQ 4 To what extent and how have measures and mechanisms aiming at complementarity led to more coordination and complementarity with other external agencies in Mozambique and Zambia?
- CS- EQ 5 To what extent and how have measures and mechanisms aiming at complementarity helped to address cross cutting themes and objectives such as human rights, social equality, good governance, gender equality, environment, climate sustainability and HIV/AIDs in Zambia and Mozambique?
- CS- EQ 6 To what extent and how are measures and mechanisms aiming at complementarity perceived to have contributed to efficiency gains in Zambia and Mozambique?
- CS- EQ 7 Which have been the drivers (favourable factors) and spoilers (unfavourable factors) in the assistance to Mozambique and Zambia that supported / hindered the achievement of the outcomes and overall objective?
- CS- EQ 8 To what extent and how has development cooperation in Mozambique and Zambia achieved overall complementarity?
- CS- EQ 9 Based on the evidence of this evaluation, which innovations could be recommended to enhance complementarity of different instruments of Finnish development cooperation in Mozambique and Zambia and thus make this cooperation more coherent, effective and efficient?

Most importantly, the evaluation assessed outcomes achieved in terms of complementarity against the four dimensions of the working definition for this evaluation: common shared goals; optimum combination of capacities, skills and resources; strategic action for a division of labour; and joint governance accountability.

The available documentation did not in all cases provide sufficient evidence to fully understand all factors that supported or hindered specific processes or outcomes. The evaluation was also hampered by a general weakness in monitoring and evaluation of

specific programmes of Finland's development co-operation. Last but not least, the absence of direct contact with the Embassy of Finland in Lusaka also meant that it was not always possible to obtain up-to-date information on all aspects of the country programme.

The limited analytical depth of this case study and the general nature of recommendations are inherent to the restricted methodology defined in the ToR. It also needs to be mentioned that the case study was not meant to evaluate the Country Programme against evaluation criteria of the OECD-DAC. Notably the consideration of the dimension of efficiency is limited to requirements defined in the ToR.

3 COUNTRY CONTEXT

3.1 Zambia country background

Zambia experienced high levels of economic growth over the last decade, with the economy growing at 5,7% per annum, making Zambia among the 10 fastest growing economies of Sub-Saharan Africa in 2012 (World Bank 2013a). This was primarily due to mineral exports, which experienced high world prices and thus attracted high volumes of foreign direct investment. As a result, Zambia was reclassified as a middle-income country in 2011, and by 2014-2016 growth is expected to rise to 8,1% as copper production increases (EIU 2013).

Despite this, challenges remain as the economy is largely undiversified and is highly dependent on copper, while economic activity is largely confined to urban areas. Poverty levels remain high, and the level of human development is low. Although the percentage of Zambians living in extreme poverty fell from 58% in 1991 to 51% in 2006, income distribution is highly unequal and deteriorated over the last decade, as the Gini coefficient increased from 0,47% to 0,52%.

Zambia's ranking in the United Nations Development Programme (UNDP) Human Development Index (HDI) is below the Sub-Saharan Africa average. In 2012 Zambia's HDI was 0,448 – giving it a ranking of 163rd out of 187 countries with comparable data (UNDP 2013). Zambia's economic and governance landscape improved, although again challenges remain. The country moved up two places on the Mo Ibrahim Index of African Governance in 2012, but fell 10 places in the latest World Bank Doing Business Report and is now ranked 94th out of 185 countries (World Bank 2013b). Transparency International's Corruption Perception Index ranked Zambia 88th out of 153 countries in 2012 (Transparency International 2012).

3.2 Development assistance to Zambia

Net official development assistance (ODA) to Zambia was approximately US\$ 1,1bn in 2004. This rose to US\$ 1,3bn in 2009, but then declined again in both 2010 and 2011 due to alleged corruption scandals that resulted in the suspension of aid to the health and road sectors (Table 1). The largest co-operating partners in 2010-2011 in Zambia were the United States (providing US\$251 million on average over 2010/2011), the European Union (US\$100 million), the United Kingdom (US\$86 million), the Global Fund (US\$72 million), and Norway (US\$67 million). Finland was a comparatively small donor, with a programme of US\$20 million on average over 2010/2011 (OECD-DAC 2013).

Table 1 Overseas Development Assistance to Zambia 2004-2011 (in US\$ million).

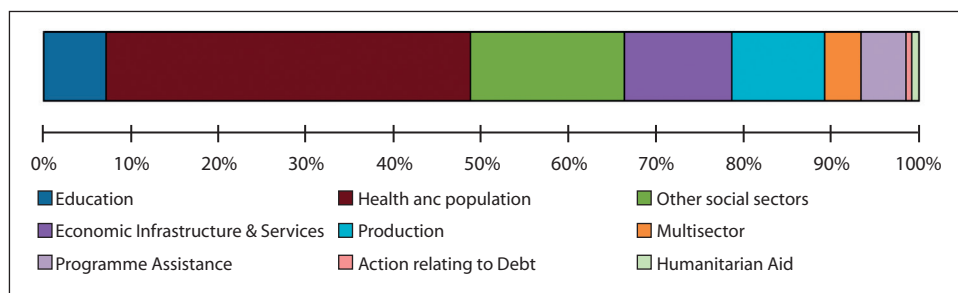
	2004	2005	2006	2007	2008	2009	2010	2011
Zambia	1.130,5	1.172,1	1.467,5	1.007,8	1.116,2	1.267,1	914,4	1.046,3

Source: OECD-DAC Query Wizard for International Development Statistics (QWIDS).

The majority of bilateral ODA by sector in 2010-2011 went to health and population, followed by other social sectors, economic infrastructure and services, and production (Figure 2). Most aid to Zambia was in the form of General Budget Support (GBS), sector programmes, and project support. Overall, Zambia is becoming less aid dependent as ODA was 7% of the GoZ budget in 2012, compared with 21% in 2004 (MFA 2012a).

By 2012, non-traditional partners – such as South Africa, Brazil, Russia, India, China, as well as Saudi Arabia, Turkey and Egypt – played an increasingly important role in Zambia (Embassy of Finland 2012). It is estimated by the African Development Bank that close to 50% of new infrastructure projects and programmes in the areas of energy and transport were being supported, either in part or fully by at least one of these countries (AfDB 2010a).

Figure 2 Bilateral ODA to Zambia by Sector 2010-2011.



Source: OECD-DAC 2013.

3.3 Complementarity and aid effectiveness in Zambia

Development partners and the GoZ undertook a variety of initiatives to increase complementarity and aid effectiveness by strengthening harmonisation and alignment. The main initiatives are outlined in Box 2.

Box 2 Complementarity and Aid Effectiveness Initiatives in Zambia.

Harmonisation in Practice Initiative (HIP): Seven donors agreed to join forces in support of harmonisation and alignment. This marked the beginning of what became known as the Harmonisation in Practice (HIP) initiative. The donor group commissioned a study in late 2002 to advise on aid harmonisation, and this formed the basis of the Joint Statement of Commitment by Donors and GoZ to increase aid effectiveness and to reduce transaction costs.

Wider Harmonisation in Practice (WHIP) group: The HIP was expanded in 2004 to create the Wider Harmonisation in Practice (WHIP) group.

Joint Assistance Strategy for Zambia (JASZ) 2007-2010: 16 donors signed the JASZ that aimed to focus and organise development assistance and reduce transaction costs for GoZ. This was to be done in line with the five pillars of the Paris Declaration: ownership, harmonisation, alignment, management for results and mutual accountability. Zambia.

JASZ II 2011-2015: strengthened JASZ I and tailored to priorities to the GoZ Sixth National Development Plan.

Source: Oxford Policy Management (OPM 2010).

The trend towards more harmonised ways of working in Zambia began prior to the Paris Declaration at the beginning of 2000, with a Joint Study on Harmonisation in Zambia. This led to the HIP study, which identified steps and processes to be undertaken to improve aid effectiveness in Zambia, and led to the HIP initiative.

This initiative was later expanded to establish a broader WHIP group, which was based on a memorandum of understanding (MoU) between GoZ and a broader group of donors. This initiative led to the development of the GoZ Aid Policy and Strategy, the establishment of a Donor Assistance Database for Zambia, and the development of a division of labour process.

The JASZ 2007-2010 was also developed, and was designed to provide a medium-term framework to manage donor co-operation with GoZ and align with the Fifth National Development Plan (FNDP). The JASZ II, for 2011-2015, set out donor support to the Sixth National Development Plan (SNDP), and continued support to harmonisation initiatives undertaken in the first phase.

As Table A4.1 in Annex 4 indicates, Zambia had mixed results in terms of achieving these goals, as demonstrated by the 2010 Paris Declaration Monitoring Survey. These

findings are also confirmed by the 2010 Evaluation of the JASZ I. This found that there had been an increase in the harmonisation and alignment of co-operating partners' engagement in Zambia as a result of the JASZ, although government ownership and mutual accountability were weak, as was managing for results. There was also no obvious reduction in the number of projects in the health and education sectors due to the division of labour process (OPM 2010).

4 FINLAND'S COUNTRY PROGRAMME IN ZAMBIA

4.1 Development policy background

The following section provides a brief summary of the main international policies, as well as Finland's development policies, during the period evaluated.

4.1.1 Global and EU development policies

The main policies that have underpinned development and influenced Finland's co-operation policy over the last two decades have focused on poverty eradication, sustained economic growth, and sustainable development. The most important initiatives that have guided this process have been the 2000 Millennium Summit under the auspices of the United Nations (UN), at which there was agreement to focus on eight Millennium Development Goals (MDGs). This was followed in 2002 by the international conference on Financing for Development, in Monterrey, Mexico, which resulted in a consensus that there was a need to increase financing for development, but also that financial resources would have to be used effectively.

Four High Level Fora of the Working Party on Aid Effectiveness (WP-EFF), hosted by OECD-DAC, built further on these principles. These were the Rome High-Level Forum on Harmonisation in 2003, the Paris High-Level Forum on Aid Effectiveness in 2005, the Accra High Level Forum on Aid Effectiveness in 2008, and the Busan High Level Forum on Aid Effectiveness in 2011.

The 2005 Paris Declaration reaffirmed commitments to harmonise and align aid delivery, and to make it more effective. The Accra High Level Forum in 2008 strengthened commitments to partner country ownership over development. The agenda explicitly emphasised the role of parliaments and local authorities in preparing, implementing and monitoring national development policies and plans, and a greater engagement with CSOs. Finally, the Busan High Level Forum in 2011 represented a shift in discourse from *effective aid* to *co-operation for effective development*, as it was now recognised that aid was only part of the solution to development.

In addition to this, the European Union (EU) addressed aid effectiveness issues through the 2007 EU Code of Conduct on Complementarity and the Division of Labour in Development Policy. This concentrated on donor congestion in developing countries and in certain sectors, while the EU 2010 initiative called for co-ordinated EU action, including joint programming of EU and member states' aid to the level of partner countries.

4.1.2 Finland's development policies

It is notable that Finland's policy documents referred to coherence, complementarity and co-ordination as basic principles. The main development policies of Finland during the period evaluated were as follows:

- *Development Policy Government Resolution 2004*: Emphasised coherence in development policy in all sectors of international cooperation and national policy that have an impact on the status of developing countries, including security, human rights, trade, environment, agriculture and forestry, education, health and social, immigration, and information society policies. The intention was that Finland should use the instruments of development cooperation, trade and security policy, in a manner that they would complement and mutually reinforce each other based on their special competencies. This would improve the quality, effectiveness and efficiency of Finland's development policy. (MFA 2004a)
- *Development Policy Programme 2007*: Emphasised the international context (the UN, OECD and the EU), and Finland's active engagement in these organisations. Main goals for the development policy were to eradicate poverty and to promote sustainable development, in accordance with the MDGs. The emphasis was on the three dimensions of sustainable development – economic, social and ecological – with cross-cutting themes. These were the promotion of gender and social equality, the promotion of the rights of groups that are easily excluded, and the promotion of equal opportunities for participation. The policy also emphasised the combating of HIV/AIDS; HIV/AIDS as a health problem and as a social problem. (MFA 2007a). Guiding principles of development policy were stated as coherence, complementarity and effectiveness. Policies and activities needed to be coherent at all levels, global, among donor countries, in the EU context and in Finland. Complementarity was to be achieved multilaterally within the United Nations and the EU as well as at country level. An adequate division of labour between donors, and ownership by developing countries themselves, would result in the effectiveness of aid.
- *Development Policy Programme 2012*: Focused on a human rights-based approach, as well as climate sustainability, an inclusive green economy that promotes employment, sustainable management of natural resources, and environmental protection. Cross-cutting objectives were gender equality, reduction of inequality, and climate sustainability. It recommended that the size of programmes and projects were to be increased, and the number to be decreased to reduce fragmentation. Each country programme was to include a maximum of three sectors. (MFA 2012c)

While these policy documents contained general references to coherence and complementarity, there was no clear conceptual framework for these dimensions. The documents also failed to provide operational guidance what would be the implications of these requirements for country programmes.

4.2 Finland's bilateral country negotiations with Zambia

A series of bilateral consultations took place between the GoZ and the Government of Finland in 2004 and 2010. The aim of these discussions was to raise issues of concern on the part of both governments, and to discuss the focus of the Finland's programme and GoZ priorities and objectives. Analysis of the agreed minutes of the consultations indicates that there were some similarities in the discussions, and in other ways the content and focus in 2010 differed from the 2004.

The background to the 2004 bilateral negotiations was the new Finland's Development Policy of 2004, which the Embassy of Finland in Lusaka emphasised as now underpinning the programme in Zambia. The Embassy explained that the policy aimed at enhancing coherence between various policy sectors, increasing the level of development co-operation, and ensuring that it is used effectively through strengthening national partnerships between public bodies, the private sector and civil society. It was also stressed that the new policy was based on supporting fewer countries and institutions and increasing programme-based aid. Other objectives of the new strategy were to align Finland's support more closely to country Poverty Reduction Strategy Papers (PRSPs) and to ensure greater harmonisation of donor procedures. In addition the need to strengthen complementary between Finland's programme and multi-lateral, EU and bilateral forms of action was emphasised (MFA 2004b).

The background to the 2010 consultations was very different from those in 2004, as the negative impact of the global financial crisis on Finland's GDP was discussed. Nevertheless, Finland's commitment to attain the 0,7% target for ODA disbursements was confirmed. Finland again highlighted its commitment to EU policy in Africa and to supporting the UN and international financial institutions, and the fact that 10% of Finland's ODA was channelled through NGOs. However, there was less emphasis from Finland on harmonisation, alignment or programme-based aid than there was in 2004 (MFA 2010a).

Also in the 2004 consultations, the GoZ was keen to discuss the programmes contained in the newly-developed Poverty Reduction Strategy (PRS). Poverty reduction was to be achieved through development in agriculture, tourism, mining and manufacturing, as well as through macroeconomic stability. Service delivery was to be enhanced in health, education and water. The GoZ also emphasised the importance of good governance and addressing corruption. Finland and the GoZ both recognised the need to strengthen commercial relations, given Zambian initiatives to create a business-friendly environment through privatisation and trade liberalisation.

At the time of the 2010 bilateral consultations, the GoZ was developing the SNDP, which focused on infrastructure and human development, with particular attention to agriculture, manufacturing and tourism – the sectors that the GoZ then perceived to be the main drivers of the economy. The GoZ also highlighted the fact that budget support was its preferred aid modality, and that an anti-corruption strategy policy had been launched in 2009 (MFA 2010a).

Discussion of Finland's programmes in the 2004 bilateral consultations centred on several issues: progress in the Provincial Forestry Sector Programme Phase II; support to the Education Sector Programme; areas that Kepa, the Finnish network of development co-operation NGOs, was focusing on; as well as on the introduction of funding from the Local Co-operation Fund (LCF). These were the main programmes in 2004. The other key theme highlighted in the programme was gender equality. Finland notified the GoZ that the MFA had prepared a plan of action to strengthen the incorporation of gender equality in development co-operation, and would support the GoZ in achieving its aims with regard to gender equality in national and sector policies.

In terms of future support, Finland stated that it would concentrate on a maximum of three sectors in Zambia, as it was a Finnish policy to undertake this in all its partner countries. The GoZ responded by requesting that future co-operation should be in a broad range of areas – specifically, in agriculture, governance, industry, finance, environment, roads, and science, technology and vocational training. Finland indicated that agriculture and forestry would be the only additional sectors included in their future co-operation. It was also decided that an additional request from the GoZ for support to the Anti-Corruption Commission would be considered through the LCF.

The sector-specific discussions in 2010 included a focus on some additional areas to 2004, as the priorities of the GoZ had changed and Finland's programme had evolved. Both sides were keen to discuss the private sector and trade relations as both the GoZ and Finland perceived this to be an area that was not only important for the Zambian economy, but also crucial for further economic growth. However, Finland expressed disappointment about the lack of investments in Zambia, which it hoped would be addressed through the new Finnpartnership instrument. This aimed to increase commercial co-operation between Finland and developing countries to enhance economic growth and reduce poverty. Finland also confirmed its commitment to principles included in the JASZ and the Aid Policy of Zambia, but noted that new Finnish guidelines on sector and budget support limited GBS to 25% of the country programme.

Finland also highlighted some negative trends in 2010 that had not been perceived as so important by Finland in the previous consultations: further depletion of the forests; cases of corruption and malpractice in health and roads, which emerged in 2009; and possible issues related to procurement in the Luapula Agriculture and Rural Development (PLARD) programme. Finland noted that GoZ action and the next phase of the Public Expenditure and Financial Accountability Programme (PEMFAP)

should assist in reducing these risks. This led to a discussion of the importance of the GoZ addressing corruption cases in health and roads, and of public sector reform to reduce the risk of mismanagement of funds.

Finland reiterated that it would continue to focus on its main areas of co-operation, which were the environment and natural resources, private sector development, and agricultural and rural development. Finland also highlighted its interest in climate change issues and offered to study the feasibility of co-operation in energy efficiency and renewable energies, and noted that regional programmes supported by Finland would be extended to Zambia. There were no suggestions in 2010 from the GoZ to change Finland's development co-operation or engage in additional sectors.

4.3 Evolution of the country programme in Zambia 2004-2012

4.3.1 Trends in programmes and funding

Zambia has been a development co-operation partner of Finland since 1972 and is currently one of seven long-term partner countries. Between 2006 and 2010, Finland scaled up assistance significantly to its long-term partner countries – more than doubling allocations to Ethiopia, Kenya, Nepal and Zambia. ODA disbursements from Finland to Zambia tripled over this period from €4,7 million in 2004 to €16,4 million in 2010, as illustrated in Table 2. Since then, the level of disbursement decreased, and is expected to fall further by 2016. The total bilateral budget for Zambia in 2013 was projected to be €16,8 million, falling to €13,8 million in 2016. This figure did not include €1,7 million to NGOs from the LCF (MFA 2012a).

Table 2 The Country Programme Disbursements 2004-2012 (in €).

Zambia	Country-specific and regional aid	Aid channelled via NGOs	Total disbursements
2004	4.241.448	486.603	4.728.051
2005	6.304.584	554.420	6.859.004
2006	6.119.057	371.677	6.490.734
2007	13.485.708	444.502	13.930.210
2008	9.839.854	546.977	10.386.831
2009	15.716.094	656.313	16.372.407
2010	14.182.207	693.606	14.875.813
2011	11.389.998	612.217	12.002.215
2012	9.066.121	490.256	9.556.377

Source: MFA figures.

The programme saw a significant expansion in the sector focus and the number of programmes undertaken. In 2004, there were projects in the education and forestry

sectors. In 2005, additional funding was provided for the planning of the *Zambian National Development Strategy*, for the *Reform of the Public Administration's Financial Administration*, and funds for *Local Co-operation (LCF)*. By 2006, a *Private Sector Development Reform Programme (PSDRP)* and funding through *GBS* had been included (MFA 2006a). In 2012, the country programme focused on four key areas: private sector development and trade expansion; agriculture, environment and natural resources; budget support; and governance. There were 16 programmes in total.

Annex 5 provides a summary of the key areas of intervention over the period evaluated, with corresponding disbursement figures. Annex 6 gives a list of all Embassy of Finland projects in Zambia over the period evaluated.

As well as an expansion of the country programme, the other main trend was a move towards more joint programming and co-funding between the GoZ and other donors. Finland provided *GBS* since 2007, education sector funding from 2004-2007, and co-financing in the areas of governance, private sector development, agriculture and the environment. Programme aid represented 77% of Finland's programme in 2005, 79% in 2008, and 67% in 2010 (OECD-DAC 2013). According to OECD DAC definitions, programme based approaches have the follow features: i) Leadership by the host country or organisation; ii) A single comprehensive programme and budget framework; iii) A formalised process for donor co-ordination and harmonisation of donor procedures for reporting, budgeting, financial management and procurement; and iv) Efforts to increase the use of local systems for programme design and implementation, financial management, monitoring and evaluation (OECD-DAC 2011b).

In addition to this, bilateral projects were undertaken during the period evaluated through the programme. The Embassy of Finland also administered *LCF* allocations. There were also NGO projects funded from the NGO Unit in Helsinki and, more recently, institutional co-operation (*IKI*) projects. *IKI* projects provided support from Finnish institutions to public sector organisations in Zambia and were run from MFA headquarters in Helsinki.

5 COMPLEMENTARITY IN FINLAND'S DEVELOPMENT CO-OPERATION WITH ZAMBIA

5.1 External complementarity in Zambia

This section assesses the degree to which external complementarity was achieved by Finland in Zambia, using the four dimensions of complementarity outlined in Section 1. These are: shared goals, strategic action, division of labour, and joint accountability.

5.1.1 Finland and the Government of the Republic of Zambia

Shared goals

Finland's programme in Zambia was broadly aligned with the goals of the Zambian government's Fifth and Sixth National Development Policies (FNDP and SNDP) and of their long-term strategy, Vision 2030 (GoZ 2005; 2006a; 2006b; 2011). Vision 2030 had the goal of Zambia becoming a prosperous middle-income country by 2030, with the objectives to: i) reach middle-income status; ii) significantly reduce hunger and poverty; and iii) foster a competitive and outward-orientated economy (GoZ 2006b).

The FNDP had similar goals to Vision 2030, as well as a theme of broad-based wealth and job creation through citizen participation and technological advancement. The plans' strategic focus was economic infrastructure and human resource development. The SNDP had the aim of "sustained economic growth and poverty reduction", to be achieved by accelerated infrastructure development, enhanced economic growth and diversification, and human development (GoZ 2011)

Finland's overall development goal, as stated in the 2013-2016 Country Strategy for Development Co-operation with Zambia, was the reduction of absolute poverty. It was noted in the country strategy that Finland supports Zambia's efforts to graduate from traditional development aid to an inclusive and diverse economy, as outlined in Vision 2030 and FNDP/SNDP. These objectives were reiterated in the bilateral country negotiations of 2010, and are long-standing goals of the country programme. This illustrates that the goals of Finland's support in Zambia and the GoZ objectives overlap. However, Finland focused on poverty reduction, agriculture and human resources in the early years of the programme. Only more recently, it moved towards focusing its programme on economic growth and private sector development, which the GoZ had stressed since the FNDP.

In 2012, Finland's programme was aligned with the SNDP, as it focused on what the SNDP termed the growth sectors – mining, agriculture, and commerce and trade. As Annex 5 indicates, Finland gave substantial support in Zambia to the agricultural sector and private sector development through the Private Sector Development Reform Programme (PSDRP) and through PLARD. Also, through Finnpartnership and other trade instruments, Finland was involved in the World Trade Organisation's Enhanced Integrated Facility (EIF). Finland also funded projects and programmes that aligned with what the SNDP called the support sectors. These included social protection and natural resources projects, while Finland undertook two IKI projects related to mining.

Cross-cutting themes and objectives included by the GoZ in its plans were also the same as those emphasised by Finland. These were the rights of women and girls, climate sustainability, and prevention of HIV/AIDs, which were part of the 2007 and 2012 Finland's Development Policies. They were, and have been since, incorporated into Finland's programmes in Zambia. They were also key themes in the FNDP and SNDP (MFA 2012a).

Differences existed between GoZ and Finland in terms of objectives and priorities. Finland's country strategy in 2012 had a human rights-based approach, which was not a key development objective of the GoZ, and Finland did not focus on economic infrastructure in its programme, which was a priority for GoZ. It should also be noted that, in the bilateral country negotiations of 2004, the GoZ requested that Finland should expand its programme to include a larger number of sectors. Finland declined to do so – another instance where priorities of the GoZ and Finland diverged.

Strategic action

Finland's programme in Zambia was broadly aligned with GoZ sector plans. The major sector programmes that Finland was engaged with – in education, private sector development, agriculture, forestry and the environment – were all based on GoZ sector plans and provided funds for these strategies (GoZ 2010b; PLARD 2010; Somssich & Weltzien 2009). An example of this is the forestry sector, where an evaluation of Finnish Support to Forestry and Biological Resources noted that Finnish interventions in the forestry sector had been in line with GoZ plans, and also responded to the needs and priorities of the Department of Forestry (Hardcastle, Forbes, Karani, Tuominen, Sandom, Murtland, Müller-Plantenberg & Davenport 2010). The GoZ developed a National Climate Response Strategy, on which the Environment and Natural Resources Management and Mainstreaming Programme (ENRMMP) interventions were based. The Forestry Sector Support Programme II was aligned with the GoZ Forestry Sector Reform Strategy, and education sector support was based on the Basic Education Support Implementation Plan (BESIP) (MFA 2012a).

Although Finland overlapped with the GoZ in terms of strategic action, Finland also pursued other strategies that were not related to GoZ objectives. An example of this was supporting the activities and capacity building of NGOs and CSOs. This was undertaken through the LCF administered by the Embassy, funding from the NGO unit in the MFA, and also through the Environment Civil Society Fund that supported CSOs operating in the environmental sector. Other programmes included funding to the Zambia National Farmers Union.

Finland also moved towards more use of GBS and sector programme support within the programme, which was in line with GoZ Aid policy of 2009. However, the amount of funds provided for GBS fell in towards the end of the evaluation period. GBS accounted for 27% of the total Finland's programme in Zambia in 2007, but this declined to 20% of the programme in 2010. This was due to the 25% cap on GBS as part of a new MFA policy to restrict the level of GBS in country programmes (NAO 2010). It represented a divergence in Finland's and GoZ objectives/actions, and meant that Finland was not adhering strictly to the GoZ Aid Policy.

Another example of a divergence in terms of strategic action between Finland and the GoZ was that disbursements of GBS were delayed in 2012, and €4 million was withheld by Finland because preconditions and indicators were not met. This suggests that objectives were not aligned between Finland and the GoZ. Furthermore, a four-month delay in disbursement occurred in 2009 due to the withholding of dis-

bursement following the uncovering of financial irregularities in the health sector. This again indicates that public financial management systems and anti-corruption strategies of the GoZ were not sufficient to prevent this (MFA 2012a).

Division of labour

The division of labour process undertaken in Zambia was not led very strongly by the GoZ. In fact, the GoZ itself noted that technical and capacity constraints made it difficult to engage effectively in the process. This resulted in the process being based on donors' perceptions of how their programmes could be complementary to each other and to the GoZ. In the first iteration of the division of labour for Zambia, the GoZ requested that Finland be present in seven sectors (agriculture, education, energy, gender, private sector development, tourism, and the environment). This was a proposal that neither Finland nor other donors were satisfied with (GoZ 2006c). Subsequently, it was decided that all donors would focus on three sectors, as well as on GBS, and this was agreed as part of the JASZ process. The country programme was eventually intended to be based on three sectors and GBS, whereby Finland stated its intention to exit from the education sector. Despite this, GBS became a sector in itself, under poverty reduction and governance. In effect, Finland therefore operated in four sectors (further discussion of this in 5.2.1).

Further division of labour occurred in the split between Finnish activities and those of the GoZ. In this context, Finland was responsible for only very specific inputs that were contributing to budget support to fund the GoZ budget and funding specific GoZ programmes. Finland was also very active in pushing forward the development effectiveness agenda in Zambia and was very active in the JASZ I and II processes.

Joint accountability

In terms of joint accountability processes, this was limited to the mutual accountability process that occurred through the Paris Declaration monitoring survey. This focused on indicators related to aid effectiveness. There were no penalties or ways of enforcing a change in strategy or priorities if scores were low. Similarly, the GBS performance assessment framework (PAF) measured GoZ performance in terms of achievements against specific measures, but there was no framework for assessing donor performance in other countries, such as Mozambique. A Zambian mutual accountability framework was eventually developed, but the Embassy of Finland in Lusaka reported that this had been a difficult process as it had not been easy to get agreement on indicators. Due to this, joint accountability between Finland and the GoZ in Zambia was weak.

5.1.2 Development partners (bilateral and multi-lateral)

Shared goals

The majority of Finland's interventions were undertaken jointly with other donors, particularly budget support and sector programmes in education, the PSDRP, and the ENRMMP. Finland and other donors shared the same goals. Since 2007, Finland also provided GBS based on a MoU between budget support partners and the GoZ. This

defined the key areas of influence of the operations and the main responsibilities of partners, and took into account the principles of harmonisation of aid and alignment with development strategies. This MoU defined the key objectives of GBS partners, which all donors had signed up to – thus suggesting a strong degree of shared goals. However, the 2011 Joint Evaluation of General Budget Support in Zambia noted that there was a lack of harmonisation among budget support donors, due to disagreement among them on budget support objectives. The report commented: *co-operating partners were often unable to offer joint and consistent priorities to the GoZ through dialogue and incentives. Interference from headquarters, who responded more to domestic political situations than to Zambia's needs, hindered the harmonisation and alignment attempts being made by aid managers in Lusaka*' (de Kemp, Faust & Leiderer 2011, 4).

Similarly, MoUs defined the objectives of sector programmes, with all donors agreeing to abide by them. However, in both GBS and sector programmes, different donors had different areas of interest. For example, Finland was able to ensure that an indicator related to the environment was included in the GBS PAF, whereas some donors were against this and had other indicators that they preferred (Embassy of Finland 2011a). In contrast, Finland wanted to ensure that the gender equality dimension was adequately mainstreamed in the second phase of the PSDRP, but was not able to get support from other donors in this regard (MFA 2012b).

There was good collaboration, and objectives between Finland and other donors were broadly shared – with the Nordic countries in the environment sector, and with the EU, US, Sweden and the Development Banks in the agriculture sector. The private sector development programme was undertaken in collaboration with the Netherlands and the UK. Another example of collaboration was the delegated co-operation agreement between Finland and Denmark, with Denmark taking responsibility for managing Finland's contribution to the Support to Civil Society Organisations in Environmental Management Project (Embassy of Finland 2011b). Finland developed with Denmark a joint funding mechanism for funding CSOs, through the Environment Civil Society Fund. Finland also co-funded projects of the International Fund for Agricultural Development (IFAD), Food and Agriculture Organisation (FAO), International Labour Organisation (ILO) and the United Nations Children's Fund (UNICEF), in agriculture, private sector development and social protection.

Examples of where there were not shared goals with other donors were in some of Finland's projects, and in IKI and NGO support. In agriculture and the environment projects – such as PLARD, Provincial Forestry Action Programme (PFAP), and joint support from Finland's Central Union of Agricultural Producers and Forest Owners (MTK) and the AgriCord network of agricultural organisations – Finland undertook funding and implementation only in conjunction with the GoZ or partner institutions. In the recent evaluation of Finnish support to the forestry sector, Finland was also reported to have effectively co-ordinated its support to the sector. It was noted that there was little overlap with partner initiatives, and that synergies were only achieved in the areas where there were overlaps with other development partner or GoZ interventions (Hardcastle *et al* 2010). Also, IKI projects did not involve any oth-

er donors and related to specific small-scale interventions that were not linked to other donor support, as they supported specific institutions. NGO support through the LCF was not allowed to be pooled. Therefore, it was not possible to co-ordinate this with other donors. Also, this support was related to small-scale discrete interventions, which prevented harmonisation with other jointly-funded operations (NAO 2010).

Strategic action

Strategic action was undertaken by donors and by Finland through the JASZ I and II, which were key initiatives that laid the basis for agreements on the division of labour and set out donor support to the FNDP and SNDP. JASZ I set out key principles of donor support to Zambia, but did not define key goals or mechanisms to monitor support, apart from referring to the indicators used in the FNDP (GoZ 2007). The JASZ II provided clear goals and objectives for development assistance to Zambia and a framework of the outcomes and aid effectiveness outcomes to be achieved. The goal of development assistance in Zambia was described in the JASZ II as *“to support broad-based inclusive growth and poverty reduction as set out in the Zambia SNDP”*, and the objective was to *“deliver aid effectively to support the outcomes of the SNDP”* (GoZ 2010a, 1).

Key to this was the division of labour process, which increased co-ordination with other co-operating partners. It also resulted in considerable decongestion of sectors, although some sectors were still reported to have too many co-operating partners and others too few (OPM 2010). As noted above, it was also stated that the division of labour process was driven more by donor preferences than by those of the GoZ. This was due to the fact that the GoZ lacked the capacity to co-ordinate aid, which reduced the ability of government officials – and particularly the Ministry of Planning and National Development – to provide effective leadership (OPM 2010).

However, the JASZ I lacked targets, an implementation plan and performance indicators, which limited implementation of the JASZ. This was an issue that was addressed in the JASZ II, where there was a framework for monitoring, based on the SNDP (GoZ 2010a). Given that Finland was active in the development and operationalisation of JASZ I and II, this indicated that strategic action on aid effectiveness was reasonably strong between Finland and other donors.

Finland was also active in other aid co-ordination mechanisms in Zambia, which were the Co-operating Partners Group (CPG) that consisted of two forums – the Heads of Co-operation (HoC) and Heads of Mission (HoM). The HoC addressed operational multi-sector issues, as well as strategic development policy issues, while the HoM dealt with strategic dialogue with the GoZ. The groups were also responsible for overall co-ordination and aid effectiveness issues, and monitored and reviewed implementation of the JASZ. Finland was the lead donor in the Agriculture Co-operating Partners group and the environment sector, and was co-leader, with DFID, in the Private Sector Development Co-operating Partners Group. Finland also co-ordinated the dialogue on trade development, and was active in promoting procurement reform as part of its public administration reform work, in conjunction with the

World Bank. The EU did not have a particularly high profile in Zambia, and political dialogue in 2012 was reported as not being regular, which meant that Finland had less opportunity to work in conjunction with the EU (Embassy of Finland 2012).

These frameworks for shared goals and strategic action were, however, only with traditional donor partners. Partners such as China, Brazil and South Africa were not part of this process. Despite this, it is worth noting that as part of Finland's Private Sector Development activities, Finland became active in the science, technology and innovation sector. This was attractive, according to the Embassy of Finland in Lusaka, as the GoZ had stated that it wished to involve China, India, Brazil and South Africa in sector group activities (Embassy of Finland 2011a).

Division of labour

Finland's programme targeted three main sectors, plus GBS, according to the division of labour outlined in the JASZ. Finland exited the education sector, but it was reported that this sector and the health sector were still congested (OPM 2010). Also, Finland adhered to the division of labour process in principle, rather than in practice. In practice, it was operating in more sectors than the three on which, according to the JASZ and EU policy, it should have been focusing.

Joint accountability

There were no mechanisms for joint accountability between donors. The JASZ I lacked targets, an implementation plan, and performance indicators. In the JASZ II, there was a framework for monitoring based on the SNDP, but no mechanism for monitoring donor adherence to the JASZ. Eventually, the Zambian mutual accountability framework was developed, which may go some way to establishing mechanisms for accountability between donors.

In summary, external complementarity of Finland's programme in Zambia was only partially achieved in terms of strategic goals and strategic actions, while the division of labour process and joint accountability were very weak. The complementarity that occurred was mainly driven by internal country frameworks for aid harmonisation through the JASZ I and II. It was underpinned by the Paris Declaration, rather than Finland's development policy, which did not provide mechanisms for implementing an agenda on complementarity. The decision to engage in the various aid harmonisation initiatives in Zambia was a result of individual staff initiatives in the Embassy of Finland in Lusaka.

5.2 Internal complementarity of Finland's development co-operation

Internal complementarity refers to co-ordination and coherence between Finnish participants in development and the instruments and mechanisms to achieve such complementarity. This dimension will be addressed with an analysis of overall comple-

mentarity in the country programme, in NGO co-operation, and in the IKI instrument and regional programmes.

5.2.1 Internal complementarity in the country programme

Shared goals

The programme in Zambia was not fully in line with the coherence and complementarity objectives emphasised by Finland's development policies over the period evaluated. This particularly became more challenging towards the end of the period evaluated, due to a growing fragmentation of the programme. The development policy of 2004 emphasised coherence in development policy, but the country programme in Zambia was not extensive at that time. This meant that, coherence was not a key issue, as there were only programmes in education and agriculture. The 2007 and 2012 Development Policy highlighted the international context and the need to strengthen Finland's engagement with multi-lateral organisations, such as the EU, regional institutions and through CSOs. Finland's programme in Zambia adhered to this, as there was a significant amount of co-financing of programmes with a number of multi-lateral organisations. The Sustainable Livelihoods through Private Sector Development programme was funded with the UN and co-ordinated by the ILO. The Smallholder Productivity Promotion Programme was co-financed with IFAD, and the Integrated Land-Use Assessment Project Phase II was funded through the FAO. In addition, the Social Protection Expansion programme funding from Finland was channelled through UNICEF. The World Bank was a key partner for Finland in Public Financial Management, and the EU and the AfDB in agriculture. Finland also funded CSOs through the Civil Society Environment funding, and was involved in regional programmes, as outlined in Annex 5 and 6.

Cross-cutting themes were another area highlighted in the 2007 Development Policy. These included promoting human rights, the rights of women and girls and groups that were easily excluded, and combating HIV/AIDS. The 2008 Embassy of Finland in Zambia Participation Plan, mentioned for the first time the environment, gender equality, participation of the most vulnerable, and combating HIV/AIDS, as well as human rights-based approaches.

The Country Strategy 2013-2016 also stated that cross-cutting objectives – gender equality, climate sustainability and the reduction of inequality – would be incorporated into all sector work (MFA 2012a). These related to the three cross-cutting objectives of the 2012 Finland's Development Policy, although it appears that the main focus of the 2012 policy – human rights-based approaches – was not fully integrated into the programme. It was, however, mentioned that this would be strengthened through a review of human rights-based approaches in the programme, while the capacity of programme staff would be enhanced in this area.

Box 3 The Country Programme in Zambia 2013-2015.

Private Sector Development

- Support to Private Sector Development Reform Programme II.
- Support to the Financial Sector Development Plan Phase II.
- Sustainable Livelihoods through Private Sector Development.
- South African Innovation Support Programme.

Agriculture Finland

- The Programme for Luapula Agriculture and Rural Development (PLARD II).
- Core support to Zambia National Farmers Union.
- The Small-scale Irrigation Project.
- Smallholder Productivity Promotion Programme.
- M & E Support to the Ministry of Agriculture and Co-operatives.

The Environment and Natural Resources Sector

- The Environment and Natural Resources Management and Mainstreaming Programme.
- Integrated Land Use Assessment Project Phase II for 2010-2011.
- Civil Society Environment Funding.

Good Governance and Poverty Reduction

- Poverty Reduction Budget Support.
- Public Expenditure Management and Financial Accountability Programme.
- Public Service Management Programme.
- Social Protection Expansion Programme.

Source: Embassy of Finland 2012b.

The 2012 development policy recommended that the size of programmes and projects should be increased, and the number decreased. There was also to be a limitation of a maximum of three sectors of intervention. This proved difficult to adhere to. Finland did exit from the education sector, but the limitation to three sectors meant, in practice, that existing programmes were merely subsumed in the three sectors. There was also a fourth sector that continued to exist: good governance and poverty reduction. It included not only GBS, but also public financial management, public service management, and social protection. In interviews, the Embassy of Finland in Lusaka said that it had been difficult to confine the programme to specific sectors. Interviewees also highlighted that there were too many projects, and that there was an intention by the Embassy not to undertake any more projects and to eliminate non-performing projects.

Strategic action

In terms of strategic action, complementarity was not supported by systematic mechanisms developed either in Helsinki or in the Embassy of Finland in Lusaka. For instance, there was no systematic analysis of how budget support reinforced and complemented other parts of the programme. There was also no analysis of how projects were complementing each other, or of budget and sector support. Good practice ex-

amples of complementarity did exist, but these seemed to benefit from mechanisms outside co-operation or from ad-hoc efforts by Embassy staff.

There is evidence that most projects and programmes broadly complemented each other's goals and objectives, while there were also synergies between them. GBS provided the overarching framework to the programme. It provided funding to the GoZ budget that was used by the GoZ to expand activities in priority sectors and to focus budget allocations on the most poverty-relevant sectors. This complemented the sector-specific activities of Finland's programmes as it contributed to the funding of core GoZ programmes in these areas and to salaries of staff, strengthening the public sector. Hence, this also assisted Finland's programmes with public sector institutions and sector ministries. As the PAF focused on the achievement of key objectives in sectors, it also helped Finland's programmes by ensuring that appropriate laws or regulations were enacted to provide the relevant context, or that sufficient personnel were in place. The 2009-2011 PAF, for example, included indicators related to approval of procurement legislation and to the number of recommendations in the Auditor General's reports that should be acted on. This supported the Public Expenditure and Accountability Programme (PEMAP) II objectives, while indicators relating to the administrative cost of business licences reinforced objectives in the PSDRP II, which aimed to improve the business environment in Zambia (AfDB 2010b).

The programme was also underpinned by PEMAP I and II, which focused on strengthening public financial management. This had synergies with the rest of the programme as it impacted on the effectiveness of other Finland's programmes that used GoZ financial management systems, and strengthened anti-corruption efforts of the GoZ. This had positive synergies with the rest of the programme.

Other sectoral programmes mainly operated independently from each other and, consequently, there were few synergies between the main programmes that Finland had undertaken in education, agriculture, the environment and the private sector. There were some overlapping objectives as PLARD II and I had components that aimed to encourage the private sector. ENRMMP aimed to encourage good environmental practices, as did PLARD and the Forestry Sector Support Programme. However, there were no overlaps, apart from in terms of goals.

A few projects were specifically designed to be complementary. The Smallholder Productivity Promotion Programme that Finland undertook with IFAD was designed to provide an opportunity to implement PLARD II interventions on a wider scale (Embassy of Finland 2011a). Additionally, the Civil Society Environment Fund provided funds to CSOs to advocate on environmental issues, which directly complemented ENRMMP activities. Other projects were complementary, in a broad sense, with the other programmes in their sector, but did not interlink directly with them. Examples of this were the various private sector projects that Finland was involved in, the Business Development Services Voucher Scheme (BDSVS), and the establishment of a National Business Incubators scheme. Both of these schemes were aimed at improving the business environment, and contributed to the PSDRP I and II objectives. The

Small-Scale Irrigation Project, Capacity Building of the Ministry of Agriculture in Results-based Monitoring and Evaluation, and the Core Support to Zambia's National Farmers Union were complementary to PLARD I and II, which aimed to increase and diversify agricultural productivity (Embassy of Finland 2011a).

Division of labour

The division of labour between the Embassy of Finland in Lusaka and the MFA in Helsinki resulted in the MFA taking the majority of decisions relating to the country programme. The Embassy focused on implementing the programme. The main tasks of the Embassy were an assessment of Zambia's situation from the point of view of Finland's Development Policy objectives and consultations with the GoZ. The Embassy also participated in the preparation of development co-operation projects and programmes, and in monitoring their implementation. The Zambia desk in the Department for Africa and the Middle East in Helsinki provided assistance on a day-to-day basis. The only funds that the Embassy administered were the LCF.

The Performance Audit Report (NAO 2010) provides feedback on how well this division of labour worked in practice. It was noted that this structure led to the administration of Finland's development co-operation being highly centralised, with little scope for independent decision-making at Embassy level in Lusaka. However, there was scope to negotiate the division of labour between the MFA and the diplomatic missions, with agreements made between the Department for Africa and the Middle East and the diplomatic missions. This does not appear to have happened in the case of Zambia. The Embassy also commented that the division of labour between the Embassy and the MFA should be clarified, with more authority delegated to the Embassy in-country.

Interviews with staff in the MFA and the Embassy suggest that this situation eventually improved, as it was reported that the division of labour was very clear between the two institutions and worked well. Decisions were taken in consultation with the MFA and, in particular, the Zambia country desk in the Department for Africa and the Middle East, even though there were no additional decision-making powers delegated to them. On the other hand, it was noted that this decision-making structure did make the programme less flexible in comparison to those of some other co-operating partners. For example, the Embassy of Finland in Lusaka did not have the scope to fund ad-hoc activities in the country. This was highlighted by other donors who commented that MFA decision-making remained very centralised, compared with other donor missions in Zambia. While the positive role that Finland had played as leading donor in the environment sector was noted, the centralised decision-making by Finland had had an undesired impact (Hardcastle *et al* 2010).

In terms of other institutions that strengthen the division of labour, the Quality Assurance Group was highlighted by the Embassy as a mechanism that they found particularly useful. The board provided useful guidance on new projects and programmes submitted for approval, and also provided assurance to the Embassy that their activities were in line with Finland's development policies.

Joint accountability

Mechanisms to ensure joint accountability between the Embassy of Finland in Lusaka and the MFA in Helsinki were weak. A proper Country Strategy process was introduced only recently, while previous Participation Plans were relatively general. There were no formal mechanisms to monitor country programmes and to check if they were in line with Finland's policy and agreed areas of focus in the Country Strategies. There was also no system for applying sanctions if the Embassy diverged from the agreed strategy. The country programme in Zambia was a good example of this, as it clearly did not comply with MFA policy directed at reducing the number of programmes and sectors. As highlighted in 5.2.1.1, there were no mechanisms that MFA could use to ensure that the Embassy did comply, apart from requesting that it reduced the number of programmes.

5.2.2 NGOs and civil society

Shared goals

Support to NGOs and civil society was undertaken via the LCF and through funding from the NGO unit in Helsinki, as well the Environmental Civil Society Fund, which was part of the country programme. The LCF was designed to support the objectives and programmes of NGOs in Zambia that received this funding, so this support was clearly meant to be complementary. This was the case with Finnish NGOs who were funded through the NGO Unit in Helsinki to support local NGOs in Zambia, and also with the Civil Society fund, which supported NGOs involved in advocacy on environmental issues – a key theme of Finland's country programme.

Examples of support from the LCF were funding that was given to four women's organisations to train potential female candidates for the 2011 elections. Support to Community Radio in Mushi-o-Tunya in Southern Province was funded to broadcast programmes on governance issues impacting on communities, with the objective of increasing community participation. It also provided funding to the Zambia Land Alliance and to the Justice for Widows and Orphans Project, which raised awareness on land rights issues (Embassy of Finland 2010a).

Strategic action

Embassy of Finland in Lusaka documents state that LCF projects were specifically designed to complement their co-operation in the environment and natural resources, private sector development, and agriculture, as well as the budget support. Thematic priority areas were stated by the Embassy as being good governance (including transparency and accountability, democracy, and human rights), trade enhancement, and culture – although culture was not a specific priority area of the Finland's programme. However, analysis of LCF projects in Annex 5 Table A5.2 indicated that the level of complementarity between these programmes and the rest of the land programme was rather low.

A number of these projects focused on gender and education, which were complementary to the core Finland's country programme, but a significant number of them

related to culture and sanitation, which did not fit with the rest of the programme. On the other hand, the number of organisations supported by the LCF was reduced at the request of the Embassy, which acknowledged that management of so many NGO programmes was an issue. In 2008, there were 22 organisations that Finland funded through the LCF, but this was reduced to 15 by 2013. This was reported to have contributed to less fragmentation of the programme and to a reduction in the administrative burden for the Embassy.

There was limited information on projects run by Finnish NGOs, funded by the MFA and run from Helsinki. However, a review of such funded projects for 2008 indicated that these activities did not complement the land programme. NGO projects that were complementary were related to strengthening civil society and to women in development, whereas those on law and justice, culture, tourism, and water management and sanitation were not.

Furthermore, the 2010 Performance Audit Report commented that Finnish NGOs funded from Helsinki needed to be more efficient in the co-operation and co-ordination between each other and with the authorities and other operators. This suggests that there was a lack of complementarity between Finnish NGOs, and between these NGOs and government partners (NAO 2010).

In discussions with the evaluation team, the MFA and the Embassy also highlighted the fact that the number of NGO projects was still too large and, as the programme was run from Helsinki, the Embassy in Lusaka had little input into, or oversight of, these projects. This was also raised as a major issue of concern in the 2010 Performance Audit Report. Finnish NGOs funding these projects were located in Finland and mainly monitored projects from there. As the Embassy had no resources for monitoring, oversight was weak.

The report also notes that there was an issue with sustainability as the LCF aimed to enable independent continuing support to NGOs. As the report commented, it was difficult in practice to achieve this objective as support was on a yearly basis from Finland. This situation changed in 2008, with provision for funding NGOs through the LCF over a three-year period. This allowed for more continuity of support, compared with funding on an annual basis, and was designed to better meet the needs of programme partners (Embassy of Finland 2008).

Division of labour

The division of labour for the LCF worked well because the Embassy was responsible for running the LCF scheme and for making decisions on which NGOs to fund. This should, in theory, mean that they were able to screen programmes to ensure that they were complementary to the country programme – although this did not always happen in practice. It gave the Embassy oversight of the whole programme, including the management of the funds and the monitoring of NGO programmes – a logical practice, given that the Embassy is on the ground in Zambia and so is better able than the MFA to supervise the LCF.

In the case of NGO funds managed from Helsinki, the NGO unit tended to operate within a silo. There was little contact with the Embassy, which meant that the Embassy had little information on which of the NGOs in Zambia were being funded. It also limited the possibility of ensuring that funding was for NGOs whose activities were complementary to the country programme, and that there were synergies between these activities.

Joint accountability

There were few mechanisms for joint accountability between the Finland's programme in Zambia and the MFA and those programmes that were aimed at funding NGOs and CSOs. As noted previously, the Embassy of Finland in Lusaka had little contact with those NGOs funded directly from the NGO Unit in the MFA, so there was no joint accountability in this instance. In the case of the LCF, there was little systematic monitoring and reviewing of NGOs that received funding. The Embassy's performance, in terms of its management of the funding, was not reviewed either, so joint accountability ranged from weak to non-existent for the LCF.

5.2.3 IKI instrument

Shared goals

The IKI programmes that were supported in Zambia were designed to strengthen capacity in the collaborating institutions in Zambia and to ensure that they were more effectively able to undertake their organisationally-mandated tasks. To this extent, IKI programmes were designed to meet the priorities and objectives of the partner institutions.

For example, the collaboration between the Department of Geology and School of Mines in the University of Zambia and the Geological Survey of Finland entailed training and provision of equipment to strengthen the capacity of the Geology Department to use geo-information systems (MFA 2011b). Co-operation between the Ministry of Tourism, Environment and Natural Resources (MTENR) and the Finnish Environment Institute (SYKE) supported training in wildlife and diversity, which was relevant to Zambia's tourism. However, the IKI was not able to fully implement planned activities due to donors suspending resources to the ENRMMP in 2010 as a result of unsatisfactory financial arrangements (Embassy of Finland 2011a). Institutional support between MTT Agrifood Research Finland and the Zambia Agriculture Research Institute (ZARI) supported modernisation of laboratory equipment and facilities at ZARI and enhancing the capacity of ZARI staff through training.

Strategic action

A review of the four IKI projects undertaken indicated that two coincided with the core country programme objectives and other projects and programmes. The first related to the IKI between MTT Agrifood Research Finland and ZARI, which complemented other Finnish interventions in the agricultural sector designed to enhance agricultural productivity, competitiveness and investment (MFA 2012a). The second was the co-operation between the MTENR and SYKE, which was co-ordinated under the ENRMMP – the main Finnish environmental programme. The other two IKI pro-

jects related to the Development of Geological Information and Infrastructure and to Developing Sustainable Policy for Radioactive Minerals, both of which involved the University of Zambia's Geological Survey Department and the Geological Survey of Finland. These two IKI projects did not complement the rest of the programme, as they were not in line with the priority sectors and objectives of the Zambia programme, although they were aligned with GoZ priorities.

In interviews, staff working on the country programme expressed the opinion that IKI projects were not well integrated into the programme, and that there was not sufficient information provided on them. This was in contradiction to the fact that the environmental IKI was co-ordinated under the ENRMMP, and that the Embassy of Finland in Lusaka annual and bilateral reports included some information on all of the IKI projects undertaken with Zambia. Also, the Embassy should have been consulted on the proposed IKI projects at the design stage to ensure that they were in line with the rest of the country programme.

Division of labour

The Embassy of Finland did not manage either the IKI or the regional programmes. The IKI programmes were managed and funded from Helsinki, while the regional programmes were funded from Helsinki and managed by recipient organisations in the region. In the case of regional programmes, this appeared to work well and to be a complementary division of labour, as the Embassy was kept informed on these programmes, which complemented the country priorities. In the case of IKI projects, the Embassy reported that it did not have sufficient information on these projects and their activities.

Joint accountability

There appeared to be no joint accountability for IKI projects, as there were no reviews or evidence of monitoring found for the programmes that operated in Zambia. In addition, there were no formal frameworks established for the Embassy of Finland in Lusaka to monitor or evaluate these programmes.

5.2.4 The private sector

Shared goals

Over the period evaluated, Finland conducted a significant number of programmes that were designed to strengthen the business environment and the capacity of the private sector in Zambia. These were in addition to interventions through Finnpartnership, which aimed to promote business partnerships between Finland and developing countries. There were also synergy missions/initiatives to assist in trade co-operation, whereby Finnish companies and other representatives visited Zambia and attempted to develop trade co-operation through regional aid initiatives (Kääriä, Poutiainen, Santisteban & Pineda 2008). Regional integration was another example, as the Common Market for Eastern and Southern Africa (COMESA) headquarters was in Lusaka, and this was also a focus of Finland's initiatives. Finland was also the main co-ordinator of the EIF in Zambia, designed to strengthen Zambia's foreign trade capacity.

Programmes were specifically designed to complement and support private sector activities. Specific examples of this were the PSDRP I and II, which were designed to improve the business environment, and the BSDVP, which was aimed at stimulating demand for business development services by small and medium-sized businesses. There was the Financial Sector Development Plan Phase I and II to reform the financial sector and expand financial inclusion. Other programmes, such as PLARD, had components that promoted private sector activities.

Strategic action

These efforts to provide support that was complementary to the private sector were not entirely successful. The evaluation of the first phase of the PSDRP, which was Finland's flagship programme in this area, found that, due to a lack of results, stakeholder ownership was not high. Policy dialogue was also weak, and the *Zambian Business Forum*, which the PSDRP supported, was not seen as being representative of the business community (Somssich *et al* 2009).

Division of labour

The Embassy of Finland in Lusaka managed the PSDRP programme and some small private sector interventions, while the Finnpartnership and other trade co-operation initiatives were run by the MFA. This division of labour appeared to work well, as the Embassy was consulted and involved in discussions on the MFA private sector and trade promotion schemes. It also facilitated these activities in-country for companies and trade missions that were interested in working in Zambia.

Joint accountability

There were no mechanisms for accountability, apart from the evaluations undertaken of the PSDRP, and there was no evidence of feedback or reviews of trade development activities.

5.2.5 Regional programmes

The two regional programmes addressed the environment and climate sustainability, and therefore coincided with programme objectives and other projects and programmes in this area. The Climate Change and Development Programme was a three-year regional programme from 2008-2010, building on a one-year pilot phase in Zambia and covering Zambia, Mozambique and Tanzania. Its purpose was *climate change related policies and strategies leading to adaptation activities that emphasis the role of forests and water resources in supporting people's livelihoods and associated farming systems* (MFA 2010c, 9). It was run by the MFA, which was not highlighted as an issue in the 2010 evaluation of MFA support to the Forestry Sector in Zambia because this arrangement worked well (MFA 2010c).

The second regional programme was the International Union for Conservation of Nature (IUCN) Regional Climate Change and Development Programme 2008-2010, for which the Embassy was a member of the Steering Committee. These regional programmes were also reported on in the Embassy annual and bi-annual reports, thus

suggesting that the Embassy was able to oversee these activities and had sufficient information on them (Embassy of Finland 2010a; 2011a; 2011b; 2012).

In summary, internal complementarity between the MFA and the Embassy of Finland in Lusaka was only partial as Finland’s development policy provided little specific guidance on implementing complementarity, and there were no mechanisms to monitor or enforce complementarity. It was also a mixed picture in terms of the achievement of internal complementarity with NGOs, IKIs, regional programmes, and the private sector. Some projects were specifically designed to support sector programmes. There were, however, many projects and programmes that were not well aligned with the country programme objectives.

5.3 Summary of findings on external and internal complementarity

A summary of findings on the external and internal complementarity of the Finland’s programme in Zambia is given in Table 3 and Table 4.

Table 3 Summary of Finland’s Achievement of External Complementarity in Zambia.

Dimension of Complementarity	Government	Donors
Strategic goals	Partially achieved, as the programme was broadly aligned with GoZ policies and strategies, outlined in the GoZ FNDP and SNDP and in Vision 2030. There was divergence in some areas, such as Finland’s human rights based approach in the 2012 Country Strategy and GoZ’s on infrastructure.	Partially achieved, as, despite shared goals between donors and Finland in sector programmes, GBS goals diverged. There was good collaboration through sector support. There was still overfunding of some sectors, but Finland exited from the health sector.
Strategic action	Partially aligned with GoZ sector plans, as sector programmes were based on GoZ sector plans, but not all projects. GoZ Aid policy not fully complied with (budget support declining), nor with the JASZ process.	Partially achieved, as it was undertaken through the JASZ I and II processes. Finland was very active in the various aid co-ordination mechanisms in Zambia and had taken the role of lead donor in various sectors. This did not include non-traditional partners, however.

Division of labour	Weak, as limited because Finland was responsible for very specific inputs, which contributed to budget support and funding specific GoZ programmes. The main area of responsibility for Finland was development effectiveness, an area Finland in which it had been very active.	Weak, as there was not strong GoZ leadership of the division of labour process. Some sectors were still over-congested, and the cross-sector co-ordination was not completely achieved in terms of ensuring there were not over-attended or orphan sectors.
Joint accountability	Weak, and limited to the mutual accountability process through the Paris Declaration. A Zambian mutual accountability framework is currently being developed.	Weak, and limited to the mutual accountability process through the Paris Declaration. A Zambian mutual accountability framework is currently being developed.

Table 4 Summary of Finland’s Achievement of Internal Complementarity in Zambia.

Dimension of complementarity	MFA/Projects and Programmes and regional programmes	NGOS/CSOs	IKI instrument	Private sector
Strategic goals	Partial, as development policies of 2004, 2007 and 2012 were very general. They were at the level of overarching goals and principles, and not specific to sectors. Strong for most projects and programmes, and for regional programmes, as both closely coincided with goals.	Strong, as designed to support goals and objectives of partner organisations.	Partial, as only two of the four IKIs had goals aligned with core programme goals and objectives in Zambia.	Strong, as programmes had been specifically designed to complement and support private sector activities, although PSDRP became less complementary over time.

Strategic action	<p>Weak, as there were no mechanisms to systematically assess and monitor complementarity of the programme.</p> <p>Strong for regional programmes, as there were synergies with the rest of the programme.</p>	<p>Weak, as not all NGO support from MFA & LCF projects was in priority areas of the Finland's Country Programme in Zambia.</p>	<p>Weak, as not all were focused on priority areas of the Country Programme.</p>	<p>Strong.</p>
Division of labour	<p>Broadly achieved, although re-sourcing of the Zambia desk in the Department for Africa and the Middle East was an issue. Policy guidelines were not always sufficiently practical to provide clear advice on programme implementation.</p> <p>Strong for regional programmes, as the Embassy had information and some oversight.</p>	<p>Strong, as it was managed and overseen by the Embassy of Finland in Lusaka for LCF.</p> <p>Weak for NGO funding from MFA, as there were limited links with the Embassy.</p>	<p>Weak, as the Embassy had no influence on IKIs implemented or information on activities and progress.</p>	<p>Strong, as the Embassy was consulted and involved in discussions with the MFA's private sector and trade promotion schemes.</p>
Joint accountability	<p>Weak, as there were no mechanisms to ensure this.</p>	<p>Weak, as there was limited monitoring and evaluation.</p>	<p>None.</p>	<p>Weak, apart from evaluations of the PS-DRP.</p>

6 EFFICIENCY OF THE PROGRAMME

6.1 Information management

Information management processes were not highlighted to any degree in the documents reviewed. The Performance Audit Report (NAO 2010) mentioned that Embassy of Finland staff in Lusaka thought that the monitoring and reporting duties of the MFA and Embassy should have been made clearer. This was because the formats used were mainly based on projects, and should have been adapted for programmatic aid.

For this desk review, information was difficult to find, as it appeared that project documents, reviews and evaluations were not systematically archived. Furthermore, there was a general lack of reviews and evaluations of specific programmes implemented – an issue highlighted as a flaw in MFA systems in the 2011 Evaluation of a Results Approach in Finnish Development Co-operation. That evaluation also noted that there was little focus on results during the period evaluated (Poate, Bartholomew, Rothmann & Palomäki 2011). This all suggests that internal information management systems were not strong.

6.2 Financial management

There was little information on financial management in the documents reviewed. There was however some evidence that project and programme management systems may have been inadequate. An audit of the BDSVP – which came to an end in 2011, and was funded by Finland and the Netherlands – found financial irregularities. These included ineligible programme expenditure of €100.000 and irregularities in procurement, while an audit of the PEMFA programme found that there were problems with payment processes (Embassy of Finland 2011c).

6.3 Staff and resources

Staff from the Embassy of Finland in Lusaka interviewed for the Performance Audit Report (NAO 2010) stated that more staff resources were needed by the Embassy. It was argued that more adequate resources were required, given that programming, planning and monitoring of development co-operation were undertaken in-country. Taking the lead in sectors such as environment, agriculture, and private sector development also led to additional responsibilities/workload, but no extra resources.

According to information collected for this evaluation, there were nine members of staff in the Embassy of Finland in Lusaka involved in development co-operation on a full-time or part-time basis. Staff were organised in three sector teams in environ-

ment and forestry, agriculture, and in private sector development. Three sector advisers covered these key areas of the programme. There were few comments made by interviewees regarding current issues with staffing in the Embassy. The only issue highlighted was that staff from Helsinki posted to Zambia rotate regularly, so the main institutional memory of the programme was therefore with the local Zambian staff.

There was, however, an issue with staffing the Zambia desk in the Department of Africa and the Middle East. Although the desk was reported to provide good support to the Embassy, it lacked continuity in terms of personnel. There was recently only one senior officer assigned to the desk, and the high turnover of staff in the Department for Africa and the Middle East was an issue. This led to a lack of institutional memory, particularly as interns on short-term contracts were used to fill gaps in staffing.

6.4 Guidelines and training

There was guidance provided by the Department for Development Policy on various aspects of MFA's activities. But guidance on bilateral co-operation dated back to 1999-2000. It was updated only in 2012, including comprehensive instructions for country strategy papers. It was also noted in interviews that the policy guidelines provided were often not sufficiently practical to be useful in-country. This was because it was not always clear how they should be implemented on the ground. There were also reported to be too many instructions and guidelines given to country programmes from different parts of the Finland's government, as both sector ministries and the MFA sometimes provided guidance. This was often confusing for those attempting to implement them, and for the country desk that provided support to the Embassy. Sector policies in particular were perceived to be out of date and developed in co-operation with different ministries, which in some cases led them to be contradictory.

These comments were similar to those made in the Performance Audit Report (NAO 2010), which reported that MFA guidelines for projects, sector support and budget support should have been more concrete. The report also said that project guidelines should have better taken account of the challenges and procedures introduced with complementarity and the division of labour. This suggests that efforts had not yet been made to strengthen these guidelines.

6.5 Transaction costs

The 2010 Performance Audit Report observed that there had been insufficient systems in place to track administrative costs and working time spent on various tasks in the Embassy of Finland in Lusaka. In theory, enhancing the complementarity of the programme should result in increased efficiency and a reduced workload, thus reducing transaction costs.

However, more GBS and sector programmes and aid effectiveness processes can result in increased time spent on dialogue and co-ordination of interventions. The document review for this study did not yield any additional information on this issue. However, evidence relating to GoZ transactions costs was provided by the 2011 Evaluation of Budget Support in Zambia. This stated that *“the increasing size and share of aid that is subject to GoZ’s budgetary processes . . . did not lead to a substantial reduction of overall transaction costs because GoZ still faced the challenge of administering huge off-budget inflows from co-operating partners”* (de Kemp *et al* 2011, 5). It is not known if this was the same for Finland’s programme, although it was noted in interviews that the recent development of a mutual accountability framework had been a long and time-consuming process.

The Embassy also highlighted that disbursement of Finland’s sector co-operation in the environment and the private sectors was very low. This indicated that there were additional transaction costs of joint working, as it took time to work with partner ministries and ensure that they have sufficient capacity to implement programmes effectively (MFA 2010b).

In summary there was no systematic process to review and evaluate programmes during the evaluation period. There was also little information on financial management and some evidence that project and programme management systems may have been inadequate. Staffing of the Zambia Desk in the Department for Africa and the Middle East was inadequate leading so a lack of continuity, while guidelines provided by the MFA were not always sufficiently practical to be useful. There were additional transaction costs of joint working, as it took time to work with partner ministries and ensure that they have sufficient capacity to implement programmes effectively

7 RESULTS AND SUSTAINABILITY

There was no systematic monitoring of programme results over the period evaluated, as systems were not established to undertake this. Therefore, this section looks at results in terms of Finland’s progress toward achieving the Paris Declaration indicators as a measure of complementarity and results in joint programmes.

7.1 Progress towards achieving complementarity in Finland’s programme in Zambia

Zambia made mixed progress towards achieving Paris Declaration indicators, as recent annual assessments illustrate in Table A4.1 Annex 4. Finland’s performance was better than the overall scores for Zambia, although, in recent years, Finland’s progress

was reversed in some areas. However more recent figures since 2010 are not available. In terms of using common arrangements and procedures to deliver and manage aid, the 2010 target for Zambia overall was for two-thirds of aid flows to be provided through programme based aid, which was not met overall. For Finland, the indicator was higher than this target – 77% in 2005 and 79% in 2007, although this declined to 67% in 2010. Finland’s use of GoZ public financial management systems was high at 82% in 2007, but this fell to 65% in 2010 and was lower than many other bilateral co-operating partners.

The percentage of the programme that used country procurement systems was higher than the average, although declined considerably as Finland scored 90% in 2005, 84% in 2007 and 68% in 2010. Finland’s co-ordination of technical co-operation in Zambia improved and was 79% in 2010. This exceeded the target of 50%, but then fell from 86% in 2007 to 79% in 2010. The majority of aid to Zambia was untied at 98% and Finland scored well on this at 97 %. Only 25% of Finland’s missions were conducted jointly in 2010, and only 50% of analytical work was undertaken jointly in 2010 (OECD-DAC 2011a).

7.2 Complementarity leading to programme results

A substantial proportion of Finland’s programme in Zambia was allocated to GBS, which was designed to decrease poverty in Zambia, among other objectives. According to the recent evaluation of budget support in Zambia (de Kemp *et al* 2011), budget support in the health sector contributed to a more harmonised and co-ordinated approach, and strengthened ownership by making GoZ responsible for progress in the sector. Budget increases from GBS contributed to improved service delivery, and especially to improved urban and rural health facilities, medical staff, drugs supplies, and use of facilities, while the number of health workers also increased. The efforts of GoZ and donors produced positive results, which reduced tuberculosis and malaria among children.

In the education sector, budget support and the sector pooled funds, which Finland contributed to until 2007, resulted in increased resources for education and enabled the Ministry of Education to invest more in teachers, classrooms and books. The enrolment of girls improved, and gender parity was almost achieved at the lower and middle basic levels. The number of Grade 9 examination candidates increased, but the quality of education remained low – partly as a result of a lack of resources.

In agriculture, there was less success as both the government and co-operating partners agreed that improving the agricultural sector was a precondition for the reduction of poverty in rural areas, but disagreed on the instruments to achieve this goal. Donors wanted to provide investments to enhance productivity through farming techniques and capital investment. The government used the increased resources from budget support to increase expenditures on subsidies for the Fertiliser Support

Programme and the Food Reserve Authority. As a result, there was less evidence of good results achieved in this sector.

In PLARD II, the first joint annual review in 2011 noted that there was poor communication among stakeholders, delayed procurements of outsourced services, and stringent financial systems that slowed programme implementation. However, significant progress was made on results-based planning (MFA 2011c). In the case of the ENRMMP, which was financed through a basket funding arrangement with Denmark and GoZ, there were similar problems with financial management arrangements and disbursements to the capacity building component, which led to funding being suspended in 2010.

In the private sector, the PSDRP was designed to achieve change in the business environment. The main findings of the 2009 evaluation were that: i) the programme structure did not help management decision-making and was too broad to report against with complicated systems of accountability; ii) the private sector policy dialogue was disengaged; iii) the bottom up orientation process created reform bottlenecks and the *Zambian Business Forum* was not universally accepted as representative of the private sector. Finally, there were no measurement of results, and there was a lack of management systems. Although private sector development was a *Zambian-owned agenda*, ownership of reform was weak and stakeholder ownership was high, but diminished due to a lack of tangible results in the sector (Somssich *et al* 2009).

The Embassy of Finland in Lusaka also noted that the capacity of the GoZ was a factor that restricted the achievement of results in the private sector, and the United States Agency for International Development (USAID) managed to achieve good results in the private sector by bypassing GoZ co-ordination mechanisms. On the other hand, the Finnish experience was to use GoZ co-ordination mechanisms, which was acknowledged to be a slower process and there was likely to be an issue of sustainability when the programme ended (MFA 2008b).

In the forestry sector, the 2010 evaluation of Finnish support to the forestry sector commented that, although it responded to the needs and priorities of the Department of Forestry, participatory forest management, which was a key aim, had not yet been implemented. There were also no discernable impacts of PFAP outcomes in terms of economic benefits for local communities (MFA 2010c). On the other hand, support to the FAO ILUA centre had positive benefits in terms of producing forest cover and land use maps for Zambia.

This suggested that increased complementarity through budget and sector support in Zambia was effective in achieving results when there was strong GoZ ownership, and if the objectives of the GoZ and donors were aligned. For example, in health and education, the policy interests of donors converged with a broadly similar perspective of GoZ on sector objectives and strategies. This led to more financial resources channelled to these sectors and the promotion of policy improvements through a

harmonised and aligned dialogue. In contrast, in agriculture, the objectives of donors and GoZ diverged, and fewer satisfactory results were achieved. Additionally, funding through GoZ institutions and systems tended to slow down implementation, due to capacity issues.

7.3 Cross-cutting themes and objectives

There was a mixed performance by Finland both in including cross-cutting themes and objectives in the country programme and in addressing them in practice. Cross-cutting themes were included as key elements of Finland's programme in Zambia throughout the period evaluated. From 2004 to 2007, cross-cutting themes were good governance issues, such as democracy, rule of law, and anti-corruption. These were the main themes of bilateral negotiations between Finland and the GoZ (MFA 2008a).

The MFA Evaluation of Cross-cutting Themes in Development Co-operation in 2008 noted that other issues, such as gender inequality and combating HIV/AIDS, did not feature strongly in Finland's policy dialogue. However, the Embassy of Finland in Lusaka made statements supporting gender equality, but these were not translated into programming. In 2008, environment, gender equality, participation of the most vulnerable, and combating HIV/AIDS were, for the first time, included in the Zambia participation plan, as well as human rights-based approaches. Nevertheless, no specific targets were set for achieving progress in these areas – apart from the environment, which did have a target – and cross-cutting themes did not feature in the Embassy Contract with the MFA for 2008 (MFA 2008a). The evaluation also noted that the expertise of the councillors in the Embassy in 2008 did not include any of the cross-cutting themes in the Finland's programme, and were not delegated to any particular councillor. There were also no systematic linkages with MFA Advisers on cross-cutting themes, and co-operation with these advisers was not considered sufficient by Embassy staff as it happened on an ad-hoc basis. It is not known whether this situation has changed more recently.

The Country Strategy 2013-2016 stated that the cross-cutting objectives of gender equality, climate sustainability, and reduction of inequality will be incorporated into all sector work, as these adhere to the three cross-cutting objectives of the 2012 Finland's Development Policy (Embassy of Finland 2012).

Cross-cutting themes were addressed well in some programmes. In the education sector, Finland supported the Education Sector Plan (ESP) from 2003-2007, and the MFA Evaluation of the Cross-Cutting Themes in Finnish Development noted that *support in the education sector shows best practice of mainstreaming cross-cutting objectives and promotion of human rights*"(Kääriä et al 2008, 53).

There was also a strong emphasis on cross-cutting themes and rights-based approaches in other Finland's sector programmes. In the environment sector programme, gen-

der equality strategies, combating HIV/AIDS, good governance and human rights were included. PLARD Phase II 2010-2014 stated that gender inequality and combating HIV/AIDS had been mainstreamed into the programme and that environmental aspects and climate change had been addressed (PLARD 2010).

On the other hand, the PSDRP memorandum of understanding included human rights, democracy, rule of law and good governance as fundamental principles of co-operation, but did not explicitly address cross-cutting themes in its first phase. The External Review of Core Support under the Joint Financial Agreement to Zambia National Farmers Union commented that *the aim of cross-cutting objectives: gender, HIV/AIDS and environment in the ZNFU organisation and activities have generally not had sufficient attention and results are unsatisfactory* (Chipeta, Chileshe & Overgaard 2012, 6). It was also noted by the Embassy, in the 2012 Annual Report, that in the second phase of the PSDRP, gender mainstreaming did not advance in 2012. This was despite Finland attempting to progress this component and requesting information on progress (MFA 2012b). In the Civil Society Environment Fund, the Embassy noted that monitoring and reporting on cross-cutting objectives such as gender equality remained a challenge (Embassy of Finland 2011a).

In the forestry sector, the 2010 evaluation stated that cross-cutting themes of governance, equity, gender equality and combating HIV/AIDS was not been sufficiently captured in the intervention design and implementation. Project documents referred to these cross-cutting themes, but they were not addressed effectively in logical frameworks, indicators or targets, and there was no guidance on how they should be addressed in implementation. Donors also commented to the evaluators that they were not aware that Finland puts an emphasis on this in forestry interventions (Hardcastle *et al* 2010).

Finland was also active in attempting to include cross-cutting themes in GBS and sector dialogue. Participating in the GBS group allowed Finland to ensure that an indicator related to the environment was included in the GBS PAF, despite resistance from some other co-operating partners (MFA 2011a). Respect for human rights was one of the underlying principles for budget support, and most dialogue on human rights occurred within the GBS framework sector. Finland, as lead donor on the environment, was able to use this position to raise environmental issues in budget support dialogue. More recently, Finland was active in the development and implementation of the EU Human Rights Strategy, as well as the EU Gender Equality and Women's Empowerment Plan.

The MFA evaluation of cross-cutting themes commented that dividing cross-cutting objectives among donors in Zambia, with each taking a lead according to the division of labour, could be a positive factor. On the other hand, it could result in only the lead donor taking responsibility for the issue and other co-operating partners becoming less interested (Kääriä *et al* 2008). Therefore, there was a danger that complementarity in this instance could lead to less attention to cross-cutting objectives.

7.4 Sustainability

The main driver towards increased complementarity and co-ordination in Zambia was the consensus among donors who implemented a series of initiatives to increase aid effectiveness. This in turn, provided a framework through which Finland and other development partners could harmonise their programmes and align better with GoZ priorities.

Towards the end of the evaluation period, this process began to reverse or slowdown in some areas. This was as a result of a number of factors related to “donor fatigue” and diverging co-operating partner agendas. Another factor was the emergence of financial irregularities due to weaknesses in GoZ public financial management systems and a lack of GoZ leadership, and changes in personnel when the new government was formed.

In addition, the different domestic agendas of development partners resulted in a lack of harmonisation within the GBS group. This led to an inability to agree joint positions, with consistent priorities communicated to the GoZ. The 2011 evaluation of budget support in Zambia commented that, in some instances, interference from development partners’ headquarters hindered local harmonisation and alignment attempts.

There was a move away from using GoZ systems as a result of weaknesses in public financial management and procurement systems, and a lack of capacity to manage reporting and financial systems in sector ministries. Issues with fraud in 2009 and 2010 resulted in donors withdrawing from health and roads common funds. In the Public Expenditure Management and Financial Accountability Project (PEMFAP) a review of financial management transactions found some weaknesses in financial systems used (REPIM & OPM 2010). This made development partners more wary of using GoZ systems and resulted in Finland in 2012 not paying the scheduled €4 million for GBS as the preconditions and indicators for disbursement were not met (MFA 2011b). It also resulted in the use of less aligned aid modalities, as the new support for public financial management, which Finland was contributing to, was through a World Bank multi-donor trust fund, rather than a basket fund. Finland also established a PIU for its agricultural programme (MFA 2010b).

A final challenge for the future will be that some traditional donors were phasing out their support to Zambia, while others were changing strategy, which was likely to change working arrangements. ODA overall also decreased to below 5% of the GoZ’s budget in 2012, compared with 21% in 2004 (OECD-DAC 2013), which means that co-operating partners have less influence. Emerging partners such as China, India, Brazil and South Africa were becoming more prominent, and although they were invited to aid co-ordination forums, they did not attend. This meant that there was less prospect of Finland or other co-operating partners co-ordinating more with these countries’ activities.

In summary Finland's progress towards achieving the Paris Declaration indicators was mixed, as the good progress made in the early years of the evaluation period, had begun to reverse by the end. Increased complementarity through budget and sector support in Zambia was effective in achieving results when there was strong GoZ ownership, and if the objectives of the GoZ and donors were aligned. There was a mixed performance by Finland both in including cross-cutting themes and objectives in the country programme and in addressing them in practice. A particular achievement was that Finland ensured that an indicator related to the environment was included in the GBS PAF. The sustainability of gains achieved in terms of complementarity may be compromised in the future by "donor fatigue", diverging co-operating partner agendas and concerns regarding weak GoZ public financial management systems.

8 CONCLUSIONS

8.1 Information Management

Information management in Finland's development co-operation with Zambia was characterised by major deficiencies during the period under review (2004-2012). In the first place, there seemed to be little institutional memory with regard to key elements of the country programme – for example, bilateral negotiations, evolving programme priorities, and results achieved. Moreover, there were few reviews or evaluations undertaken during the period evaluated. Project and programme monitoring and management systems were not adequate. This was due to the fact that systems for regular monitoring and review of projects were not established or required by the MFA.

As a result, audits discovered financial irregularities in two programmes, as the financial systems used by the Embassy of Finland in Lusaka were not sufficiently robust. This is a key issue as there is a need for Finland to show results and account for the efficiency and effectiveness of the programme. In addition, IKI projects and NGO co-operation managed from Helsinki largely operated in silos, without adequate mutual information sharing with mainstream development co-operation. Again this was due to the fact that there was no requirement by the MFA for the programme managers of either the IKI or the NGO co-operation programme to share information with the Embassy. As a result, there had been no formal systems established to undertake this and any information sharing was on an informal basis.

8.2 External complementarity

Finland originally made good progress towards meeting the Paris Declaration indicators, but this was reversed in recent years. Less use was made of GoZ systems and less support was provided through programme aid. This was due to concerns by the Embassy of Finland in Lusaka that GoZ public financial management systems were not sufficiently strong. Weaknesses in these systems were revealed when financial irregularities emerged. Further strengthening of GoZ public financial management systems is likely to be necessary in order to reverse this trend in Finland using Zambian country systems.

Results from programmatic support suggested that increased complementarity was effective in achieving results only when there was strong GoZ ownership and if the objectives of the GoZ and donors were aligned. However, funding through GoZ institutions and systems tended to slow down implementation, due to capacity issues. This suggests that joint mechanisms for support should only be used when there is strong GoZ ownership and objectives are shared with donors. Also, this type of support should be undertaken in conjunction with capacity building measures for the recipient institution.

There are future challenges in achieving complementarity relating to sustainability. These challenges are due to “donor fatigue”, diverging co-operating partner agendas, the emergence of financial irregularities as a result of weaknesses in GoZ public financial management systems, and also a lack of leadership from the new government. In addition, the presence of partners such as China, Brazil and South Africa, and the fact that ODA is now a small part of the GoZ budget, may weaken the cohesion of aid co-ordination frameworks or make them less relevant. Therefore, maintaining strong complementarity with other donors and the GoZ may become increasingly difficult for Finland in such an environment.

8.3 Internal complementarity

Finland’s development policies did not provide a clear framework for implementing internal complementarity. Regional programme goals nevertheless coincided with those of the country programme and the Embassy was able to have sufficient information on progress. The LCF was also mostly complementary to country programme priorities. However, the Embassy had no oversight or control over NGOs funded in-country by the MFA directly. Similarly, IKI programmes were designed and implemented without Embassy or Country Desk involvement. There was hence no systematic opportunity to ensure shared goals. Better information sharing on IKI and NGOs funded from Helsinki is needed to improve this situation, while improved guidance on complementarity from the MFA and enforcement of this guidance is also necessary.

8.4 Cross-cutting themes and objectives

Cross-cutting themes and objectives were not addressed effectively and in a systematic way, although the environment was successfully included by Finland in the GBS PAF. Other cross-cutting objectives, such as gender equality and combating HIV/AIDS, although highlighted in country programme documents, did not feature in Finland's policy dialogue or were not translated into programme implementation. Complementary approaches through the use of joint programmes by Finland presented an opportunity for greater mainstreaming of cross-cutting objectives in development partner activities. However, in practice, it appears that problems occurred in trying to ensure that cross-cutting objectives were adequately included.

A more systematic and realistic approach to addressing cross-cutting objectives is likely to be helpful. This should be based on focusing efforts on interventions where Finland is likely to be able to successfully address selected cross-cutting objectives. This is in contrast to the present approach where all cross-cutting objectives are highlighted in project documents, but then often ignored in implementation. The development of targets for achieving cross-cutting objectives by the MFA or the Embassy of Finland in Lusaka will also be helpful in making clear what staff need to achieve.

8.5 Managerial issues

Guidelines provided by the Department for Development Policy were not considered to be adequately clear and easily implementable. This was because the guidelines developed by the MFA were often not sufficiently practical. There were also no guidelines on how to implement complementarity. The division of labour, in terms of decision-making between the MFA and Embassy of Finland in Lusaka, worked well, although problems with adequately staffing the Zambia desk of the Department of Africa and the Middle East impeded the effectiveness of the programme. This was due to the use by MFA of interns for short periods of time to staff the Zambia Desk. This led to less permanent staff being deployed and therefore, the continuity of knowledge on the land programme was eroded.

9 RECOMMENDATIONS

The following section provides recommendations related to the main conclusions outlined above.

9.1 Information Management

1. Systems for regular monitoring and evaluation of the performance of projects, programmes, IKI, Local Co-operation Fund (LCF) and NGO projects run by the MFA need to be established in country strategy documents (possibly in an annex to the current Country Strategy for 2013-2016) to demonstrate effective programme performance and to learn lessons for future programming. Implementation of the guidelines outlined in the Manual for Bilateral Programmes 2012 is expected to address this issue.

9.2 External complementarity

2. Finland needs to increase the use of Zambia's financial and administrative systems to increase external complementarity in line with Paris Declaration commitments. Where public financial management systems are weak, increased support should be given to strengthen these systems. Further, capacity building support should be considered to strengthen government systems and capacity to ensure quicker implementation of joint programmes.
3. Programmatic support should be undertaken only where there is strong government ownership and the objectives of the GoZ and Finland are aligned.
4. Further efforts should be made to work with non-traditional development partners and, where possible, to increase complementarity with their programmes. Finland should lobby with the GoM and in the donor community to invite non-traditional partners to development forums and initiatives to increase complementarity with their programmes where possible.

9.3 Internal complementarity

5. The Embassy of Finland in Lusaka needs to reduce the number of sectors within which it is working, and reduce the number of programmes overall. This can only be undertaken over a period of time, as commitments have already been made to current programmes and project. However, new programmes should not be undertaken by the Embassy and as a result the country programme will reduce as on-going programmes finish.
6. There needs to be greater complementarity between the country programme in Zambia – in terms of goals and objectives – and those of IKI and NGO sup-

port provided by the MFA. Also, greater information should be provided on these programmes to the Embassy so that they can ensure greater oversight of these activities in-country. This could be undertaken through strengthening the monitoring systems of these interventions, as noted under the recommendation on information management. The Embassy should also sit on the boards or coordinating bodies of the IKI projects.

9.4 Cross-cutting objectives

7. There needs to be greater attention paid to cross-cutting objectives in programme implementation. Rather than focusing on all three cross-cutting objectives in Finland's 2012 development policy (gender equality, reduction of inequality and climate sustainability), a more systematic and realistic approach to addressing cross-cutting objectives should be used. This should be based on focusing efforts on interventions where Finland is likely to be able to successfully address selected cross-cutting objectives. The country strategy should include clear targets related to cross-cutting objectives need to be developed, so that the Embassy knows what it needs to achieve.

9.5 Managerial issues

8. Clear policy guidance needs to be provided for Embassies by the MFA on how to implement complementarity within country programmes. There is also the need for development of frameworks and indicators in country strategy documents through which the achievement of objectives related to this can be monitored by both the Embassies and the MFA.
9. The MFA should provide increased levels of permanent staffing for the Zambia Desk in the Department for Africa and the Middle East and reduce the number of interns used.

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THE EVALUATION TEAM

Dr. Lucien Bäck (Team Leader), a national of the Netherlands, has been an independent evaluation specialist since his retirement from active service in the United Nations system in 2012. During his 35-year long career, he managed and implemented numerous complex evaluations at project, programme, strategy and policy levels. He is particularly familiar with capacity development activities, including capacity assessment and strategy development, as well as results-based management in public and private organisations, including public-private partnerships, privatisation, decentralisation and performance monitoring and evaluation. Major highlights of his career include: a comprehensive evaluation of co-financing between the Netherlands and the World Bank for the Netherlands Ministry of Foreign Affairs (1997-1999); numerous thematic, sectoral and country-programme related evaluations for UNICEF (1999-2006); as well as evaluations related to UN reform for the United Nations Department of Economic and Social Affairs (UN-DESA) (2006-2012). Most recently, Lucien Bäck led the secretariat of the independent evaluation of Delivering as One UN pilot experiences commissioned by the United Nations General Assembly (2011-2012).

Dr. Ann Bartholomew (Leader of the Country case evaluations) is a British macroeconomist with over 20 years of experience in the areas of public finance management, evaluation and strategic planning in health and education. She has undertaken consultancy and development work in Africa, the Pacific and Asia and has wide-ranging consulting experience covering design missions, institutional reviews, programme appraisal, reviews and evaluations, provision of economic policy advice and development of sector strategies. She has worked for a variety of bilateral and multi-lateral institutions, including the Department for International Development (DFID), the World Bank, the European Commission and Danida.

ANNEX 1 TERMS OF REFERENCE

EVALUATION OF COMPLEMENTARITY IN FINLAND'S DEVELOPMENT POLICY AND COOPERATION

SETTING THE SCENE

The information given in this section, at the outset of the terms of reference (TOR), is meant to facilitate the understanding of the structure of the TORs and the nature of this assignment, which is wide in scope but focused ultimately on one theme: complementarity. The evaluation tackles this theme which cuts across Finland's development policy and cooperation over the years. It is also a central element in the international frameworks and commitments dealing with development aid effectiveness and efficient use of resources.

The case-evaluations have been inserted in the evaluation to elucidate the implementation of the policies in vertical and horizontal dimensions. The case-evaluations will look at 1) Civil society organizations' (CSO) cooperation (= NGO -sector), including a limited dimension of Finnish NGOs that serve also in the capacity of delivering humanitarian aid; 2) the specific Institutional Cooperation Instrument (IKI); 3) and at the level of desk studies, two country programmes, those of Mozambique and Zambia. Each of the case-evaluations will result in separate reports, and in the case of Mozambique and Zambia, there will be separate desk study reports on both countries. The IKI-instrument case-evaluation serves a dual purpose, the purpose of defining the instrument's complementary qualities and also as a thorough evaluation of the implementation of the instrument as a whole, and the policy behind it, to draw lessons for future development of this and possibly alike instruments.

The policy evaluation shall be started at an early stage of the evaluation process to inform in adequate measure the case-evaluations at the outset of their work. Only the NGO- and the IKI case-evaluations will include field work. The country case-evaluations will be based on document study and interviews / questionnaires, at this stage.

The work renders itself to a team of evaluators that is organized in clusters, for example, so that the core team cluster is taking the wider policy analysis and the country case-evaluations, and two sub-clusters, one for the NGO case-evaluation and one for the IKI-instrument case-evaluation. In the end, the different sub-groups need to organize themselves so that there will be a concise synthesis of all evaluation results cutting across the case-evaluations and the policy analyses and resulting in a "Synthesis evaluation of complementarity in Finnish development policy and cooperation". The suggestion given here of organizing the work of the evaluation team is only to illustrate the components of the evaluation.

1 BACKGROUND

The following sub-sections offer some background to the frameworks to the concept of complementarity. The focus is, in particular, on how this concept has evolved and been nuanced in Finland's development policies, guidelines and cooperation over time and on links to the international frameworks, and their overall consideration. This evaluation is undertaken at this point of time simply because complementarity has become an increasingly important concept in efforts to improve the efficiency and effectiveness of development cooperation and the individual instruments used therein. The importance of this issue is well illustrated also by the recent joint international commitments taken in the 4th High Level Forum on Aid Effectiveness (Busan). Similarly, the Finnish development policy of 2012 seeks explicitly greater complementarity from the perspective of more efficient use of the current and future resources. The comprehensive approach chosen for this evaluation aims at drawing experiences and lessons from the past from a number of different development contexts and instruments, for the purpose of contributing to the implementation of the current policy objectives of improved complementarity and quest for innovative approaches and new thinking towards complementarity.

Complementarity as a term holds within itself the dimension of interdependence between the parties that complement each other. The term "complementarity", is not defined in the OECD/DAC Glossary of Key Terms in Evaluation and Results Based Management (2002). The Oxford dictionary of English (2005) defines complementarity as: "two people or things that are complementary are different, but together form a useful or attractive combination of skills, qualities or physical features". The Evaluation Guidelines of European Commission (EC) External Assistance (2006), defined complementarity much connected to coherence. In this evaluation the close connection between these two and their connection also to cooperation, is recognized. In the EC-evaluation guidelines (2006), the evaluation criterion of complementarity is approached from three dimensions and levels:

- (i) internal complementarity / coherence of an organization's programme;
- (ii) complementarity / coherence with development partner's policies and with other donor's interventions; and
- (iii) complementarity / coherence with other policies of the European community.

This evaluation will utilize the approaches of internal and external complementarity in terms of horizontal and vertical complementarities within these two approaches.

1.1 Global context

Complementarity is explicitly and implicitly omnipotent in the international frameworks relevant to effective aid. The Millennium Declaration of the United Nations (UN) of 2000, declared "shared responsibility" as a fundamental value essential to international relations in the 21st century. Similarly, the different dimensions of working

in a complementary way appear in the Paris Declaration (PD) of 2005, in the 2008 Accra Agenda for Action (AAA), and in the Busan Partnership for Effective Development Cooperation final document (Busan) of 2011. The PD, AAA, and more recently the Busan, all emphasized the necessity for the donors and the developing country partners to work together and complement each other. The 2011 monitoring of progress in the implementation of PD and AAA, however, showed that there was marked variation in compliance with this requirement among both donors and partner countries. This was observed also by the comprehensive phase II evaluation of PD, completed in 2011. Within the context of the EU, the three Cs (3-Cs: coherence, cooperation, and complementarity) have their roots in the Maastricht Treaty. A comprehensive evaluation by EC's evaluation department, was concluded in 2005 on the implementation of the 3-Cs.

1.2 Description of the subject of the evaluation

The overall subject of complementarity in Finland's development policy and cooperation will be looked through four entry points: the policy itself and the modalities to implement it, and how these have evolved over time, as well as the case-evaluations of NGO-cooperation and Institutional cooperation instrument (IKI), and desk-study case-evaluations of the country programmes of Mocambique and Zambia.

Some background to Finland's development policies over time in regard of complementarity and complementarity/coherence is reviewed in section 1.2.1. A brief account of complementarity in the NGO –cooperation is given in 1.2.2. Information of sectoral and other policy guidelines and action plans are included in section 1.2.3, while section 1.2.4 describes shortly the IKI-instrument.

1.2.1 Finland's development policies

It is of interest to look at the development policies of Finland in a somewhat longer perspective than only the time frame of this evaluation 2004-2012 (section 2), because the notion of coherence / complementarity has resided in the development policies, in one format or another, for at least two decades (1993-2012). In the following there are only brief remarks on the consecutive Finnish development policies with relevance to complementarity.

In Finland's strategy for development co-operation in the 1990s, published in 1993, one of the central themes was *interdependence* between developing and developed nations and between development and other policy areas including sectoral policies of agriculture, trade, labor etc. It was also recognized that *complementarity between actors*, bi- and multilateral, NGOs, and other instruments was important

The 1996 decision-in-principle of the government on development cooperation reiterated the concept of *mutual interdependence* but also the *mutual benefits*. Accordingly, the Finnish cooperation was a *coherent whole* in compliance with the EU *policy coherence*

requirement. Complementarity was required with a *common aid programme* drawn up by the partner country itself. All donors (multi- and bilaterals) would contribute to the common programme to complement the partners' efforts. The policy required that the Finnish cooperation instruments be used selectively and be mutually complementary.

In the 1998 development policy on relations with developing countries, the EU dimension was strong. *Coherence, coordination and complementarity* were stated to be mutually reinforcing in line with the Council resolutions of 1993, 1995 and 1997.

In the Government decision-in-principle of the 2001 on Development Policy of Finland, the programme and project aid were to be *complemented by a variety of other instruments*, including local cooperation funds (LCFs) and other NGO-cooperation instruments, which were seen as a means to *complement the knowledge base*. New ways of working with NGOs were foreseen. Also the multilateral sector was required to follow the principle of complementarity, with *clear division of labour*. *Coherence* between all fora was emphasized. To this end, cooperation between the Ministry of Finance, the Bank of Finland, the rest of the state administration, and the Ministry for Foreign Affairs of Finland, was to be intensified for better *internal coherence* (and hence complementarity) within the sphere of the national governance of Finland.

The development policy of 2004 reiterated *national commitment to coherence in all policy areas*. Accordingly, development cooperation instruments, trade and security policy, and other national policies were to be *coherent and complementary*. The achievement of these aims required improved *policy coherence between national policies, and with policies of multilateral actors, and the EU*. The development policy addressed policy coherence from a number of dimensions which are directly relevant to complementarity, for example, the security and development nexus; LCFs, and other NGO-programmes, and International non-governmental organizations (INGOs); IKI-cooperation in relation to other development instruments; among multilateral actors; and multi- *versus* and bilateral instruments; the EU and the member states. The concept behind this requirement was that *each of the development instruments possessed special competencies which were complementary and mutually reinforcing*.

In the 2007 development policy the *interdependence, complementarity, and coherence* were cutting across the policy. A leading principle was that the economic, ecological and social sustainability, the three components of sustainable development, were complementary. The policy guided Finland to promote coherence for development in the EU. It also foresaw the initiation of *new and innovative financing mechanisms to complement* the traditional development cooperation modalities.

The current, 2012, Development Policy Action Programme states that the development goals of Finland are furthered both through *financial instruments and through policy influence*. The working modalities include bilateral modalities, regional and multilateral instruments, as well as NGO-cooperation and the EU dimension. These instruments

offer also *geographical complementarity*. The wise use of Finland's cooperation instruments and channels enabled Finland to reach out widely.

The 2012 Development Policy brings strongly to the fore the need to think innovatively and devise new ways of thinking and action including in planning of the NGO-cooperation to better serve the strategic goals of the development policy and the other development instruments.

1.2.2 Complementarity in NGO -cooperation

The term NGO-instrument is used here as a general expression that may refer to NGOs in the North and South, INGOs, and LCF-eligible organizations in the South. There are separate guidelines that apply each of the main categories of NGO-cooperation.

In the NGO-guidelines of the Ministry (2010), the cooperation concept is defined as "human activity or a space where people hold discussions and debates, come together and influence their society". The guidelines follow a rights-based-approach, which has been the basis of Finland's development policies since 2004. The current development policy (2012) states that respective funding to NGO-cooperation will increase and new ways of cooperation will be devised. Subsequently, a process has been launched in the Ministry to bring about new thinking of how the civil society organisations could better complement other aid instruments.

The 2012 development policy encourages *NGOs to complement Finland's other development instruments and activities in the partner countries*. NGOs should also work together and forge partnerships with private and public sector actors, and *vice versa* – in other words, be part of the *horizontal and vertical complementarity between development actors*. A new dimension is that NGO-cooperation, which earlier was not part of the country programmes, is encouraged to focus on activities in support of the goals of Finland's development programme in a partner country, in other words, to participate in the *vertical complementarity from high political to grass-roots level*. This concept is new.

Ministry's 2010 guidelines regard NGOs as important players in poverty reduction and in the achievement of the Millennium Development Goals (MDGs). At the community level, local NGOs alone, or those working in partnership with Finnish organizations, frequently have *complementary roles to the official sector* of the country in providing services when the governmental systems lack capacity. Most frequently such services deal with health, education, social welfare, and rural development sectors.

Complementarity with the citizens is another important dimension of NGOs in terms of advocacy towards decision-makers and in exercising policy influence. This role is of particular importance for groups in the society that otherwise have little voice to influence, such as the marginalized groups, ethnic minorities, frequently women and girls, people with disability, people living with HIV/AIDS, or people living in socie-

ties where there are violations of human rights, and shortcomings in rule of law and democracy.

The guideline of 2010 endorses principles of PD and AAA. The NGOs are seen as conduits for a stronger focus *on complementarity and division of labour* between different actors. The AAA emphasises the independent role of the NGOs and sees them *as complementary agents to other development players*. Accordingly, the governments of partner countries need to engage in dialogue with CSOs and understand the *complementary role of CSOs to the efforts of the governments and the private sector*. *The governments, however, must be committed to work together with the CSOs.*

The final document adopted in Busan in late 2011, expresses the need to *work together* and to recognize the contribution of the NGOs and the private sector to development. Busan's final document encourages the NGOs to play their vital role in supporting people to claim their rights, in promotion of rights-based approaches, shaping development policies and partnerships, and in overseeing their implementation. The NGOs are urged to support and implement practices that strengthen accountability, and in this way, to contribute to development effectiveness. Yet, the improvement of effectiveness of aid is linked to harmonization of aid also within the NGO sector. - In the international fora, the important role of the NGOs has been recognized in connection to policy coherence in development, fragmentation of aid, and in the continuum from humanitarian aid through reconstruction to development. Finland participates in the work of the EU, OECD, and like-minded countries, to develop and enhance coordination and harmonization between the NGO sector and donor community. Finland also encourages the UN agencies and development banks to work with the NGOs.

The LCFs are administered by the embassies of Finland. These funds are available to embassies in countries that according to OECD/DAC definitions are eligible for ODA. LCF is covered by a by-law (norm) of the ministry, the latest of which is from 2009 (norm 13/2009, 5.10.2009).

The recent (2012) guideline for Ministry's support to INGOs explicitly states that the purpose to finance INGOs is to *complement the foreign and development policy instruments*. Funding decisions are made on the basis of converging policy objectives and on the high quality of development programmes of these organisations. Finland complies with the criteria of OECD/DAC in the assessment of ODA eligibility of INGOs. Support can be granted as core-funding or as specific project or programme funding. The earlier practice to consider funding proposals by INGOs was that decisions were made throughout the year. Now the new guideline includes a schematic time table for more coordinated approach. The old system that applications and INGO-support projects can be administered in different departments of the Ministry is still valid. The quality group of development cooperation serves as the actual inter-departmental body of discussion.

1.2.3 Other policy guidelines

There are a number of other policy guidelines and action programmes. For example, the guideline for Development and Security in Finnish development policy (2009), emphasizes the need to complement peace building and stability with development efforts. The framework policy for Western Balkans (2009) is based on three guiding principles, namely coherence, complementarity, and effectiveness. Accordingly, the development interventions support regional integration, at the same time promoting peaceful cooperation and mutual understanding within the region. Finland's Africa framework programme (2009) reflects the complementary roles of measures to support democracy, peace and stability, human rights, and development. The leading principles of the programme are coherence, complementarity, and effectiveness.

One of the rising focal areas of the International Water Strategy of Finland (2009) is to identify gaps and borderline areas in the water sector development, where complementary resources and innovative strategies are needed. Other sectoral guidelines include those of the environment (2009), forestry (2009), and agricultural and food security (2009). The Action Programme of Finland's Aid for Trade (2008) support is of particular interest as it looks at complementarity between trade / business and other development instruments. There is also a recent evaluation on Finland's support to Aid for Trade (2011), the results of which are contributing to the new Aid for Trade Action programme 2012-2015, which is currently being finalised. The national programme and guideline for Good Humanitarian Donorship (2007) is also being revised at the moment. The complementarity requirement between the humanitarian actions and reconstruction and development are crucial in situations, where societies are in distress and governments have experienced civil strife, war or devastating natural calamity. Finland has also development policy guidelines for the UN and for multilateral cooperation which are being revised.

1.2.4 Institutional Cooperation Instrument

The idea of cooperation between institutions was introduced in the 2004 development policy (p. 31), refined into a special institutional cooperation instrument (IKI) in the 2007 development policy document. From the outset it was defined as a *complementary instrument* to the other development cooperation modalities. The current IKI-policy is stipulated in the by-law of the Ministry (Norm 3/2010, HELM178-3). This norm does not apply to the institutional cooperation between the higher education institutions (HEI-IKI), which is also left outside the scope of this evaluation.

IKI is used to finance development cooperation between public sector institutions in Finland and in developing countries. The complementarity dimension of IKI-instrument thus expands the concept of complementarity to cover not only the instruments themselves but also to include the complementarity between different actors in cooperation.

The Ministry commissions IKI cooperation to the Finnish institution. Due to the legal status of the institutions, the competitive procurement legislation (348/2007; 321/2010) of Finland does not apply, except in defining those entities that are eligible to direct procurement. The budget of an IKI-project ranges from 50.000 to 500.000 euro. In exceptional cases, for instance, when benefits can be shared by neighbouring countries in sectors central to Finland's development cooperation in these countries, the upper limit can be exceeded.

The theory behind IKI is that official sector institutions in Finland possess significant know-how and technological knowledge that potentially can benefit institutions of developing partners. Preference is given to initiatives, where the Finnish institute has acknowledged competence. IKI-cooperation must be based on expressed needs and initiative of the developing partner. In this respect the embassies of Finland have a significant role in the assessment of the eligibility of IKI-proposals.

Essentially, IKI can be said to improve the service capacity of the partner organizations, product development, enhancing organizational change and development of new modalities of operation, internationalization, networking, and alike. Yet, IKI-programmes are highly focused. The project plans must comply with the logical framework and results-orientation. IKI can support a bilateral intervention implemented in a country, but it needs to have clear objectives, activities, and results of its own.

A consultant has been hired to support the Ministry in the administration and follow up of IKI, although all decisions are made in the Ministry. The consultant monitors and advises on work of implementing partner institutions. The consultant has the obligation to inform the Ministry of all shortcomings or deviations that occur. It also pre-screens the project proposals and collates regular condensed reports on the projects to the Ministry. The administration of IKI-projects is delegated to the geographical departments, with a coordination point in the Department for Development Policy.

1.3 Some earlier evaluations

Complementarity has been a regular criterion in evaluations commissioned by EVA-11 in the last five to six years. A comprehensive evaluations synthesis, performed on evaluations in 2010 (Evaluation report 2010:4), showed that there were weaknesses in considering or discovering the occurrence of complementarity in cooperation as revealed by the 22 wider evaluations performed from 2008 to 2010. In seven of the 22 evaluations, the criterion had been treated well or in an excellent way, in four it had not been considered at all, and there were serious shortcomings in 11 evaluations. Out of the 14 criteria used in the synthesis, complementarity ranked 11/14, meaning that it was among the poorest. Considering the development policies of Finland in the past, and the international frameworks, the poor performance of this criterion was rather surprising.

As compared with coherence, which is closely related to the criterion complementarity, the synthesis evaluation gave a much brighter image. In 17 of the 22 reports, coherence had been dealt with well or in an excellent way. In only four there were serious problems, and one regional programme evaluation had not considered coherence at all. The ranking of coherence was the second best, 2/14 after relevance that was the first. These results suggest that the Finnish development cooperation and policy depicted through the evaluation reports, had been highly relevant and coherent, but had not been particularly complementary.

The management response decision given on the results of the synthesis of evaluation, includes an overall decision that special attention will be focused in the future on those criteria that received poor ranking in the evaluation synthesis (Decision, 16.02.2011, HEL8328-15).

The NGO -cooperation has been comprehensively evaluated in the last five years. In 2008 the Partnership Organization Programme, the LCFs, the special outsourced expert service of FIDIDA, and the NGO foundations (Evaluation reports 2008:1; 2008:2, 2008:4; and 2008:5, respectively) were evaluated, while the umbrella organization for Finnish NGOs, KEPA and the INGO cooperation had been evaluated in 2005 (Evaluation report 2005:5; and 2005:6, respectively). Concerning evaluations from 2008 there are management responses, decisions, and back-reporting documentation available on the implementation of the results of the evaluations.

The Office of the Auditor General of Finland (VTV) published the results of performance audit on complementarity in Finnish development aid in 2010. The case-study countries were Mozambique and Zambia. The main dimension of this particular study was on the implementation of PD (VTV 2010). The study confirmed the results of Finland's country case evaluation in the first phase of the evaluation of PD (Evaluation report 2007:3) that Finland was politically highly committed to the principles of PD (and AAA), but there was room for improvement at the practical development cooperation level. Of the two case-study countries the VTV study (2010) concluded that the division of responsibilities between donors was fairly well advanced in Zambia, but not so in Mozambique.

2 SCOPE

In line with the subject of this evaluation, “complementarity”, the scope of the evaluation is fairly wide. It will look at the overall development policy and cooperation of Finland, and how complementarity is depicted therein, how the measures to ensure complementarity have been instituted and how the respective responsibilities distributed and addressed at different levels. The menu of development instruments, shall be looked at, and how they have been organized, also in regard of participation of different domestic actors in Finland. The complementarity dimension with and within the multilateral support as well as Finland's role in the EU in regard of policy influence to promote complementarity will also be examined.

The special case-evaluations are:

1. Development policy analyse;
2. NGO-instrument overall and, including special case of three NGOs that are participating also in delivering humanitarian aid, as well as the INGO dimension, and LFCs, in countries that are visited,
3. IKI-instrument as a whole, and
4. country programmes of Mozambique and Zambia as desk studies, including country-level information emerging from the other two case-evaluations, as appropriate.

The evaluation will include a thorough research of document material and field visits concerning the IKI- and the NGO-case-evaluations. All components of the evaluation will involve interviews of stakeholders and institutions in Finland, and in the IKI and NGO-case-evaluations also in the countries visited.

The overall international and Finnish development policy framework will be examined through document analyses and interviews. The development policy review will be performed at the headquarters' level of the Ministry and some other line ministries and the respective inter-ministerial task forces that deal with development cooperation and that use development budget funds. Finland's policy influence in the EU and the multilateral scene will also be looked at.

The case-evaluations of Mozambique and Zambia will be limited to document study and interviews at the Ministry, with possible questionnaires to the embassies of Finland in these countries and possible other stakeholders. These two country case studies will serve also as a baseline investigation for the most recent country programmes that are being finalized by the end of 2012.

Even though a clear focus is to look at complementarity criterion from a variety of angles, the evaluation will also utilise the OECD/DAC development evaluation criteria, relevance, effectiveness, efficiency, sustainability and impact, as appropriate, in seeking answers to the evaluation questions and in assessing the value of complementarity within the context of policy and practice for more effective and results-oriented aid. Further criteria to elucidate the multiple dimensions of complementarity through the major evaluation questions (section 5), can also be devised, if deemed necessary by the evaluators.

The field visit countries to study both the IKI-instrument projects and the NGO-cooperation will be Egypt, Ethiopia, Lao Peoples' Republic, Namibia, Nepal (only NGO component), Zambia, the Caribbean region (3 countries to be defined) and South-America, Ecuador.

The major stakeholder groups involved will be civil servants of the Ministry (Ministries) in Helsinki and in the embassies of the countries to be visited and their government authorities and institutions involved in the cooperation, the staff of the

NGOs involved in Helsinki and those of local NGOs in the field, staff of institutions involved in the IKI-cooperation in Finland and in the countries concerned, possibly others identified as the work progresses. A wide range of stakeholders will be involved in the policy analyses and in the analyses of how policies work at different levels of development.

Part of the documentation has already been collected in a flash drive, but the material is incomplete. It must be complemented by the evaluation team already prior to embarking upon the inception report and work plan, as well as thereafter at the time of the desk-study phase of the different components.

The start-up meeting of this evaluation will be the first opportunity between the evaluation team and EVA-11 to clarify any issues in these ToRs or the work ahead. It is also an opportunity for the team to present their initial approach and understanding of this comprehensive evaluation task.

3 RATIONALE, PURPOSE AND OBJECTIVES

3.1 Rationale and Purpose

The rationale for this evaluation is rooted in the Finnish policy goals for development and in the international commitments. Working together, partnerships, division of labour – are key words that come through when aid effectiveness, development effectiveness, and results for development are discussed. On the basis of this emphasis, it is allowed to conclude that in the development policies, there has been an assumption of a theory of change for development being in-built, this assumption being that complementarity would be a major conduit to development results.

The most recent international framework is the Busan Partnership for Effective Development Cooperation. In this international environment, it is of interest to look at our own development cooperation and modalities of operationalising it, at the different levels, to identify potentials for more effective use of available resources, better results orientation and complementarity of actions. It is also an opportune time to assess whether, and to what extent, the assumption of theory of change bestowed to complementarity, has materialised and been appropriate, and what lessons can be drawn from the past experiences. In Finland, and possibly also elsewhere in the world, the resources – either in terms of human resources to administer the development aid, or the aid resources in general, may not grow substantially in the next years to come, which makes efficiency for effectiveness and development results a reasonable goal.

The current (2012) development policy of Finland has clear commitment for policy coherence for development and complementarity of operations. Subsequently, the cooperation modalities employed by Finland are required to be complementary to each other. At this juncture, lessons from the past experience, may contribute towards materialisation of these goals.

The purpose of the evaluation is to dig into the dimension of complementarity in the Finnish development policy and cooperation, instruments and practices, including, how this dimension is taken into account in the policy level discussions at different interaction levels.

The case-evaluations have been selected so that they will offer information about how the NGO –instruments may better be used to complement other development cooperation instruments at the country level, be it multilateral or bilateral cooperation, or cooperation with private actors, and the partner governments and in advocacy for the policy goals. Currently the NGO -cooperation is not planned in connection with the country programmes. Yet, the potential of these instruments is vast, in particular, when thinking of the overall goals of Finnish development policy – reaching out to the vulnerable and the poor. The evaluation will bring about information on the vertical division of labour, from the policy influence down to the practical grass-roots level, within the Finnish development cooperation, and identify the sharing of roles in this context. Until now, complementarity has much been viewed from the dimension of *horizontal complementarity*, between “equal” players, for example, between the donors and between the multilateral and the bilateral aid programmes.

The purpose of including IKI -instrument case-evaluation in this study is two-fold:

- 1) to evaluate the instrument overall for lessons of the past experience; and
- 2) to study the materialization of the complementarity dimension of this instrument, which is in-built in the concept of IKI -cooperation.

The two country programme case-evaluation, Mozambique and Zambia have been included here, as they represent principal development partner countries of Finland that have not been evaluated since the beginning of 2000. The case-evaluation desk studies will contribute to the implementation of the new country programmes (2012) and constitute a baseline assessment to later evaluations of the new programmes. The two country programmes may also serve as the platform to study the potential of *vertical division of labour* within the Finnish development cooperation portfolio of instruments in these countries.

Potential users of the results of this evaluation are policy- and decision-makers, and aid administrators at different levels in the Ministry, in the partner countries, and in the outside stakeholder communities involved in IKI- and the NGO -cooperation. The results may also be used in the policy-level discussions within bilateral, multilateral and the EU-contexts, since “complementarity” with the assumption of it bringing value added in aid effectiveness and development results, is fairly explicit in policies at these levels.

3.2 Objectives

The overall objective of this evaluation is to learn from the experience to find ways to use the different policy and cooperation instruments of Finland so that they are complementary and that mechanisms to accomplish complementarity are there. The evaluation will expose the dimensions of **internal complementarity** between the actors and the instruments of Finland and the dimensions of **external complementarity** with other actors and instruments in development. Both of these levels of complementarity shall be looked through the **vertical and horizontal dimensions**. The experience-based lessons learned will be used to develop further the implementation of Finnish development cooperation and to find new innovative ways of deploying the different instruments and actors in development for better effectiveness and results.

All components of this evaluation will identify any concrete results and / or improvements of processes that can be linked to the complementarity as a factor in the achievements. The evaluation will also identify the obstacles existing and hindering complementarity being implemented.

A supplementary major objective to the IKI-instrument case-evaluation is to have an overall understanding of how it has performed during the time it has been implemented, and of the administrative arrangements pertinent to it. Thus, the IKI-component will be a thorough review of the instrument *per se*, and in particular, its in-built policy objective of complementarity.

As for the NGO-component, the evaluation is expected to bring forward innovative thinking for completely new ways of using the NGO-instruments to complement other development actors and instruments, over the boundaries of the current practices.

Specific Objectives

The specific objectives include the achievement of

1. specific information of the three instruments (NGO-, IKI- and country programmes) on, how they could be planned and implemented in a way to fill in potential gaps in the vertical flow of benefits from national to the local level, and to those who are the most disadvantaged groups that are stated as major beneficiaries in the Finnish development policy;
2. assessment of to what extent the cross-cutting objectives can be reached through the different instruments, and how the instruments could be used in a complementary way for their achievement;
3. information on the practices how internal and external complementarity are considered and implemented, and how horizontal and vertical complementarity are conceptualised and featured, in the Finnish development policy and cooperation at the country programme planning level and at the level of different instruments' strategic plans and at the level of implementation.

4 APPROACH

The approach includes both top-down and bottom-up elements. The former includes perusal of the policy frameworks and processes, and how they flow down to the development instruments, and practical development cooperation. The approach oriented towards Finland's development policies and cooperation, although the international commitments are also featured in. In section 3.2 the terms “internal complementarity” and “external complementarity” were used to describe these dimensions.

Evaluation will involve relevant stakeholders and institutions in the Ministry and partner countries, including the relevant embassies of Finland and the local government and non-government stakeholders and institutions. The principle of participatory evaluation is applied.

Since the evaluation includes clearly separate case-evaluations, strong inter-team coordination and information sharing within the evaluation team is vital.

The work will progress stepwise so as to the former step informing the next one.

The evaluation process is sequenced:

Initiation:

Pre-collection of document materials mainly in the Ministry's archives and partly from the internet (for example, EU-docs)

- 1) start-up meeting; clarification of the approach and issues in the ToR; discussion of the understanding by the evaluation team of the evaluation task

Inception:

- 2) document retrieval continued, classification of the material and preliminary study of it;
- 3) inception report and work plan; discussion and possible comments by the client;

Desk study and interviews:

- 4) document-based thorough desk studies of the different components of the evaluation
- 5) draft desk reports
- 5) interview plans; plans for questionnaires
- 6) interviews and questionnaires implemented

Field study:

- 7) needed adjustment to the work plans for the field studies;
- 8) field studies of the case-evaluations that include field studies

Final analysis and synthesis of results:

- 9) an oral presentation with power point on the major results of the field studies and the desk studies and synthesis; recapitulation of the state-of-the art of the evaluation
- 10) amalgamation of the results of the desk and the field studies of the case-evaluations;
- 11) production of the individual semi-final case-study reports, subject to comments by the client;
- 12) production of the draft synthesis report including the policy analyses, subject to comments;
- 13) production of the draft final case-evaluation reports subjected to a wider round of stakeholders' comments;
- 14) production of the final reports of the case-evaluations and the joint synthesis report and short overall policy brief.

Dissemination of results:

- 15) public presentation of the results of the synthesis with power point support of the main points;
- 16) presentations of the major results of the case-evaluations with power point support, which can be organized together with the presentation of the synthesis report, or if considered necessary, earlier than that as an independent presentation;
- 17) a web-based presentation session shall also be organized to involve the embassies of the countries visited and to the extent possible, also other stakeholders and institutions involved in the evaluation in Finland and in the countries visited.

It is expected that all the deliverable reports will not be progressing at the same time at the same level of preparedness. The case-evaluation reports, in particular the NGO and the IKI-case-evaluations should be available prior to the synthesis and the policy brief, simply as the case-evaluations feed information into the other evaluation components.

At the top policy level in the administrations in Finland, the embassies of Finland and the partner countries' high-level authorities and institutions, joint interviews in mixed team composition between the IKI and the NGO-sub-evaluations, and the policy/synthesis component, must be planned whenever possible.

The Evaluation Synthesis on Complementarity, will include the main results of the case-evaluations, and an analysis of the overall national and international policies of Finland relevant to the conceptualization and operationalisation of complementarity in aid policy and cooperation. It will also draw the wider lessons learned regarding the distinct policy **assumption of complementarity** being conducive to positive change and more effective and efficient development cooperation and development results. The Synthesis will also bring to the fore the innovative ways discovered by the case-

evaluations of IKI and NGO-sectors and the desk-studies of Mozambique and Zambia country programmes.

5 EVALUATION ISSUES AND QUESTIONS

Under each of the following sections, a few guiding evaluation questions are given. The evaluation team, based on their expertise and experience, will open up these questions into sub-questions and add to the questions should they consider it necessary to elucidate any dimension of the issues under study. In the assessments and analyses the evaluators will utilize the OECD/DAC and the EU's development evaluation criteria, relevance, efficiency, effectiveness, sustainability, impact, cooperation, coordination, in addition to the complementarity which is the special focal issue in this overall evaluation.

Cross-cutting objectives (CCOs)

All case-evaluations will examine the cross-cutting objectives of development policy from the aspect of complementarity at the level of the interventions. The cross-cutting objectives to be included (at least) are promotion of gender and social equality, human rights (rights-based approach) and equal opportunities by easily marginalised groups, HIV/AIDS, and good governance. Other cross-cutting objectives of the consecutive development policies may be included as appropriate. Environmental and climate change-related considerations of the interventions shall also be assessed.

Some guiding questions:

- a) Are CCO -considerations present in the planning documents in terms of inclusion of specific objectives and indicators for monitoring? What are the most frequently included CCOs? What is the role assigned to the CCOs in project plans in terms of the overall objectives of interventions? Has omission of CCOs from the intervention plans been clearly justified?
- b) How do the results of this evaluation compare with the CCO -results of some of some earlier evaluations, for example, Evaluation reports 2008:1; 2; 5; 6; 2010:4? Any changes?
- c) Tools for better integration of CCOs have been developed in recent years; are administrators of cooperation aware and capable of using these tools? What are the major reasons for failure to include the CCOs
- d) Do the CCOs feature in any way in the quality assurance processes, grounds for decision-making and in the decisions made on programmes, instruments and alike?
- e) Are CCOs taken regularly up in discussions between donor and with partner governments? Is distribution of labour and complementarity regarding the CCO-themes discussed?

CASE I

5.1 Analysis of policies and practices

When looking at the history of the Finnish development policy and also how the concept of mutual interdependence has developed into mutual complementary, as influenced by international policy commitments, one must recognize the great complexity that is involved in the operationalisation of the complementarity policy. It takes time and coordinative efforts towards many directions. Yet, the actions should also be horizontally and vertically, and over longer periods of time, coherent and coordinated to produce complementarity with true impact. It is important that the evaluation looks at the Finnish efforts and **mechanisms** for the accomplishment of complementarity at different levels, the EU, the multilateral level, in Finland, and in the partner countries, at the national and local levels. The questions pertinent to this section of the evaluation, by nature of the topic, are rather process oriented, including examination of the mechanisms put in place to ensure complementarity. In addressing these levels the policy evaluation needs to inform itself also through the case-evaluations and the two country desk-studies in order for the evaluation to encompass the dimension of the local level.

The evaluation will analyse development policies of Finland since 2003 and the respective policy guidelines on bilateral and multilateral levels, EU-level; sectors and development instruments' levels, and the modalities of operationalising these policies and guidelines.

Internal complementarity:

- a) What have been the major drivers for complementarity in the Finnish development policies, and what are the mechanisms or procedures put in place to ensure complementarity of bilateral and multilateral cooperation, complementarity with special instruments, and complementarity with programmes managed through other instances than the Ministry? How does complementarity express itself between the multilateral, bilateral policies and policies and guidelines pertinent to specific development instruments, and in the decision-making?
- b) How is complementarity of development policy understood and put to practice at different cooperation levels and with the stakeholders involved? What are the mechanisms in place that ensure a mutual understanding of the policy goal of complementarity?
- c) Do the policies offer adequate guidance to implement complementarity in development? If not, why? Where are the constraints and the major opportunities to improve complementarity?
- d) What are the information exchange mechanisms?
- e) How does the selection of development instruments take into account the complementarity of actions towards development results in a country of operation?

- f) Does the staff and the out-sourced consultants that carry out the development intervention planning, document preparation, appraisals, implementation, monitoring and evaluations, understand how to translate the policy goal of complementarity into practical action and how to monitor progress? Are results reported in relation to policy objectives, including complementarity? Are the guidelines offered by the Ministry adequate and conducive to understanding complementarity as a requirement? Is relevant and adequate training available for the staff and the outsourced resources?

Policy influence for external complementarity:

- g) What is Finland's role and entry points in advocacy for complementarity at the policy level among the partner countries, the donor community, the EU, and the multilateral sectors, and in Finland?
- h) Can concrete examples of successful policy influence be identified? What have been the major contributing factors to success? What about reasons for failure?

CASE II

5.2 Desk-evaluations of country programmes of Mozambique and Zambia

The questions in 5.1. are relevant to this section from the dimension of the development policies being extrapolated to country programmes and implementation in the partner countries, also reflected against coordination processes of partner governments and the rest of the donor community.

Special note: This sub-study will be desk study only, with possibility for interviews and questionnaires. The timing of the desk study coincides with the launching of the new country programme plans of Finland. The country programmes will be evaluated within the next 3-4 years, and therefore, this desk-study constitutes a baseline situation analyses that may bring forwards lessons on, how to improve the complementarity in the implementation and in the decision-making. The case-evaluations of the NGO-sector and the IKI-instrument, that will include field visits, will also feed information to this desk study.

Supplementary to the questions in section 5.1., adapted to the country programme level, the following questions should be considered in the desk studies of the two country programmes:

- i) What is the basis for the country programmes – how do the components of it come about? What are the mechanisms for ensuring complementarity with other donors and with the host government's own policy priorities?
- j) What is the role of the bilateral discussions and the donor coordination at country and at headquarter levels? How are the multilateral actors involved at the country level? What are the mechanisms used in the NGO programmes?

- k) How is complementarity monitored? What has the role of Finland been in these mechanisms? Are there any examples of concrete measures that Finland has taken to improve complementarity in the countries?
- l) Do the cross-cutting objectives feature in any way in the complementarity context and distribution of tasks between development aid instruments at the country level?
- m) How could vertical and horizontal complementarity be systematized so that NGOs and by the IKI-instrument could contribute to the implementation of the country programmes? Is complementarity to the country programmes a feature that features in the decisions on development research? What about decision-making in cooperation implemented through other ministries or institutions than the MFA?
- n) Does complementarity feature, and if yes, how, in funding decisions overall?
- o) How are the international frameworks, PD and AAA addressed in the country programmes?
- p) Can any particular achievements be identified, where Finland has successfully influenced others and acted so that better complementarity has been achieved?

As a result of these desk analyses, a clear understanding should emerge on the mechanisms of ensuring complementarity in the country programmes in terms of bilateral projects and interventions, multilateral funding and other funding through other channels and instruments that are not typically falling in the traditional multi-bi categories. An understanding should emerge of what has been Finland's practices in her own cooperation and her role in enhancing complementarity at different levels of interaction with other stakeholders, and the partner governments.

CASE III

5.3 Case-evaluations of IKI- and NGO -instruments

5.3.1 Common evaluation issues

The questions and issues included in CASE III evaluations will include the desk- and field-studies.

Context and operational environment

Both case-evaluations need to perform also the respective policy and context analysis pertinent to their theme, as well as the country desk-studies, when appropriate. These analyses will accumulate information on the overall frameworks and context, and also inform of the observed enabling factors and obstacles that have been or can be expected to be faced by these cooperation instruments in respect of the policy goal of the instruments being complementary to other cooperation instruments.

Some guiding questions:

- f) Can any common denominators of either enabling factors or obstacles to the implementation of complementarity be identified in the development cooperation of the two subjects of the case-evaluations?
- g) Are the current implementation modalities and models of NGO- and IKI-cooperation conducive to compliance with the Finnish development policy, with the development policies of the partner countries, and with the international frameworks of PD, AAA and the Busan. How have these national and international principles been addressed in the plans, monitoring and reports relevant to the IKI- and NGO-case-evaluations?
- h) What could be the completely new and innovative ways of using the NGO and IKI-instruments to achieve true *vertical and horizontal complementarity*, and at the same time, improved flow of benefits from the entire development cooperation programme? – In other words, could NGO and IKI-programmes be used in a new way to fill in gaps left by other instruments, in terms of the benefits reaching out to the target beneficiaries as defined in the development policy objectives and the programme and project documents?

CASE III A

5.3.2 Specific issues to IKI -instrument

IKI-instrument has never before been evaluated. This evaluation will serve a dual purpose as explained in section 3.1. Currently there are active IKI interventions Eastern Europe, Africa, Asia, the Pacific, in Latin America and the Caribbean. Among these interventions there are also a few regional projects.

Some guiding questions:

The special value of IKI-instrument:

- a) Does IKI -instrument as a development cooperation modality fulfill the requirement of complementing other instruments? Currently IKI has been implemented in a great number of countries mostly outside the principal development cooperation partner countries of Finland. How would you characterize the advantages or disadvantages of the current modality against IKI being “disciplined” to operate mostly in the partner countries of Finland, and being subject to programming together with the rest of Finland’s programme in these countries?
- b) Are there any needs to adjust the eligibility for IKI-cooperation for better complementarity?
- c) Is there any specific value added in this modality, which could not be compensated by some other, more conventional development instruments? Would such value added be lost, should it happen that the geographic scope be limited or

the timing of IKI-interventions planned to complement other development interventions or limitations of any such kind?

Questions by evaluation criteria:

Relevance

- Do the IKI-interventions fill in a particular gap in the development plans of the partner institutions?
- How are the institutional partnerships initiated?
- How is the timing of IKI-interventions defined? Do the other development interventions of Finland or other donors feature in the definition of the IKI-interventions and the respective discussions and decisions made in the Ministry?
- Should the types of IKI-interventions be diversified so that IKI would become part of the officially agreed country programmes, complementing a special slot in there? Should there be a diversification of IKI-programmes, to those being planned within the country programme and those outside?

Efficiency

- What is the efficiency of IKI-interventions? Is the price level of IKI -cooperation reasonable as compared with other modalities of development cooperation and the observed results? If not, what could be the alternatives to IKI-projects or how could the IKI be developed to be more cost-effective and results-oriented?
- Is the current operational modality justifiable in terms of achievement of the objectives of the overall development cooperation when the costs are factored in?
- How do the available resources compare with the purpose and objectives of the IKI-interventions? Could you achieve the same or more with the used resources?
- Currently the Finnish technical assistance component is high, in terms of human resources involved and also costs involved?
- Does the support consult and its role bring in some quality value added that will compensate for the costs? Is there any efficiency gains achieved by this service, and does it meet with the expectation of freeing the Ministry's or the embassies' human resources in any way?

Effectiveness

- IKI-interventions are usually short and focused: does this approach bring in some comparative advantages in terms of rapid capacity development and institutional development gains, professional networking or any other development outcomes? How could these components be characterized –plusses and minuses?
- To what degree were the objectives achieved overall? Did the document study or the field trip bring to the fore any concrete achievements against the set objectives?
- Currently many of the IKI-interventions are of short duration and with high Finnish technical input. How would you compare a situation in terms of capac-

ity development of individuals and the institutions, if more emphasis be put on the use of local expertise? What would be the major gains and major obstacles or losses?

- Characterize the quality of planning documents and the project documents? Are they conducive to results-oriented work, monitoring and reporting? Major negative / positive features of the quality of the IKI-intervention documents, considering here also the international frameworks (f.ex. ownership, leadership, mutual benefits etc.) and cross-cutting objectives listed in the beginning of section 5.2.
- Is there an adequate aggregated reporting system by objectives and results, based on evidence of the monitoring reports? What is the quality of the reporting?

Sustainability

- Sustainability of the results is an overall goal of development interventions? How could the sustainability dimension be characterized in IKI-interventions? Is there any ex-post follow-up when an intervention comes to an end? Is there any organized “end-of-project” assessment, evaluation or self-evaluation review, between the cooperating partners? If yes, what are the major topics of discussion and the conclusions?
- Do the partner institutions have any suggestions on how to alter the IKI-instrument to serve them better in terms of longer-term benefits?
- Are there examples, and if yes, what kind, of the activities initiated during the IKI-project, that are continued after the closure of the IKI-project?

Impact

- The actual IKI-instrument was launched in 2008 as a result of the 2007 development Policy of Finland. It has been an instrument in progress all this time? Are there any examples, discernible either in the documentation or in the field, of longer-term impacts, negative or positive, direct or indirect, concrete or at the conceptual level? Has there been any spontaneous follow-up cooperation between the partner institutions?
- Can you think of any measures or alterations to the current modality of implementation that would improve the sustainability of the impact?
- What is your key assessment for the IKI-instrument as compared with its original purpose – capacity development? Does assessments towards the objective of capacity development come through in the progress reports?
- To what extent do the IKI-interventions results reach the stated target beneficiaries? On the basis of already completed IKI-interventions, are any longer-term effects / impacts detectable and if yes, what kind? Is the issue of final beneficiaries in any way discernible in the Ministry’s documents, in the protocols of the quality group, comments on draft project documents or funding decisions made in the ministry?

Some special questions on the administrative arrangement and tools

To lessen the administrative burden of managing a high number of IKI -interventions, the Ministry has, through competitive bidding, hired an external consultancy resource to assist in this task. The external consultant also assists the Finnish institutions in the compilation of the project documents and pre-screens their quality. The consultant compiles regular progress reports on performance of the interventions. Decisions are, however, done in the Ministry.

Some guiding questions:

- What is the special value added of this arrangement? Is it justified to be continued or should it be altered?
- Assess the quality of the products that have, through the consultant, arrived at the Ministry? Does the reporting give adequate results-based analyses of the status of the interventions, its compliance with the original purpose, on the possible problems, and how to solve them, and alerts of needs to intervene?
- Assess the process of reporting, is it participatory including the partner institutions?
- Assess the guidance given by the Ministry in relation to enabling the consultant to deliver quality products?
- What is the quality of the administrator's comments on project proposals? Do these comments include the requirements of the international frameworks, the CCOs and the results-orientation and complementarity? To which degree do they deal with results-orientation and the needs of the stated beneficiaries?
- Do the guidelines provided by the Ministry offer adequate advice and guidance to construct and implement high quality IKI -interventions, monitoring of implementation, reporting. If not, what are the aspects of dimensions that should be developed or that are missing?

A special aspect of lessons learned

Climate sustainability and climate change, mitigation measures, adaptation and natural disaster preparedness have been policy goals for a number of years. There was a specific evaluation on natural disaster, climate change and poverty, which studied the meteorological cooperation as one entry point of Finland to this problem area (Evaluation report 2009:8). A significant number of the current IKI-interventions are in the field of meteorology.

- How do these IKI-interventions define the final beneficiaries? Do they define the modality, how the ultimate beneficiaries are reached? Is the end-to-end disaster preparedness concept in any way integrated in the planning?

CASE III B

5.3.3 Specific issues to NGO -instrument

Complementarity in wider context and frameworks

A particular context frame in this case-evaluation are the current development policy, the policy guidelines for NGO cooperation, and the country programmes of Finland. A major current issue, depicted in the 2012 development policy of Finland, is the question of finding innovative ways of using NGO-actors to complement development activities within the country programmes of Finland so as to achieve better reach-out and impact *in vertical and in horizontal sense*. Similarly, the issue of complementarity of the NGO-programmes in respect of **other** actors in development, including the multilateral, the host government, and business sector, is of interest and constitutes an important contextual sphere in this examination. These questions and context considerations arise from “*the holistic*” planning process that would use the different development instruments in a complementary way. This is a central message of the 2012 development policy of Finland.

Complementarity within the NGO sector

NGO-sector plays a particularly important role in the societies, including as advocates in human rights, environmental issues, gender and social equality, anti-corruption, democracy and rule of law, peace building and issues alike. The three NGO-instruments of Finland (INGO-, NGO-, and LFC -cooperation) address *different levels of societies (vertical complementarity)*, the INGO -cooperation reach from the international to the government, and even to local levels, the NGO-cooperation, working with local NGOs, much at the local level, and the LCF supporting the capacity of local CSOs. Some of the bigger Finnish NGOs also work in delivering of *humanitarian aid*, thus having a *double* role. Complementarity already between these actors in any one country would undoubtedly bring in synergy dividends and minimize occurrence of development gaps.

Evaluation tasks and questions

The difficulty in evaluation of complementarity **between** the three categories of NGO-support, and between the NGO-support and the other official development cooperation that is programmed, is the multitude of sectors and themes that are involved and the multitude of working modalities, as well as the widely scattered target countries and cultures in the current NGO-sector cooperation. Also the Finnish legislation pertinent to supporting the NGOs with development budget funding, may hinder more innovative ways of utilizing these instruments.

The evaluation tasks and questions of this case-evaluation include:

- 1) analysis of the current modalities of cooperation and administrative arrangements against the 2012 development policy and against the current policy guidelines of NGO-cooperation, including the LCF norms and guidance and the INGO guidelines;

- 2) assessment of the Finnish NGO-support interventions in terms of contributing to the results requirement of Finnish development cooperation, and the special value of these results in the local and national contexts of the countries concerned;
- 3) assessment of the significance of the NGO-instruments in the implementation of the “reaching out to the wider world”; should the constellation of the NGO-instruments’ use now be changed? In which way? – What could be gained and what be lost?
- 4) assessment of the complementarity factor of the NGO-support with Finland’s overall country development programme; what is the complementarity template in cases where there is no bilateral country programme or other project-based cooperation?
- 5) assessment of the complementarity of the NGO-interventions with the partner country’s development plans, and with the development objectives of the local CSOs, or their umbrella organisations? What sort of mutually reinforcing planning mechanisms are there in place?
- 6) assess the complementarity of the NGO-programmes with other development actors, multilateral programmes, business and trade interventions, programmes of other donors? what are the used mechanisms of informing each other?
- 7) should complementarity between the INGO-, NGO- and LCF-- instruments be pursued? What would be the losses and the gains in financial terms and in development results, with a tight complementarity requirement being imposed? The NGO-programmes operating in countries other than the principal partner countries of Finland, what is the significance of these programmes in terms of overall development results reporting by Finland in these countries?
- 8) Are there any examples of good practices in the division of labour within the NGO-sector? What are the success factors?

In addition to the overall NGO-sector case-evaluation, there is the special case of three organizations, the Finnish Red Cross, Fida International and the Finn-ChurchAid that will be assessed as the rest of the NGO-sector. A thorough assessment of the continuum aspect from humanitarian aid through reconstruction and development cooperation will be assessed in connection with another wider evaluation.

Here the evaluation will

- 9) study the complementarity between the humanitarian work of the three organizations and their reconstruction and development work; are there any examples of the dual role of these organizations and their accreditation to the ECHO/EU, that can be considered as having brought special benefits or value added to the organisations’ work as agents implementing development cooperation programmes.

Organizing the NGO -instrument in a new way

The whole issue of NGO-cooperation should be looked at from a new angle – should the “traditional” NGO-cooperation, that is planned by the NGOs themselves, continue as it is – and to what extent? Or, should part of the NGO-support be tied to the vertical or horizontal complementarity with regard of the country programmes? Should part of the NGO-funding be directed towards cooperation between NGOs and multilateral actors, or with local business community, or towards direct cooperation with partner governments? These questions would need a completely different mind-set and planning mode for the NGO-programmes and also to the country programmes. Yet, the value added of such new ways may enhance vertical flow of benefits to the most disadvantaged groups. Thinking should go from bottom-up and from to-down – critically identifying the current gaps – where does the chain break – and who could best serve in mending it?

The following questions may help in this thinking:

- 1) How should the criteria for NGO-funding appropriations be altered for the NGOs to be able to step in the country programme framework? Is current legislation conducive to such a change?
- 2) What are the conditions and modalities that should be deployed when deciding on the eligibility for an organization to be included in the “country programme –eligible” criterion?
- 3) Should the inclusion of Finnish NGOs to the “country programme support category” be opened to the organizations informing the ministry on voluntary basis? Or should the Ministry decide on the inclusion on the basis of past experience and invite organisations to participate?
- 4) How should a country programme be planned to enable the distinction of suitable tasks to the NGO-instruments and those to the more traditional implementing setups?
- 5) What would be the role of the partner governments? Should the NGO-sector cooperation overall be part of the bilateral negotiations? How would complementarity be addressed in countries with little or no other Finnish development activity? Should the dimension of complementarity be a compulsory requirement in NGOs funding proposal?
- 6) Should NGO-cooperation be part of the discussions with the multilateral sector actors, in business promotion and alike?
- 7) Is the current administration of NGO –support in the Ministry suitable for the new “two category” model? What about the administration of the INGO programmes? Some INGOs that are supported by Finland have even a multilateral organisation’s status with the OECD.

IV SYNTHESIS

5.4 Synthesis evaluation

The synthesis evaluation document will bring together the major traits of the different case-evaluations of this entire study on complementarity.

The synthesis analyses will

- 1) assess the significance of the results of the individual case-evaluations and analyses carried out in the wider context of drawing lessons and concrete examples, as well as emerging ideas of potential effectiveness and impact gains through the complementarity factor that is written out in the current development policy programme of Finland (2012) and featured so clearly also in earlier policies: What is the actual status of complementarity at the moment? And what could it be in the future?
- 2) address the complementarity through the *vertical and the horizontal angles of development* and development partners in these angles;
- 3) propose any further study that might be necessary to achieve (or improve) division of labour internally in Finland and with external partners and give guidance on how to accomplish that?
- 4) give examples of concrete results by the different instruments and identified good practices to achieve complementarity;
- 5) address the system-wide results-orientation in planning, monitoring, reporting, and what benefits strong policy emphasis on complementarity has accomplished or potentially could bring in? How do the different instruments perform in respect of complementarity as a factor in better aid effectiveness and development results?
- 6) consider any other dimension or factor that has clearly emerged from the policy review, the case-evaluations, interviews or any other source used in this evaluation.

In addition to the synthesis evaluation report, a short (no more than 6 pages) policy brief will bring together in a crisp and succinct manner the major lessons learned, conclusions and recommendations that can be drawn from all the case-evaluations and the policy analyses in this study.

6 METHODS

The process of this evaluation requires partly joint and partly separate methodologies and tools to be utilised, depending on the case-evaluations and the policy studies. The methods will be a mix of qualitative and quantitative evaluation methods which enable triangulation in the drawing of results.

The inception report will give a detailed account of the methods, tools, judgment criteria, and indicators. There will be an evaluation matrix prepared, which should be drawn separately to each of the case-evaluations and to the synthesis assessments. The purpose of the matrix tool is simply to clarify thinking and open the evaluation questions into more narrow research questions. The inception report will clarify the thinking of the evaluators in how this comprehensive task is approached and implemented in practice.

7 EXPERTISE REQUIRED

The evaluators

As explained in the first section of these TORs (SETTING THE SCENE) this umbrella evaluation requires a wide, multidisciplinary evaluation team with mixed and complementary competences, senior experience level, abilities to work and inform internally and externally, and excellent coordination within the entire team.

The team of experts will include senior female and male experts, and be a mixture of senior experts from the developing and the industrialised countries.

All experts must have a minimum of M.Sc / M.A. university educations, be fluent in oral and written English (level 6). Experts assigned to the field visits in the Latin America region, must be fluent in Spanish. Knowledge of local administrative languages among the experts of the countries selected for the field visits will be an asset.

One of the senior experts will be identified as the Team Leader. The evaluation team will work under the leadership of the team leader, who ultimately carries the responsibility of completing this wide evaluation.

The team leader will have 15 years or more of experience in development policy and cooperation gained from a number of different kinds of assignments, including long-term (*3 years or more, the periods of individual service being more than one year each*) field experience and/or experience in international organisations and good understanding of the global development architecture, the change agenda, and how it has developed over the years. She/he has experience of methodologies of policy influence work and policy analyses. She/he has a track record of at least five (5) cases of leadership of multi-national and multi-theme / development evaluations, and in producing quality outcomes of these evaluations. She/he must be able to exercise leadership and have clear vision over the evaluation task.

Each of the other senior experts will have

- more than eight (8) years of international experience relevant to development policy and cooperation and long-term (*defined above in “Team leader” paragraph*)

- working experience at the field level in developing country or countries, in different types of assignments relevant to development policy and cooperation.
- sound evaluator experience (*four evaluations*), either as team member or team leader of comprehensive size (*wider than single development project evaluations*) evaluation, and working experience in multinational teams.

Overall requirement of the senior experts is that the team will be a complementary mix between experts with the following competencies distributed among the experts:

- a) 5 years or more experience in NGO-sector cooperation, including INGO-cooperation;
- b) experience in the multilateral organisations at the field operations level, with good understanding of their programming operations;
- c) 4 years or more experience in the development planning processes at the partner country level;
- d) hands-on practical experience in institutional change processes and capacity building at different levels of development;
- e) 4 years or more experience in management of aid; results-based planning, monitoring, reporting and evaluation;
- f) through working experience gained understanding of policy coherence, complementarity, cooperation and experience in their implementation in practice;
- g) 5 years or more experience in development work on the mainstreaming and advocacy of the cross cutting objectives at the operational level;
- h) special working experience in the field visit countries would be an asset.

Document retrieval and other assistance to the evaluation team

There will be 1-2 junior assistants, one of which will be a person who is a native speaker of Finnish language. He/She is required to be available at a short call. There is no opportunity to claim per diems, rental or residential expenses, or other travel than local public transport fees. She/he will serve in the document retrieval, practical organisation, logistics, and similar tasks **in Finland**. She/he may be required to review and summarise some documentation that exists only in Finnish language.

Another junior assistant may be appointed, but she/he will be from a developing country and serve in any of the he IKI or the NGO-case evaluation field-visit countries, and be resident there. The same conditions concerning travel, per diems and accommodation expenses, as stated above to the junior assistant working in Finland, will apply to this junior assistant.

The junior assistants are required to have a minimum academic qualification of M.Sc. or M.A., and a minimum of two years of working experience after the graduation. Both of the junior assistants will be fluent in oral and written English. In addition the junior assistant coming from the developing country will master the major local administrative language.

Quality assurance

Two quality assurance experts will be required. These two experts need to be highly experienced, their expertise and experience corresponding the level and qualifications and experience of a team leader position. They have at least three (3) earlier occasions of service in the capacity of quality assurance of an evaluation process, and are familiar with the international frameworks of the OECD/DAC and the EU regarding the aid evaluation quality standards and the quality criteria of the evaluation reports.

The quality assurance experts will review all the deliverables and offer advice at each juncture of the evaluation process that includes submission of a deliverable (start-up note, inception, draft desk, semi-final, draft final and final reports). At the end of the evaluation process the quality assurance experts will fill in the EU's quality grid for evaluation reports. The reports of the quality assurance experts at each juncture of the deliverables will also be submitted to EVA-11.

8 DELIVERABLES

All the deliverables produced in this umbrella evaluation are subject to being approved by EVA-11 as a pre-requirement for the evaluation process to progress to the next step.

It is foreseen and even desirable that all the case-evaluations will not be delivered at the same time (in tandem), but rather that the evaluations on IKI-instrument and the NGO-instruments and the country case-evaluations (ref: section 10) will be completed first, followed by the policy analyses and the final synthesis on complementarity, and the policy analysis.

The following deliverables will be prepared:

1. Start-up note: Will clarify the approach and understanding of the evaluation task as a next step from the tender documents. The start-up note will be prepared within three weeks from the signing of the contract. A start-up meeting will be organized by EVA-11 where the note will be discussed and the evaluation team may seek any clarifications they need regarding the assignment.
2. Inception report: Will be divided between the case-evaluations of the IKI-, NGO-instruments, and the country programme desk-evaluations. The inception report for the policy analyses and the synthesis evaluation will constitute an umbrella report to these three. All of these partial reports can be presented as a combined overall report with separate sections accordingly. – It is important that sound thinking goes in the preparation of this, in terms of the defining the appropriate methodologies and tools to be used and their clear description in relation to the tasks.

The inception report will also specify the time tables of delivering the different case-evaluation reports, fine tune the distribution of tasks between the team

members and confirm the duration of their services. – All in all the inception report is a work plan that shows the understanding and flow of the evaluation from start to the final step.

The inception report is expected within six weeks from the start-up meeting, meaning nine weeks from the conclusion of the contract.

3. Draft desk reports on the 1) IKI-, 2) NGO- instruments, 3) country case-evaluation of Mozambique and on country-case evaluation of Zambia; 4) the policy analyses. These are based on document study.
4. Interview plans: These plans will observe the requirement of organizing group interviews and interviews (in particular at the top level of administrations) as mixed teams between the different sections of this evaluation, whenever feasible and possible.
EVA-11 will introduce the interview plans to those planned to be interviewed. This rule applies to the Ministry's staff and the Embassies and as appropriate, as explained in the following section 5, also to institutions in the partner countries.
5. Inception notes for the field studies for the IKI- and the NGO-instruments, which will include the interview plans in the field. These plans will be forwarded through the embassies of Finland, whenever possible, to the main governmental or administrative authorities that the evaluators wish to meet. The introduction of this evaluation will thus be done through the Ministry and the Embassy of Finland, prior to the contacts made by the consultants. Cases where there is no Embassy of Finland, will be discussed separately when time comes.
6. Back from the field oral report with power point support. This reporting will be organized through conference call or web-based connection or wideolink.
7. Semi final draft reports of the IKI-, NGO-instruments, and country-case evaluations (separate for Mozambique and Zambia), and the policy analyses and synthesis on complementarity. These reports are subjected to a wide round of comments by stakeholders. The comments will be delivered to the evaluation team by EVA-11 for consideration.
8. Draft final reports on IKI-, NGO-instruments, country case-evaluations, and policy analyses and synthesis on complementarity. As explained earlier, these reports will be completed in this sequence, the case-evaluations feeding to the synthesis.
9. Final reports of IKI-, NGO-instruments, country-case evaluations (Mozambique and Zambia)
10. Final report on policy analyses combined with the synthesis on complementarity.
11. Draft Policy Brief on complementarity in Finland's development policy and cooperation.
12. Final Policy Brief paper.
13. Oral presentation in Helsinki, Finland, supported by power point(s) of the results of the evaluation, including separate presentations on the case- evaluations of IKI-instrument, NGO-sector and the country desk-studies on Mo-

Zambia and Zambia. The presentation of IKI- and NGO-component case-evaluation results can be organized at the time of completion of these reports, in September-October 2013.

A web-based recast of the power point supported presentation of the results of the evaluation(s) to the wider audience in the embassies of Finland and the other stakeholders in different countries.

The presentations of the evaluation results are expected to be no later than mid-December 2013.

All evaluation reports coming out of this evaluation process will show clear factual trail from the analyses to findings, conclusions and recommendations. It is important that the results are evidence-based. The recommendations must be actionable, in clear language and concluded from the findings and conclusions. The reports will clearly describe the limitations, special problems faced or reasons for omission of some issues and alike.

Clarity and brevity of expression are required in reports. The language of the reports must avoid highly technical expressions, since the reports are meant to be used also by the general informed public.

The written reports must comply with the instructions to authors of the Evaluation Reports of the Ministry. These instructions will be delivered to the team at the outset of the evaluation process. The team should from the beginning agree on common formats, for example, type of bullet points, model for tables and lists etc, and agree to follow the instructions to authors overall.

The authors must use precise referencing, including the web-page references, which must include the date of retrieval of information. It is advisable to compile the list of references while writing. Care must be taken for each of the references to comply with the instructions in the format they are listed. The abbreviations and acronyms must also be carefully checked and recorded according to the instructions. The final report, submitted, must have undergone a thorough checking of all details. The report submitted must be ready to print. – The team is advised to jointly peruse the instructions to authors of the evaluation reports, prior to embarking upon the writing of the deliverables.

The final draft reports must be in the format of the final reports, including the English Abstract and Summary. The round of comments on these reports is meant only to correct possible errors. Also the references and abbreviations must be carefully checked. The abstract and summary, including the summary matrix of findings, conclusions and recommendations, must already be included in the final draft report. The principle is that only one round of comments by stakeholders and the Ministry will be enough. The evaluation team and the team leader in particular, will need to ensure, that the drafts delivered to the Ministry are of high quality.

It is essential that the final evaluation reports are completed carefully, copy-edited, and ready to print after EVA-11 will include the preface and the required information on the ISBN page. The language must be clear and concise, and understandable even to readers that are not experts in this field (could be classified as informed laypersons). If the main authors are not native English speakers it is advisable to have the language of the final reports checked before submitting to the Ministry. The Ministry will have the Abstract and the Summary translated in Finnish and Swedish languages.

In the quality of the evaluation process and the reports, the evaluation team should observe the OECD/DAC and the EU aid evaluation quality criteria. A merged table-format tool has been developed of these criteria by EVA-11, and they will be made available to the evaluation team at the outset of the evaluation process.

There will be penalties to the service provider, as specified in the contract, should it happen that the evaluation reports do not comply with the requirements spelled herein, in the instructions to authors, and as guided by the quality criteria provided to the authors at the outset of the work.

In addition to the assessments of the quality assurance experts, the evaluation reports will be subjected to external anonymous peer reviews of quality after completion.

9 BUDGET

The maximum amount available for this evaluation is 600.000 euro + VAT 23% when applicable. The European Commission's directive on the VAT for foreign companies will be observed as appropriate.

10 TIMETABLE

The start-up meeting will be organized in the second week of January 2013. The evaluation should be completed by the end of December 2013.

However, within this overall time schedule, it should be taken into account, when planning the sequence of the work, that the results of the IKI-instrument and the NGO- case-evaluations are needed as soon as it is possible, foreseen to be ready around August-September 2013. The rest of the deliverables will be by the end of 2013.

The first contacts with the selected service provider will be made immediately after completion of the contract, which is foreseen to take place before the Christmas break of 2012.

11 MANDATE

The evaluation team has no immaterial rights to any of the material collected in the course of the evaluation or to any draft or final reports produced as a result of this assignment.

The consultants are expected to but they are not authorised to make any statements, commitments or act on behalf of the Government of Finland.

12 AUTHORIZATION

Helsinki, 15 October 2012

Aira Päivöke
Director
Development Evaluation

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2008:1 (SWE) FAO: Utmaning till förnyelse. Sammanfattning
ISBN: 978-951-724-670-5 (print), ISBN: 978-951-724-671-2 (pdf), ISSN: 1235-7618
- SPECIAL EDITION
2008:1 (FI) FAO: Haasteena uudistuminen. Lyhennelmä
ISBN: 978-951-724-655-2 (painettu), ISBN: 978-951-724-659-0 (pdf), ISSN: 1235-7618

Development evaluation

P.O. Box 451
00023 GOVERNMENT

Operator: (+358) 295 350 000

<http://formin.finland.fi>

Email: eva-11@formin.fi



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AFFAIRS OF FINLAND