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Results of the Swedish Cooperation Strategy for Zambia 2008 - 2011

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Results of the Swedish Cooperation Strategy for Zambia 2008 - 2011

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Results of the Swedish Cooperation Strategy for Zambia 2008 - 2011

The Swedish Agency for Development Evaluation (SADEV) has in a Government decision dated 22 October 2009 (UF2009/71317/USTYR) been commissioned to evaluate a series of Swedish country cooperation strategies in 2010-2012. The evaluations are to evaluate the results of the activities that receive Swedish support within the framework of cooperation strategies. In order to comply with principles of aid effectiveness, the Government instructs SADEV to primarily base the evaluations on already existing material.

According to the assignment, SADEV is to report the results of one to three evaluations per year during the period 2010-2012. The results of the first evaluation must be reported by 15 June 2010 at the latest. The enclosed report gives an account of the first evaluation carried out as part of the assignment.

Director General Gunilla Törnqvist has had the right of decision in this matter. Project Manager Mats Alentun has served as rapporteur. The execution of the evaluation has also included Eva-Marie Kjellström, Bo Sjö and Sofia Westberg, all evaluation officers.

June, 2010

Gunilla Törnqvist

Summary

SADEV has in a Government decision dated 22 October 2009 been assigned to conduct a series of evaluations of cooperation strategies. According to the assignment, SADEV is to *evaluate the results of the activities that receive Swedish support within the framework of cooperation strategies.*¹

This evaluation concerns the first cooperation strategy assessed by SADEV – the cooperation strategy for Zambia 2008-2011. The cooperation strategy includes eight areas of cooperation, of which health and HIV/AIDS, agriculture and energy comprise the main sectors. Democratic governance – support to the public sector, development of industry and the financial sector, and urban development are areas that will be phased out during the strategy period. The two other areas are support to civil society and poverty reduction through budget support.

The evaluation serves both accountability and lesson learning purposes. The results have been assessed according to the criteria relevance, effectiveness and efficiency which have been broken down to eight evaluation questions. Below is a summary of the conclusions that SADEV has reached based on the evaluation questions.

In order to assess the relevance of the strategy portfolio, SADEV has considered the overall goals of the Swedish cooperation strategy and the specific Swedish goals within each area of cooperation. The overall aim is to achieve *'efficient implementation of Zambia's development strategy (FNDP) to reduce poverty, strengthen democracy, stimulate broad economic growth and attain the millennium development goals'*.² SADEV has concluded that the interventions, as they have been designed, are relevant in relation to both the overall goal of the strategy and the specific Swedish goals within each area of cooperation.

Of the Government's three thematic priorities – gender equality and the role of women in development, democracy and human rights, and environment and climate – SADEV has found that gender equality and democracy and human rights are relatively well integrated in the interventions, while the area of environment and climate has not been integrated to the same extent.

SADEV concludes that only a few program/project goals have been achieved at the *impact* and *outcome* levels. One of the reasons is that several interventions have been in place for a relatively short time, making significant results at the *impact* level unrealistic. However, SADEV does find it reasonable to expect *impact*- and/or *outcome* level results of interventions established long ago and of recently terminated interventions, for example within the area of private sector development, but the results in these areas were found to be unsatisfactory. Yet, positive indicators at the *impact* level were found in the area of health, for example reduced maternal and infant mortality.

¹ UF2009/71317/USTYR, p.1.

² Strategy for Development Cooperation with Zambia 2008-2011, p. 1.

Within agriculture, SADEV identified results at the *impact* and *outcome* level in connection with the termination of a major contribution in late 2008, although there is a significant risk that the results will not last due to the rather unsustainable organisational setup.

At the same time, SADEV notes that through the results at the *output* level, the necessary prerequisites to contribute at the *outcome* level have been, or are in process of being, established. This includes the democracy support, the support to agricultural organisations and the phased-out support in the area of urban development. Several interventions within these areas have suffered a delay, which partly explains the lack of results at the *outcome* and/or *impact* level. The interventions in the energy sector are relatively new, implying that it would be unrealistic to expect any concrete results.

Over the last decade, Zambia has experienced stable macroeconomic development compared to previous periods. This includes satisfactory economic growth and a controlled low inflation rate. The country also demonstrates positive results with respect to the millennium development goals. It is possible that the budget support has contributed to this positive development.

The data do not suffice for systematic assessment of the support given to local partner organisations through Diakonia and Save the Children Sweden (SCS). It is clear, however, that a large number of activities have been undertaken to promote accountability and transparency within the public administration.

Sida bases its assessments on regularly presented reports, evaluations, mid-term reviews, official statistics etc. The material considered by SADEV varies in quality. For example, the regularly presented reports generally focus on activities, while follow-up discussions, analyses and linkages to the goals of the interventions receive less attention or are almost lacking. This makes it difficult to identify any results at the *outcome* and/or *impact* level, which in turn should imply difficulties for Sida to conduct adequate assessments of how different interventions are developing.

Overall, SADEV concludes that the stated goals are rather ambitious in relation to what can realistically be expected to be achieved. Sida is at the same time aware of the capacity limitations and corruption risks in the administration. The support to the *Public Expenditure Management and Financial Accountability Reform* (PEMFA) and the *Public Service Management Support Programme* (PSM), and indirectly the support to organisations in the civil society, aim to reinforce the capacity. SADEV nevertheless notes that the corruption risk assessment undertaken by the health sector has been insufficient. A more particular risk assessment and follow-up analysis should have been conducted given the support design.

In 2009, embezzlement of funds was revealed in the health sector, which led to cancelled Swedish disbursements both within the health sector and with respect to general budget support. The total disbursements have, primarily as a result of this situation, become much lower than expected. The planned expansion of support to the health sector and of general budget support has therefore not progressed as planned. The planned expansion of the agricultural support has not started either. The reason for this is that the bulk of the support is still being prepared. However, the support to the energy sector and civil society organisations (CSO) have been expanded as

planned, and the democracy support and support to urban development are being phased out. The support to the private sector has already been phased out in accordance with the cooperation strategy.

SADEV notes that Sweden has high ambitions with respect to its envisioned leadership role within donor coordination and within the work to achieve the principles set out in the Paris Declaration. This is primarily articulated through a special mechanism for donor coordination – *Joint Assistance Strategy Zambia (JASZ)*.³ Sweden is represented in all leadership teams within the three main sectors, and periodically also holds the chairmanships of these bodies. Donor coordination is very time demanding and requires staff resources, especially in connection with chairmanships. SADEV finds that there may be a need to assign additional resources to the embassy when Sweden holds the chairmanship of the donor coordination.

It is a goal of the cooperation strategy that *the proportion of support that uses Zambian systems for implementation and follow-up increases and amounts to at least 50% of the country allocation by the end of the strategy period*. SADEV concludes that Sida, according to the OECD/DAC's definitions⁴, to a large extent utilises the national budget and accounting system, auditing system and public procurement system, while the use of the national systems for financial reporting falls below the 50 % mark.

Sida's strategy portfolio contains a mix of different aid modalities, which SADEV finds to be relevant given the capacity available within the Zambian administration.

The embassy has actively discussed the general and specific issues that are to be included in the dialogue with the Zambian government and with other cooperating partners. This includes Sweden's concerns regarding the legislative proposal that limits CSOs' ability to act and even exist. SADEV notes that factors that negatively affect the dialogue with the Zambian government include political priorities in agriculture and in the health sector, plus the revealed embezzlement of funds in the health sector.

³ Joint Agreement Strategy Zambia

⁴ 2008 Survey on Monitoring the Paris Declaration – Definitions and Guidance for the Questionnaires, OECD/DAC, 4 January 2008

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Acronyms

ACF	Agricultural Consultative Forum
ASP	Agriculture Support Programme
BDS	Business Development Service
CBoH	Central Board of Health
CIDA	Canadian International Development Agency
CSO	Civil Society Organisation
DAC	Development Assistance Committee
DFID	Department for International Development
ERB	Energy Regulation Board
FNDP	Fifth National Development Plan
FSRP	Food Security Research Project
GRZ	The Government of the Republic of Zambia
IFMIS	Integrated Financial Management Information System
ILO	International Labour Organisation
IMF	International Monetary Fund
JAR	Joint Annual Review
JASZ	Joint Assistance Strategy Zambia
JICA	Japanese International Cooperation Agency
LCC	Lusaka City Council
MACO	Ministry of Agriculture and Cooperatives
MoH	Ministry of Health
NAC	National Aids Council
NGO	Non Governmental Organisation
NHSP	National Health Strategic Plan
NSAG	Non State Actor Group
OECD	Organisation for Economic Co-operation and Development
PAF	Performance Assessment Framework
PEMFA	Public Expenditure and Financial Accountability
PMEC	Payment Management and Establishment Control System
PSDRP	Private Sector Development Reform Programme
PSM	Public Service Management Component
PSRP	Public Service Reform Programme

REA	Rural Electrification Authority
REF	Rural Electrification Fund
SADEV	Swedish Agency for Development Evaluation (<i>Institutet for utvärdering av internationellt utvecklingsamarbete</i>)
SCS	Save the Children Sweden
SWAP	Sector Wide Approach
USAID	United States Agency for International Development
WHO	World Health Organization
ZGF	Zambian Governance Foundation
ZNFU	Zambia National Farmers' Union

1 Introduction

1.1 Background

The Swedish Agency for Development Evaluation (SADEV) has in a Government decision dated 22 October 2009 (UF2009/71317/USTYR) been commissioned to, during the period 2010-2012, conduct a series of evaluations of cooperation strategies:

'The Swedish Government assigns SADEV to evaluate a sample of Sweden's cooperation strategies for individual countries. SADEV is to evaluate the results of activities that receive Swedish support within the framework of a cooperation strategy. To comply with principles of aid effectiveness, SADEV is to primarily base the evaluations on already existing material. Two evaluations shall also assess the cooperation strategy as a steering document. SADEV is to report the results of one to three evaluations annually during the period 2010-2012. The results of the first evaluation must be presented by 15 June 2010 at the latest.' (SADEV's own translation)

1.2 Methods

In accordance with SADEV's proposition⁵ to the Government in May 2009 regarding a long-term plan for evaluation of cooperation strategies, SADEV has chosen to evaluate the results of the cooperation strategy for Zambia 2008-2011. The main reasons behind this choice are:

- The cooperation strategy for Zambia is scheduled to be renewed in 2011.
- Zambia is a so-called Category 1 country (long-term development cooperation with Sweden).

In accordance with the assignment, SADEV has chosen to evaluate *'the results of activities that receive Swedish support within the framework of the cooperation strategy'* and to *'primarily base the evaluations on already existing material'*. This evaluation has not assessed *'the cooperation strategy as a steering document'*.

Sweden has been involved in development cooperation with Zambia for many years. The current cooperation strategy, which was launched 2008, to a large extent concerns support initiated prior to the current strategy period. The evaluation therefore involves programmes that have been in place for a long period of time, which is a prerequisite to be able to answer the evaluation questions. The evaluation serves both learning (formative evaluation) and accountability purposes.

1.2.1 Evaluation criteria and evaluation questions

The results have been assessed according to the three evaluation criteria relevance, effectiveness and efficiency which are based on OECD/DAC's evaluation criteria. The evaluation questions have been grouped according to these three criteria.

⁵ SADEV: 2009/0074.

Relevance

- To what extent do the individual interventions correspond to the goals of the cooperation strategy?
- To what extent have the Swedish Government's thematic priorities⁶ impacted the different programmes?

Effectiveness

- To what extent have the stated goals for the different interventions been achieved (with respect to the three results categories *output*, *outcome* and *impact*).⁷

Efficiency

How effective has the mix of different aid modalities been in terms of goal attainment? Do the different types complement each other?

- Have the Swedish disbursements corresponded to the planned level? Are there any significant deviations?
- Has Sweden managed to concentrate and reduce the cooperation from six to three main sectors as planned?
- During the current strategy period, to what extent have the general issues for dialogue been integrated into the different programmes?⁸

1.2.2 Data collection

The evaluation is based on a thorough assessment of available material complemented with interviews with concerned parties. The reviewed documentation consists mainly of Sidas own documentation (programme documents, assessment memorandums, contracts, minutes of project committee meetings, annual monitoring information, audit reports, mid-term reviews, evaluations etc.).

The documentation has been quite extensive in some cases, while in other cases it has been more limited: some interventions are subject to both mid-term reviews and evaluations, while only activity-based monitoring information is available for others. SADEV has assumed the available documentation to be reliable and correct as long as for example interviews have not indicated otherwise. The most important documents used in this evaluation are presented in Appendix 2.

Embassy staff, Zambian government and public authority representatives, civil society organisations (henceforth CSOs), universities, donors within the framework of the *Joint Assistance Strategy Zambia (JASZ)* (see Section 1.2.4) and other evaluation officers

⁶ Gender equality and women's role in development, democracy and human rights, and environment and climate.

⁷ SADEV applies OECD/DAC's glossary with respect to the three concepts. *Output* refers to the products, capital goods and services generated by a development intervention. *Outcome* refers to the expected or achieved (direct or indirect, intended or unintended) effects in the short and medium term of a development intervention. *Impact* refers to positive and negative, primary and secondary, long-term effects of a development intervention, direct or indirect, intended or unintended.

⁸ General issues for strategic dialogue include strengthening democratic institutions, respect for human rights and citizens' insight into public activities and also effective use of the state's collected resources in accordance with FNDDP in order to reduce poverty – Strategy for Development Cooperation with Zambia 2008-2011, p. 3.

were interviewed during a visit to Zambia on 11-24 March 2010. Staff at Sida's headquarters in Stockholm, Sweden, have been interviewed as well.

A reference group consisting of experts in health and HIV/AIDS, agriculture and energy has been consulted.

A complete list of individuals consulted by SADEV, including the members of the reference group, is presented in Appendix 1.

The evaluation has been characterised by transparency. The embassy staff and personnel at Sida in Stockholm belonging to the Zambia country team have been able to review the report prior to publication.

1.2.3 Delimitations

The evaluation includes all areas of cooperation covered by the strategy (see Chapter 3). However, disbursements not specifically linked to any of these areas of cooperation, so-called programme development funds (PDF), are included but not evaluated.

Parallel to this evaluation, there is an international joint evaluation of the general budget support to Zambia currently in progress. SADEV has therefore given limited attention to the area of poverty reduction through budget support.

Either all or a sample of the interventions within each area of cooperation have been selected for assessment and analysis. Sample selection has been based on volume of disbursements. MSEK 486.3 (97 %) of the total MSEK 500.9 disbursed during the period 2008-2009 within the areas of cooperation was analysed.

The use of secondary data implies limitations with respect to both depth and extent of observations and analyses.

1.2.4 The cooperation strategy

The Government's guidelines for cooperation strategies set out that the strategies must be adapted to harmonise with both the cooperation countries' own strategies for poverty reduction and other donors.⁹ In Zambia the donor group has developed JASZ in line with Zambia's Fifth National Development Plan (FNDP).¹⁰

The overall aim of the Swedish cooperation strategy (2008-2011) is to achieve '*efficient implementation of Zambia's development strategy (FNDP) to reduce poverty, strengthen democracy, stimulate broad economic growth and attain the millennium development goals*'.¹¹ The strategy is linked to the goal of JASZ to support the goal of FNDP. The cooperation is guided by the principles of non-discrimination, participation, openness and accountability for the purpose of promoting the so-called rights perspective and improving the outlook for the poor. The Swedish Government's three thematic priorities – gender equality and the role of women in development, democracy and human rights, and environment and climate – must be considered in the cooperation.¹²

⁹ *Riktlinjer för samarbetsstrategier* (Guidelines for Cooperation Strategies) UD2005/24624/GU, p.7.

¹⁰ The donor group that has signed JASZ comprises 12 bilateral donors (including Sweden), international banks, EU and UN organisations.

¹¹ Strategy for Development Cooperation with Zambia 2008-2011, p. 3.

¹² *Ibid*, p. 3.

The overall objective of the strategy process relating to aid effectiveness is that the proportion of support that uses Zambia's own system for budgeting, auditing, public procurement and reporting shall amount to at least 50 % of the country allocation by the end of the strategy period¹³. The volume of the cooperation was estimated in the cooperation strategy to about SEK 1.5 thousand million for the period 2009-2011 (excluding loans, support to Zambia in regional programmes, and humanitarian aid).¹³

The Government's guidelines instruct that the development cooperation shall focus more on programme support and decrease the number of sectors and areas that receive support.¹⁴ Besides the continued support to the civil society and general budget support, Sweden shall reduce the number of main areas of cooperation from six to three, according to the cooperation strategy. The strategic choices concerning the support shall be based on analyses of the poverty in Zambia, the division of labour specified in JASZ, commitments made by other donors and Sweden's comparative advantages following consultation with the Zambian Government.¹⁵

The areas that will receive continued support are:

- Health and HIV/AIDS
- Agriculture
- Energy

The areas that will be phased out are:

- Democratic governance - support to the public sector
- Development of industry and the financial sectors
- Urban development

Other areas of cooperation are:

- Poverty reduction through budget support
- Support to civil society

Sector programme support is presently given only to the health sector. The plan is for Sweden to assist Zambia in developing a sector programme support for the agricultural sector during the strategy period. No sector programme support is planned for the energy sector.¹⁶

The cooperation strategy assumes a continuous dialogue with the cooperation country and other donors. The general issues for strategic dialogue are, according to the strategy, strengthening of democratic institutions, respect for human rights and citizens' insight into public activities, and effective use of the state's collected resources in accordance with FNDP to reduce poverty.¹⁷

¹³ Ibid, p. 1-2.

¹⁴ *Riktlinjer för samarbetsstrategier* (Guidelines for Cooperation Strategies) UD2005/24624/GU, p.5.

¹⁵ Strategy for Development Cooperation with Zambia 2008-2011, p. 1

¹⁶ Ibid, p. 9.

¹⁷ Ibid, p. 3.

Within the framework of JASZ, there is a donor group leadership troika for each sector. Sweden is part of three of these sectors: health, agriculture and energy. The leadership troika facilitates political dialogue between the Zambian government and the donor group.¹⁸ In addition to the general issues for dialogue outlined above, there are issues specific to each sector that the respective donor groups are to discuss with the Zambian government and that are included in Sida's results matrix for the cooperation strategy.¹⁹ These sector-specific issues for dialogue are explained in detail in their respective sections in Chapter 2.

1.2.5 Report structure

Chapter 2 outlines the eight areas of cooperation in detail. Chapter 3 presents general assessment results and conclusions.

¹⁸ Terms of Reference for the sphere of responsibility for the respective category 'leadership troika, active and passive donor' is available in JASZ.

¹⁹ Result Matrix for the Swedish Cooperation Strategy, Sida.

2 Areas of cooperation

This chapter presents each area of cooperation individually guided by the eight evaluation questions. The areas of cooperation are divided into main areas for cooperation, areas to be phased out, support to civil society, and poverty reduction through budget support. In addition to the presentations of the areas of cooperation, there is a ‘non-classified disbursements’ section.

2.1 Main areas of cooperation

2.1.1 Health and HIV/AIDS

Poverty and health are closely linked, as are development and health. Improved health contributes to economic development, which in turn is expected to lead to an increased level of public health, and in the long term children’s health is a prerequisite to achieve a healthier adult population.²⁰ Zambia suffers a heavy disease burden. Malaria and HIV/AIDS are the country’s primary causes of disease.²¹

The FNDP health goal is *to improve the health status of the people in Zambia in order to contribute to socioeconomic development in line with the millennium goals, and to reduce the spread of HIV and AIDS.*

The specific Swedish strategy goal is to achieve an *‘improved health situation for poor women, men, girls and boys within the framework of an effective and decentralised health care system that is based on the rights perspective and gives attention to gender equality issues as well as the reduced spread of HIV/AIDS’.*²²

Sweden has a long tradition of supporting the Zambian health sector. Zambia was Sida’s largest recipient of health support in 2006.²³ Previous support had shown positive results, for example increased and more predictable funding of district healthcare and development of financial and information systems, which have now been implemented, resulting in improved health indicators. Some indicators point to an improved health situation, while others suggest no change or even a decline over the last 20 years. Some of the most important indicators showed a serious decline in the 1990s, yet the indicators for basic healthcare services have improved over the last ten years as several significant improvements have been made.²⁴

There are three administrative levels in the Zambian health system: Ministry of Health (MoH) operates at the central level, in nine provinces and 72 districts. MoH accounts for roughly 50 % of all healthcare in Zambia. Other healthcare providers include Churches Health Association of Zambia (CHAZ), which is closely linked to

²⁰ FNDP, p. 160.

²¹ Joint Annual Review for 2008, p. 1.

²² Strategy for Development Cooperation with Zambia 2008-2011, p. 5.

²³ Progress in Health Development, Sida’s contributions 2006, p. 23.

²⁴ Progress in Health Development, Sida’s contributions 2006, p. 51-52.

the national health system. The staffing costs are to a large extent covered by MoH, private clinics and traditional healers.²⁵

Zambian healthcare has been subject to a number of reforms over the last few decades. The decision to close the Central Board of Health (CBoH) implied a major change at the system level and led to significant restructuring starting in 2005 when CBoH was merged with MoH.²⁶

The harmonisation process in Zambia, manifested primarily in JASZ, strongly affects the development agenda in the area of health. The intention is to have fewer actors involved in the health and healthcare sector, in line with the principles set forth in the Paris Declaration. Yet, a large number of cooperating partners are still engaged in the sector. The JASZ work allocation matrix shows that Sweden has a leading role in the coordination of health sector support. Sweden and the Netherlands have signed a delegated partnership agreement where Sweden administers MEURO 71 of Dutch funds during the period July 2006 to December 2011.

Sweden actively supports the implementation of the National Health Strategic Plan (NHSP) 2006-2011²⁷ and the strengthening of the National Aids Council's (NAC) strategic plan, which spans three years. The purpose of this support is to find solutions to the staffing crisis in the health sector, the high disease burden with AIDS being one of the main causes of death, the high child and maternal mortality, and structural issues such as insufficient funding of the health sector. The Swedish policy for global development (PGU), Sida's *Perspectives on Poverty*, Sida's health policy, Sweden's international policy for sexual and reproductive health and rights, and the cooperation strategy for Zambia provide appropriate guidelines and strategies for the health support.²⁵

The fact box on the next page summarises goals, time periods and disbursements during 2008 and 2009 for the evaluated interventions (those marked in blue are not included in the evaluation).

²⁵ Assessment memo: National Health Strategic Plan 2006-2011, p. 9.

²⁶ NHSP p. 7.

²⁷ Assessment memo: National Health Strategic Plan 2006-2011, p. 7-9.

Fact box 1 Health and HIV/AIDS. Disbursements per intervention, 2008-2009, MSEK

Intervention	Goal	Disbursed 2008	Disbursed 2009
<i>National Health Strategic Plan 2006-2011</i>	To improve the health status of the Zambian population in order to contribute to socioeconomic development in line with the millennium development goals ²⁸	104.2	60.0
<i>Support to crisis plan for health sector staffing 2006-2011</i>	To improve the health status of the Zambian population with a view to promote socioeconomic development in line with the millennium development goals ²⁸	19.7	1.9
<i>National Aids Council 2007-2009</i>	Prevent, stop and reverse the spread and effects of HIV/AIDS by 2010 ²⁹	4.9	1.5
<i>Trendsetters SRH Project</i>		0.1	0.1
<i>Support to PPAZ</i>		0.1	0.0
Total		129.0	63.4

Source: Financial report from Sida's 'Plus system'.

Zambian health priorities are set out in **NHSP**, which in turn is concretised in annual action plans at both the national and regional levels. These plans are formulated by MoH, after which they are approved by the donors. They are then subject to annual follow-ups. In addition, the progress is monitored through regular meetings of a working group for *Monitoring and Evaluation*, through meetings within the *Sector Advisory Group*, through the *Joint Annual Review (JAR)*, and through mid-term and final reviews. JAR is carried out jointly by MoH, CSO and donor groups, and includes document reviews, study tours and development of reports. Recommendations presented in JAR are reflected in the following year's plans.

In 2008, an independent review group completed a mid-term review.³⁰

The fourth NHSP is an attempt to influence the disease situation in Zambia by accelerating achievement of the Millennium Development Goals and other national priorities. As a result of the very limited availability of resources, NHSP is strongly focused on achieving the national priorities in the health area, which include solving the health sector staffing crisis, managing priorities related to the national health goals

²⁸ FNDP.

²⁹ National AIDS Strategic Framework (NASF) 2006-2010.

³⁰ Zambia NHSP IV, MTR, Final Report, 17/11/2008.

including the millennium development goals, and ensuring that necessary support is provided to prioritised systems and services.³¹

NAC coordinates, promotes and contributes to increasing the awareness of cross-sectoral interventions to combat HIV/AIDS in Zambia. A large number of donors are involved in this field. Treatment is funded vertically through various global funds. Funding of the support is regulated through an agreement signed by eight donors, of which one is Sweden. NAC has representatives from the private sector, non-governmental organisations, youth organisations and religious organisations as well as individuals living with HIV and AIDS. The Council has a Secretariat, which reports to a Cabinet Committee of Ministers headed by the Minister of Health.

The increased focus on HIV/AIDS requires significant resources. In addition to inhibitor medications and medical supplies, there is a large need for healthcare personnel. Not only is there currently a shortage of personnel with sufficient training, the total number of healthcare workers is also too low. An additional problem is that the regular healthcare services, which are critical for successful management of all types of diseases including HIV/AIDS, are undermined due to the fact that incentive structures encourage personnel to move towards the vertical HIV/AIDS programmes.³²

NAC's assigned task is to reduce the personal, social and economic consequences of HIV, AIDS, sexually transmitted diseases and tuberculosis. In order to achieve this, the Council is to support development and coordination of policies, plans and strategies designed to prevent and fight the diseases; to consult the Government, health institutions and other organisations regarding policies, plans and strategies designed to prevent and fight the diseases; to ensure access to and distribution of information; to develop a national research agenda and strategic plan with an ambition to find a cure for HIV/AIDS; to cooperate with other research institutions; to implement preventive care support programmes; and to provide resources, technical support and guidance useful in the campaign against the diseases. NAC has in recent years been able to spread information about its activities by decentralising its work and by forming working groups both at the regional and local levels.

Interventions in relation to the goal of the cooperation strategy

The support given to NHSP and NAC is well in line with the goal of the Swedish strategy.³³

Also, Zambia's own priorities are well in line with the priorities and specific issues set out by Sweden. The Swedish efforts are designed to consider the complexity of the vertical programmes, the link between poverty and health, and the health sector staffing crisis.

SADEV finds the support to be consistent and relevant in relation to the goal of the cooperation strategy.

³¹ NHSP p. 11.

³² Assessment Memo: Zambia National Health Strategic Plan 2006-2011, p. 13.

³³ CCS Zambia 08-11, p. 5.

Integration of thematic priorities

Gender equality is to some extent integrated in the interventions, yet there is room for further improvement.

Zambia is characterised by large differences between men and women in health outcomes, mainly in terms of disease and mortality rate. The national gender equality policy from 2000 provides that all ministries in the country, including MoH, shall consider the issue of gender equality in all their work. However, the country's gender inequalities in access to healthcare and in health effects have not received the necessary attention.

Gender equality is included in NHSP, and there are plans to further integrate the issue. Only limited results are found in practice: gender equality policies in NHSP are not translated into concrete action plans; the official statistics is not gender disaggregated; few women hold leadership positions at any level of the public healthcare system and awareness of gender equality is still limited.³⁴ MoH suggests a number of interventions to push the gender equality issue forward, for example developing a special action plan for increased integration of gender equality; working towards gender balance in recruitment and competence development; developing guidelines for, and adopting, a multi-sectoral strategy for integration of the gender equality issue; and establishing clear models for monitoring and evaluation, which can show the progress made in the gender equality work.³⁴

The mid-term review of NHSP concludes that although gender is considered in the plans, *'there have been little, if any, practical measures taken to translate its strategies into actions reflected at levels of programmes and activities. Consequently, most programmes in the MoH have remained gender insensitive.'*³⁵ MoH lacks enough staff with gender equality training. The gender equality unit that was part of CBoH was never instituted after the merging of CBoH and MoH.

Sida and Canadian Cida have contributed to gender screening of the new health strategic plan already at the draft stage, since this is a weakness of the current strategic plan.

The priorities **human rights** and health are to some extent integrated in the interventions, yet there is room for further improvement.

The mid-term review of NHSP shows that the view of health as a human right is not evident for users, politicians and staff in the health sector. NHSP is not sufficiently clear with respect to provision of support to help users of health and healthcare services become better aware of and informed about their rights and therefore be in a position to demand higher quality service.

In 2008, Sida and the World Health Organization (WHO) conducted a review of gender equality and human rights in relation to NHSP. The study provided MoH with recommendations regarding how they can integrate gender equality and human rights into healthcare in general and into the strategic plan for the health and healthcare sector in particular. The mid-term review could not find any evidence that MoH has followed up on the recommendations.

³⁴ NHSP p. 69.

³⁵ Zambia NHSP IV, MTR, Final Report, 17/11/2008, p.142.

The mid-term review of NHSP also concludes that there is a need to strengthen the gender equality and rights perspective in programming, planning and decision making in the health sector. There is a need within the MoH to train staff about how health, gender equality and human rights are connected.³⁶

The thematic priority **environment and climate** is not integrated in the interventions. Sida's assessment memo addresses mainly the risks associated with expired medications as a significant environmental problem within the health sector.³⁷ SADEV notes that an environmental impact assessment developed to further integrate environmental and climate-related issues into the health interventions is lacking.

SADEV finds the thematic priorities³⁸ to be integrated in the health interventions to some extent, with the exception of environment and climate, which has not been integrated.

Goal attainment

The general goal set forth in **NHSP** is to further improve the health services with a view to achieve the national priorities within health and the millennium development goals. NHSP also identifies ten national prioritised areas within health, which are based on the millennium development goals and other national health priorities. The prioritised areas can be divided into four categories: the staffing crisis in the health sector, prioritised intervention areas for public health, clinical healthcare and prioritised diagnosis- and support systems.³⁹

The conclusions of the mid-term review regarding the results of the NHSP are rather positive. It states: *'among the many achievements NHSP has brought to the Service Delivery of the health sector, the most outstanding on all accounts are the substantial improvements in the infant mortality, child mortality and maternal mortality.'*⁴⁰ Some of the goals of the NHSP have already been reached and/or exceeded. Although the link between the improved results and the interventions/programmes in the health area is somewhat problematic, there does seem to be a connection between some of the vertical programmes and reduced infant and child mortality. The cause of the observed reduction in maternal mortality is unclear.⁴⁰

The mid-term review further finds that the general planning and budgeting process within MoH is advancing. The district-level planning process is found to be highly participatory, and overall the planning efforts at various levels seem to positively affect the disbursement level.

It is important to point out that the mid-term review was carried out before the irregularities in the healthcare sector became known. The developments in this sector observed after the review show that the conclusions may have been guided more by enthusiasm than by facts.

³⁶ Zambia NHSP IV, MTR, Final Report, 17/11/2008, p.148.

³⁷ Assessment Memo: Zambia National Health Strategic Plan 2006-2011, p. 37.

³⁸ Gender equality, Democracy and human rights and Environment and climate.

³⁹ NHSP p. 20.

⁴⁰ Zambia NHSP IV, MTR, Final Report, 17/11/2008, p. xvi.

Sida's assessment memo for health support lists four challenges for the healthcare sector: the HIV/AIDS epidemic, the high maternal mortality rate, the staffing crisis and sector funding. SADEV notes that the challenges do not address, for example, governance of and leadership within the sector, and corruption.⁴¹

The corruption risk assessment conducted by Sida as part of preparing the health support is rather brief. It finds that corruption may occur, that the MoH has a history of poor administration of funding, and that *'with an increasing effort to develop systems within the SWAP to ensure transparency and accountability the general impression is that major fraud in the sector is now extremely difficult to get away with. Petty corruption is also more and more visible through the different technical working group meetings between the CPs and the MoH, and MoH staff is very much aware of the risks of corrupt behaviour.'*⁴²

SADEV notes that no further corruption/risk analysis is conducted, and that no further needs for the control activities are mentioned. The Paris agenda sets out that the donors shall use *Zambian* systems for review and control, and they (the donors) therefore perceive a conflict between having to comply with the Paris agenda and their own sense of being in control of the funds.

The assessment memo for the support to **NAC** classifies the corruption risk as *'moderate'*.⁴³

After revealing irregularities in the health sector in the spring of 2009, Sida cancelled the disbursements to NHSP for the same year. Zambia's government has, as a condition for reinstated support, agreed to implement an action plan, *the Governance Action Plan*. Sida's view of the implementation of the action plan is that the *Zambian* government does demonstrate a willingness to fulfil its commitments.

The Swedish health sector support complies with FNDP and JASZ. SADEV finds the interventions to be both relevant and to some extent complementary.

Aid modalities

The support provided by the cooperating partners is coordinated through a SWAP mechanism that includes so-called basket funding of district healthcare and hospitals. The previous basket was developed into an expanded basket for sector programme support.⁴⁴ The support also includes a delegated partnership of MEURO 71, where Sweden acts as a representative for the Dutch embassy in Lusaka, over a period of a little over five years, 2006-2011.⁴⁵ The main part of the support consists of support to the expanded health basket.

Donor coordination in general and coordination within the health sector in particular has been on the agenda in Zambia for several decades. A large number of donors are involved in the health sector, and Sweden plays a central role. The workload associated with the harmonisation is quite heavy, and the amount of time spent leading the function is considerable. The assessment memo for the support to the health sector

⁴¹ Assessment Memo: Zambia National Health Strategic Plan 2006-2011, p.12.

⁴² Assessment Memo: Zambia National Health Strategic Plan 2006-2011, p.36.

⁴³ Assessment Memo: In-depth Assessment of the NAC 3 Year Strategic Plan (2007-2009), p.16.

⁴⁴ Assessment Memo: Zambia National Health Strategic Plan 2006-2011, p.7.

⁴⁵ Decision on contribution, Zambia Health Sector 2006-2010.

does not give much attention to the donor coordination role and its demands. SADEV concludes that no true assessment has been made concerning Sweden's extensive engagement in the donor coordination, the work processes used, and what resources a coordinator needs in order to complete the assigned tasks. A cost analysis should be conducted and then weighed against the benefit of the coordination given its present form. SADEV also raises the question of whether the embassy, with the existing available resources, is able to complete all tasks inherent to donor coordination leadership without provision of additional resources.

The support to MoH has, during the strategy period, not been fully complemented with a strong support to the civil society. The Embassy/Sida are aware of this. To strengthen the control function, the Embassy/Sida recommend that this be done as a complement to sector budget support. With the purpose of strengthening the advocacy for openness and accountability, a process to identify relevant CSOs has been in place during the strategy period, and two organisations have been identified: the Centre for Health and Science and Social Research, and Oxfam. Assessments of the two organisations are currently being prepared. Another CSO for the area of sexual and reproductive health has also been identified, but no assessment is being prepared.

SADEV finds the mix of aid instruments to be relevant, although a stronger support to CSOs would be desirable.

Disbursements

The disbursements made in the health sector have not been in line with expectations and plans. This is a result of financial irregularities in this sector. In 2008 Sweden disbursed MSEK 95, while in 2009 the amount was only MSEK 40.

Use of Zambia's system

The health sector support is mainly given to the expanded health basket. The Zambian systems are used to a large extent, with two main exceptions: special financial reports are produced, and the support is not channelled through Treasury.

Dialogue

In addition to the general issues for dialogue⁴⁶, there are specific issues for dialogue for the health and HIV/AIDS areas. Issues Sweden should address in contacts with MoH and/or donors, and when relevant also with other stakeholders, are sexual rights and reproductive health, and gender equality. Sweden should also ensure that preventive work to fight the spread of HIV/AIDS is given clear priority and influences the enactment of the national health plan.⁴⁷

One of the issues for dialogue that are not included in the strategy for 2008-2011 is disease-specific programmes and strengthening of the healthcare system. In 2007 Sida described it as: *'Another important area for dialogue is the disruption in the sector caused by funding of disease specific programs. The dialogue has to be held both with the government and with*

⁴⁶ Strengthening democratic institutions, respect for human rights and citizens' insight into public activities, and effective use of the state's collected resources according to FNDDP.

⁴⁷ Zambia Results matrix 2009, p.2

*other partners in the sector, but also with representatives of the DSP. The dialogue has to be held at country level and at global level.*⁴⁸

It is evident that this is still a very important issue in Zambia, for example in relation to the large amounts channelled to the vertical programmes, and the associated staffing problems.

The results matrix also contains a large number of dialogue issues for different levels within the health sector. The common donor dialogue with the Zambian government should focus on the staffing crisis, maternal care and access to recommended emergency care facilities, plus sexual and reproductive health and rights. In addition, the prospects and prerequisites for a transition to sector budget support is a Swedish prioritised issue for dialogue with donors and other partners.

The common donor dialogue with the Zambian government about HIV/AIDS should focus on continued and increased government commitment in the fight against HIV/AIDS and on increased preventive interventions, and on adaptation and coordination of vertical programmes with national systems. Swedish priorities in the dialogue with donors and other partners are promotion of young individuals' sexual and reproductive health and rights, and intensification of comprehensive HIV/AIDS prevention measures including condom use.⁴⁹

SADEV finds that Sweden, in the first phase of the strategy period, has managed to maintain a dialogue with Zambia's government and donors, not least since Sweden has been and continues to be part of the leadership troika together with WHO and the Department for International Development (DFID). SADEV has noted that the list of dialogue issues in the Swedish documents is rather long. Dialogue is an important development tool, and it could be better focused in order to achieve the expected results.

The financial irregularities in the health sector and the consequent Swedish position have constrained the dialogue. The reason is partly that the climate for dialogue has changed and that both sides lack confidence in each other, and partly that the agenda for the dialogue with the government since May 2009 is strongly focused on internal processes in MoH, such as leadership and governance, and on the implementation of the Governance Action Plan.

One issue that complicates the dialogue is disagreement among the donors over a Chinese initiative with mobile health units. The differing opinions concern mainly the significant loans such units would imply⁵⁰, the fact that mobile units are not part of the current and agreed NHSP, the lack of transparency in the process, and uncertainty around the feasibility of such large and high-technological investments in a country with Zambia's poor infrastructure. SADEV concludes that there is no consensus in the donor group regarding how this issue should be handled.

⁴⁸ Assessment Memo: Zambia National Health Strategic Plan 2006-2011, p. 50.

⁴⁹ Zambia Results Matrix 2009, p. 8-9.

⁵⁰ 53 MUSD according to an embassy memo dated 9 December 2009.

2.1.2 Agriculture

The majority of Zambians are dependent on agriculture for their subsistence. The agricultural sector in Zambia has a significant potential to contribute to increased economic growth and reduced poverty. The production is mostly small scale and dominated by women.

It is a goal of FNNDP to *'promote increased and sustainable agricultural production, productivity and competitiveness in order to ensure food security; income generation; creation of employment opportunities; and reduction of poverty levels.'*

Whereas Sida finds the FNNDP agricultural policy to be an improvement compared to previous policies, the distribution of state funding to agriculture has not lead to increased growth in the agricultural sector.⁵¹ Achievement of the FNNDP goals calls for a uniform agricultural policy, budget discipline and an increased ability to carry out policies and programmes.⁵²

The specific Swedish strategy goal is *'de facto implementation of the FNNDP agricultural policy focusing on poverty and growth promotion and increased climate adaptation, which in its turn will lead to greater and sustainable production, higher productivity and strengthened competitiveness in agriculture. This is in order to ensure food security, generate income, create employment opportunities and reduce poverty.'*

The Swedish support is focused on knowledge development and a secure food supply for small scale farmers, and on development of and access to primarily national or regional markets for this group. Attention will also be given to the different opportunities for women and men to become economic actors. The support shall also target capacity development within the Ministry of Agriculture and Co-operatives (MACO) at the central and district levels. Zambia is significantly affected by climate change and the issue of how agriculture can be carried on in a sustainable manner despite climate changes will therefore be central.⁵²

The fact box below presents the interventions included in this evaluation. They are: the Agriculture Support Programme (ASP), the Agricultural Consultative Forum (ACF), the Food Security Research Project (FSRP) and the Zambia National Farmers' Union (ZNFU).

The purpose of **ASP** was to promote the development of small scale farmers' ability to make a sustainable living by increasing the food security and the productivity and, thus, increase the incomes from agricultural products. The programme is based on experiences from previous Sida-funded projects within the Zambian agricultural sector.

The direct support to rural small scale farmers via ASP has during the strategy period been complemented with support to the two CSOs **ACF** and **ZNFU**, with a view to benefitting shared interests and for the role as an independent control function of the Zambian government.

⁵¹ The programmes FSP (Fertilizer Support Programme) and FRA (Food Reserve Agency) are examples of state agricultural programmes. Sida indicates that these programmes received almost 1/3 of the total budget within the agricultural sector in 2007 and 2008 (Assessment memo, support to ACF 2009, p.3f).

⁵² Strategy for Development Cooperation with Zambia 2008-2011, p.6.

ACF is a membership-based organisation and a platform for political dialogue with members from the private and public sectors.⁵³ The support aims to stimulate consultation among central actors within the agricultural sector, to provide qualified guidance with respect to the design and execution of agricultural policy and programmes, to serve as a channel for collection and analyses of research results, and to facilitate cooperation among the concerned actors. Sweden initiated the support to ACF in 2008 for one year, at the same time as the Embassy developed its strategy for CSO, and then moved on to support ACF on a multi-year basis 2009-2011.⁵⁴

The support to **FSRP** is jointly funded by the United States Agency for International Development (USAID) and Sida. FSRP received Swedish support 2007-2008 to promote sustainable development of the agricultural sector, food security and increased incomes in rural Zambia through political analyses and applied research. FSRP also provides training with a view to building analytical capacity in public and private bodies that influence agricultural decision making and policy outreach. FSRP is a collaboration among MACO, ACF and Michigan State University, which provides analytical and capacity-building support to FSRP.⁵⁵ FSRP's research and policy documents have spanned across a wide range of topics, but concern primarily the welfare of small scale farmers and poor consumers in urban areas, and also contribute to a better understanding of the market dynamics for the products used by these two groups.

ACF used part of the support 2009-2011 to contract with FSRP to assist with a policy research programme. USAID and Sida will work together to help ACF/FSRP cooperate in order to bring the two projects closer. Sida believes that, rather than conducting its own research, ACF should build its capacity to develop assignment descriptions, suggest methods and then contract with other research organisations.⁵⁶ The purpose of the support to FSRP is to strengthen the local research capacity and provide ACF with analyses to be used in political debate.

ZNFU is also a membership-based organisation. Its task is to promote and protect the interests of its members, who consist of small scale farmers, business owners and other agricultural organisations. In essence, the organisation strives to achieve economic and social development. The support to ZNFU is a joint initiative between Sweden, Finland and the Dutch embassy. The support aims to improve ZNFU's research capacity and consolidate its lobby and advocacy functions, to improve the provision of services to the members and the outreach activities of the District Farmers Association, and to improve ZNFU's economic viability and hence make it less dependent on external support.⁵⁷

One smaller project has also received funding during the current strategy period, but this project, the Agricultural Policy and Monitoring Project, is not included in the evaluation. The programme supports MACO's policy and planning unit to increase its capacity to monitor the developments within the sector. The project spanned the

⁵³ All in all 45 members comprising private sector organisations, individual organisations, agricultural organisations, private and public cooperation organisations, ministries and relief organisations.

⁵⁴ Decision, 29 April 2008.

⁵⁵ Decision to Extend support to the FSRP in time and cost, 2009, p. 1.

⁵⁶ Assessment memo – *Support till ACF 2009-2011, passim.*

⁵⁷ Assessment memo – *Support till ZNFU 2009, p. 1.*

period 2005-2007, but Sida decided to extend the support to 2008 since the programme started later than expected. Disbursements have also been made to three evaluations and to UNICEF.

The fact box on the next page summarises goals, time periods and disbursements in 2008 and 2009 for the evaluated interventions (those marked in blue are not included in the evaluation).

Fact box 2 Agriculture. Disbursements per intervention, 2008-2009, MSEK

FNDP goal: To promote increased and sustainable agricultural production, productivity and competitiveness in order to ensure food security; income generation; creation of employment opportunities; and reduction of poverty levels.

Specific Swedish goal: De facto implementation of the FNDP agricultural policy focusing on poverty and growth promotion and increased climate adaptation, which in its turn will lead to greater and sustainable production, higher productivity and strengthened competitiveness in agriculture. This is in order to ensure food security, generate income, create employment opportunities and reduce poverty.

Intervention	Goal	Disbursements 2008	Disbursements 2009
<i>Agriculture Support Programme (ASP) 2003-2008</i>	To contribute to sustainable poverty reduction in Zambia – by improving crop production through sustainable agricultural methods in order to increase and secure the food supply and achieve a production surplus that can be brought to the market	34.9	0
<i>Agriculture Consultative Forum (ACF) 2008 2009-2011</i>	To facilitate continuous cooperation among central actors in the agricultural sector, to provide qualified guidance regarding the design and implementation of agricultural policy and programmes, and be a channel for collection, analysis and exchange of information among the actors	1.4	8.9
<i>Food Security Research Project (FSRP) 2007-2009</i>	To strengthen the local research capacity and provide analyses to be used in ACF's political debate	5.2	1.0
<i>Zambia National Farmers' Union (ZNFU) 2009-2012</i>	To improve ZNFU's research capacity and strengthen its lobbying and opinion-building function; to significantly improve the provision of member services and outreach programmes by the District Farming Associations; to improve ZNFU's economic viability and generate own incomes by developing investment and business plans and financing alternatives; and to strengthen the organisational capacity of ZNFU with a view to helping it become a results-oriented administration	0	1.8
<i>Agricultural Policy and Monitoring Project (APMP) 2003-2009</i>		0.5 ⁵⁸	0.0
<i>UNICEF Food Price Monitoring</i>		0.0	2.5
<i>Evaluations</i>		0.1	0.7
Total		42.1	14.9

Source: Financial report from Sida's 'plus system'

⁵⁸ Of which SEK 470 000 consisted of Norwegian funds delegated to Sweden (negative disbursement). The total disbursements to the programme amounted to SEK 940 000.

Interventions in relation to the goal of the cooperation strategy

SADEV finds the **ASP** programme to be relevant and in compliance with the goal stated in the cooperation strategy. The programme goals have a clear poverty perspective in its ambition to increase the food security and productivity among small scale farmers.⁵⁹

SADEV finds the support to the two CSOs to both harmonise with the strategy goal and to be relevant considering their role as representatives of agricultural groups and other stakeholders engaged in agricultural development, as well as their active advocacy efforts and lobbying in the policy dialogue with the Government.

SADEV also finds the support to **FSRP** to be relevant and in compliance with the strategy goal since the project supports applied research, which becomes an analytical contribution to **ACF's** policy debate with the government.

The Swedish contributions are relevant and complementary in relation to other agricultural interventions within JASZ and harmonise with the Zambian development policy. JASZ instructs that special attention shall be given to increased support to the sector in order to reach the goal of the Maputo Declaration⁶⁰ that ten percent of the national budget be allocated to the agricultural sector to fight the lack of public investments in productivity-enhancing activities.

The passing of the Draft Agriculture Marketing Act deserves attention as well. The extent of publically financed competition-distorting subsidies should be decreased, while the public financing of agricultural research, consultation, infrastructure (irrigation and water supply in particular), land conservation, and development of and access to domestic, regional and international markets should be increased. Guaranteed economic growth among the poor necessitates prioritisation of measures that benefit as many farmers as possible.⁶¹ The publically financed subsidies referred to above are linked to the Fertilizer Support Programme, which aimed at increased small scale farm productivity, and the Food Reserve Agency, whose tasks include administration of the country's national food reserve.⁶²

⁵⁹ The project document (ASP 2003-2008, p.8) also states that the programme targets small scale farmers who are motivated and have the potential to move from subsistence to commercial farming.

⁶⁰ The Maputo Declaration was signed in 2003 by the African leaders who took on the work to implement the Comprehensive Africa Agricultural Development Programme and provides a framework for securing the food supply and the agricultural and rural development in Africa. To reach these goals, the leaders have for example requested their governments to allocate at least 10% of the national budget to implement the programme within a five-year period.

⁶¹ JASZ 2007-2010, p. 16.

⁶² The Fertilizer Support Programme was launched in the early 2000s when the private sector was unable to provide farmers (especially in remote areas of the country) with the necessary inputs. A document written 30 March 2009 in preparation for the dialogue with the Zambian government refers to an impact assessment carried out by the World Bank. The assessment concluded that the programme had not been cost effective. The productivity had decreased and the state interventions in the maize and fertiliser markets risked marginalising the private market. The same document refers to studies showing that the programme has not managed to reach out to poor farmers to the intended extent. The Food Reserve Agency was established in 1995. One purpose of the Agency was to stabilise the market prices and to support the market including in the remote areas of the country in order to reduce the transport costs for small scale farmers. According to an interview with Sida, this type of approach usually implies significant losses for the state involved.

Integration of thematic priorities

SADEV finds that the thematic priorities **gender equality and the role of women in development** are well integrated in ASP and the ZNFU programme.

In ASP, the gender equality aspects were to be integrated in the *'facilitation cycle'*.⁶³ The approach has been to work with the strategic gender needs at the household level by developing and reorganizing the roles of women and children as decision makers.

ZNFU has developed a strategy for gender equality, and an institutional gender equality policy is developed in the current programme to secure integration of the gender perspective in all ZNFU operations.⁶⁴

However, SADEV notes that the gender equality issues are not integrated in ACF/FSRP, neither in project documents nor in Sida's assessment memo from 2009 with one exception – it states that the gender equality issues are included in the operations of ACF, although there is no information on how. Yet, ACF and FRSP have conducted gender-related studies, including a Stakeholder Gender Survey. By using available empirical data for the categorisation of farmers, Sida predicts that ACF's and FSRP's appreciation of the gender equality dimension in agriculture will be enhanced further.⁶⁵

SADEV finds that **Democracy and human rights** are well integrated in ASP. The programme documents encourage synergies between the programme and human rights and democratic governance respectively, especially with respect to gender, rights, increased participation and democratic principles for cooperation. ASP's 'facilitation cycle' puts focus on participation of household members to increase their influence in society at large, at the same time as the stakeholders should follow the principles of good governance and of decentralisation to local governments and the local private sector.

SADEV notes that the topics of democracy and human rights are not discussed in ZNFU's work plan or in Sida's assessment memo for 2009.⁶⁶ However, the fact that the project is to encourage the stakeholders to participate in ZNFU's planning and implementation to ensure ownership and engagement can be interpreted as that the priority is implicitly observed.

SADEV finds democracy and human rights to be integrated in ACF/FSRP since the project facilitates stakeholders' participation in discussions related to policy making and implementation of agricultural policy. FSRP's applied research concerning small scale farmers and consumers is also an important input that can be used in the dialogue with the Zambian government. It should be noted, however, that the priority is neither mentioned in ACF/FSRP's project document nor included in Sida's assessment memo for the support.

⁶³ ASP programme document, p. 19.

⁶⁴ Gender equality integration of ZNFU's operations was started many years ago with support from the Swedish independent organisation *Kooperation utan Gränser*. ZNFU also cooperates with the Zambian Women's Association in order to reach out to female farmers.

⁶⁵ Assessment memo, support to ACF 2009-2011, p. 10 and p. 15.

⁶⁶ ZNFU 2009, annual work plan and budget, p. 5.

Environmental and climate issues are not included in ACF/FSRP's project document or in Sida's assessment memo for 2009. Neither do they seem to be included to any significant extent in the studies carried out by FSRP during the period 2007-2009.⁶⁷

Climate issues are not addressed in ASP or in ZNFU's programme. Yet, the environment is well integrated in ASP. A strategic environmental impact assessment performed as part of the preparations of ASP concluded that ASP is a neutral environmentally friendly programme.⁶⁸ The programme provides that sustainable development must be considered and environmental considerations must be made at all levels and in all aspects of ASP. Conservation farming will be promoted so as to attain sustainable agriculture. ZNFU has also integrated the environment into its programme by promoting environmentally friendly and sustainable agricultural - methods.⁶⁹

Goal attainment

The overall goal of ASP (impact) is to contribute '*to sustainable poverty reduction in Zambia.*' At the outcome level, this goal is to be achieved by '*improving the production of crops by means of sustainable agricultural methods in order to achieve an increased and secured food supply and a production surplus that can be sold in the market.*' The revised project draft distinguishes among five main components at the output level, to which a range of different activities are linked. Yet, most activities are linked to the first two components listed below. The components are:

- entrepreneurship and business development
- land, seed, crops, animal farming and modern business practices – based on environmentally friendly management of natural resources
- infrastructure fund
- improved state provision of services to the target groups
- management, information and learning system (MILS).⁷⁰

According to interviewed personnel at Sida and Sida's Pilot Performance Monitoring Memo (2009)⁷¹, ASP has been a very successful programme and it has shown very good results regarding improved food security and increased incomes for the participating households.⁷² The final consultancy report concludes that ASP has contributed to good results at the impact and outcome levels since the economic growth has increased for 44 000 small scale farmers and business owners. They have improved their standard of living and increased their farming investments to achieve higher productivity. Reviews conducted during the project period showed that the food and nutrient status had gone up considerably among the ASP households compared to

⁶⁷Food Security Research Project – Zambia: Annual report 2007 and First Quarterly Report, 2009. See also <http://www.aec.msu.edu/fs2/zambia/index.htm>

⁶⁸ Assessment memo: *ASP 2003-2007*, p. 27.

⁶⁹ Assessment memo: *ZNFU 2009*, p. 5.

⁷⁰ Ramböll - *ASP 2003-2008*, final report, passim.

⁷¹ Sida - Pilot Performance Monitoring Memo, 2009, p. 1.

⁷² The main focus of the programme has been to change the attitudes of small scale farmers and make them think of their farming as business.

the control groups.⁷³ The method of working directly with the households has, according to a gender equality survey in 2008⁷⁴ and an evaluation in 2010, to a large extent contributed to more active participation of female farmers in the programme and also directly increased agricultural productivity.⁷⁵ The 2010 evaluation concludes that families have learned to work together and that the process of decision making has changed in that men have become more willing to share the decision making with their spouses. Shared decision making has led to more rational household planning, which in turn has '*directly improved the results obtained in the agricultural sector*'.⁷⁶ Despite these results, the questions regarding women's access to and control over assets at the household level within and outside the household sphere remain, the evaluation report continues. When it comes to the resources, women are still dependent on their male household heads or other men in their family network. This is particularly obvious with respect to access to and control over important means of production in households headed by women.⁷⁷

SADEV finds that the result at the outcome level to reach the goal of '*improved agricultural productivity using sustainable agricultural methods and production of surplus for the market*' has not been fully achieved since ASP did not focus on the prerequisites for being able to significantly develop the business climate. The failure cannot be blamed on the programme only, since it is dependent on a good physical infrastructure and a policy that facilitates development of the private sector.⁷⁸ The infrastructure component of the programme was limited to the construction of seven local marketplaces and reconstruction of four roads.⁷⁹ An evaluation in 2008 concluded that ASP successfully facilitated a knowledge exchange concerning mainly agriculture as business, but that environmentally friendly and sustainable agricultural methods were hardly applied at all.⁸⁰ In addition, the evaluation showed that the productivity increases had been quite limited and that they often had been achieved using conventional agricultural methods.⁸¹

An unexpected result was reported in *Zambia Country Report 2010*. Nearly all approached local extension workers had established their own agricultural business using the so-called Farming as Business method they had learnt through ASP.⁸²

SADEV believes that one important explanation for the results is that the programme purposely bypassed the ministry centrally by appointing the involved consultancy agency to administer the funds. The funds were allocated directly to the district level in order to ensure quick distribution and disbursements to the activities. According to Sida, the consulting agency backed the local personnel on behalf of the state as well. The conduct was, according to Sida, a strategic choice and complied with MACO's

⁷³ Ramböll – *ASP 2003-2008*, final report, p. iii.

⁷⁴ ASP - The Household approach as a tool for gender empowerment, 2008, p. IV.

⁷⁵ Zambia Country Report – a special study of the ASP in Zambia, 2010, p. 3.

⁷⁶ Ibid, p. 3.

⁷⁷ Ibid, 2010, passim.

⁷⁸ Ibid, 2010, p. 5.

⁷⁹ Ramböll – *ASP 2003-2008*, p. iv.

⁸⁰ Environmental Sound and Sustainable Agriculture in Zambia based upon an assessment by ASP farmers, 2008, p. 6,20f.

⁸¹ Terms of Reference - Environmental Sound and Sustainable Agriculture in Zambia based upon an assessment by ASP farmers, 2008, p. 41.

⁸² Zambia Country Report – a special study of the ASP in Zambia, 2010, p.6.

policy for decentralisation and was seen as necessary considering the weak financial systems in the agricultural and finance ministries.⁸³

The overall question from a sustainability perspective is what remains of the results, considering that MACO was bypassed centrally and that its capacity to adopt the ASP concept and to implement similar programmes is weak. *Post ASP Consultative Process*⁸⁴ presented suggestions regarding how MACO could implement the ASP concept, yet the suggestions were never implemented, and neither were the plans included in the cooperation strategy to continue supporting MACO's capacity building after the ending of the Agricultural Policy and Monitoring Project in 2008.

According to the *Zambia Country Report* 2010, farmers and a previous ASP facilitator declared that the food supply had been secured at the household level as result of the training provided through ASP. Yet, the report points out that, since the business climate is rather weak, farmers remain vulnerable since they cannot set their own prices and maximise the returns on the investments they have made in their farming. The report also stresses that the problem of achieving a sustainable secured food supply remains. One of the factors is MACO's poor provision of inputs, guidance and necessary infrastructure to the farmers.⁸⁵ One conclusion presented in MACO's annual report (*Agriculture Policy & Monitoring Project*) from 2008⁸⁶ is that the only way to maintain provision of effective guidance is to make sufficient funding available. Money is needed to pay for transportation and capacity building to enable the extension workers to continue working according to the ASP concept.

Hence, the reports indicate that MACO lacks resources to meet the needs of the farmers. SADEV adds that the extension workers also need capacity building through training since new needs and forms of support keep arising in the agricultural sector. The available documentation and interviews indicate that such training has not been provided after the closing of ASP. Furthermore, no funding is available for the staff to be able to visit the small scale farmers. The fact that the farmers are dependent on state-provided guidance in order to keep developing and operating their farms⁸⁷ implies that there is a significant risk that the progress attained with respect to productivity and poverty reduction at the household level will stall or even reverse in some respects.⁸⁸ The development of businesses and of productivity relies on state financial and staff resources for continued support and guidance.

The overall goal of the **ACF** project (impact) is *'to contribute to a conducive policy environment through a sustainable process of consensus building among stakeholders.'*⁸⁹ The **FSRP** support is a component of the ACF project, which implies that FSRP and the ACF project share the same overall goal.

⁸³ Assessment memo – *ASP 2003-2007*, p. 11, 23.

⁸⁴ Ramböll - Post ASP Consultative Process, 2006-2007, *passim*.

⁸⁵ Zambia Country Report – a special study of the ASP in Zambia for the Evaluation of gender aware approaches in agriculture, 2010, p. 33ff.

⁸⁶ MACO – APMP: Annual report for the period January to December, 2008, p. 10.

⁸⁷ The deregulation of the agricultural sector started in 1991, yet the farmers are still highly dependent on the state-provided service since the private sector in this area has not developed enough to be able to provide this type of service.

⁸⁸ In 2010, Sida is planning to evaluate, among other things, the level of success of 'Farming as Business'.

⁸⁹ ACF – funding proposal to Sida for the period 2009-2011, p. 10.

The goals at the outcome/project level are: *'to facilitate consultation, co-ordination and networking among key stakeholders on agricultural policies and programmes; to provide a forum for dialogue and information sharing; to undertake and or facilitate strategic agricultural policy research; to monitor and evaluate implementation of agricultural policies and programmes; to provide an efficient and effective institutional structure that is responsive to stakeholders needs.'*⁹⁰

FSRP has a specific goal at the outcome level: *'To strengthen local research capacity and provide analytical input to ACF's policy debates.'*⁹¹

The project document lists a number of activities that are to be undertaken at the output level. The primary activities are to coordinate meetings, networks and field visits and to provide consulting services to stakeholders, publish brochures and update the website. Activities related to information coordination and facilitation through monitoring and evaluation are to produce input to Policy Advisory Notes based on published studies and surveys, as well as to facilitate regional research collaboration and coordination. The activities related to the Board and the administration include development of reports and media campaigns and to arrange Board meetings. The project document does not specify any activities for FSRP, with the exception of a reference to the programme *Policy Research for Organizing Agricultural Competitiveness, Trade, and a Vibrant Economy*, in which FSRP's services are described.⁹²

Based on the provided documentation, SADEV identifies results of ACF and FSRP at the output and outcome levels, while it has not been possible to evaluate any results at the impact level. Most planned activities have been carried out as studies, evaluations, research and meetings with various stakeholders. This has resulted in progress at the outcome level in the form of policy changes. Some examples include adoption of the so-called Cotton Law and development of strategies at various levels concerning value chains for cassava and eradication of cattle diseases.⁹³ Recommendations regarding the national budget contributed to the Government increasing the agricultural budget from 6 % of the total national budget in 2007 to 8 % in 2008. In addition, ACF had recommended the Government to consider redistribution of funds through smaller subsidies and increased funding to key areas such as irrigation, research and consulting services, and livestock keeping. In 2009, the allocation to livestock-keeping increased although, according to Sida, about 60 % of the agricultural budget still goes to subsidies linked to the Fertilizer Support Programme and the Food Reserve Agency.⁹⁴ Clearly, ACF plays an important role as a stakeholder forum, yet an EU report points out that there is nevertheless a cross-sectoral need to further improve the understanding and appreciation of the roles of the different actors and their respective responsibilities to develop the agricultural sector.⁹⁵

⁹⁰ Ibid, p. 10.

⁹¹ Assessment memo, Support to ACF 2009-2011, p. 6.

⁹² ACF funding proposal to Sida for the period 2009-2011, p. 7.

⁹³ ACF Semi-Annual Reports 2009, 2008 summary of key result areas – ACF.

⁹⁴ Assessment memo, *Support till ACF 2009-2011*, p. 7.

⁹⁵ Participatory Review of MACO, Final Phase 2 Report 2009, EU, p. 11.

A positive side effect has been reported. ACF has spread FSRP documents, which has contributed to increased public awareness and a dialogue that extends beyond the research sphere. This constitutes an efficiency gain for ACF.⁹⁶

At the impact level, the ZNFU project aims *'to contribute towards improved food security, farm incomes, employment opportunities, and reduced poverty levels'* through *'improved agricultural productivity and competitiveness (among both small and large scale farmers)'*.

The goal at the outcome level is *'improved ZNFU research, lobbying and advocacy outreach; improved tangible member services provision and District Farmers Association outreach plans; improved ZNFU sustainability and income generating ventures to develop appropriate ZNFU investments and business development programmes and financing alternatives; enhanced ZNFU's organisational and managing for result capacity.'*⁹⁷

A large number of activities at the output level are planned according to ZNFU's 'logframe'. They comprise compilation and distribution of policy documents and research results, development of guidance packages for the agricultural sector, advocacy, lobbying and other engagements in issues related to agricultural and private sector development. Other activities are intended to develop links between sellers and buyers, financial services and the supply of markets and market information via SMS and the Internet; to give members discounts on various goods and services; and to create mechanisms to cover any production cost increases. ZNFU also intends to improve its own and the District Farmers Association's capacity to generate incomes by designing business and investment plans. Baselines shall be produced and participation shall be promoted in order to facilitate realistic results of the work of the District Farmers Association and to develop new tools and methods to monitor and report results. General issues (gender equality, environment and HIV/AIDS) shall be integrated through institutionalisation of ZNFU's gender equality policy and practices, improved environmental management and protection, and increased awareness and reduction of the risks of HIV/AIDS.⁹⁸

The project support started in 2009. SADEV therefore sees it as too early to identify any results at the impact or outcome level. Moreover, no side effects have been reported. ZNFU reports that the planned activities have been implemented in 2009 as described above.⁹⁹ Some activities related to the cross-cutting issues have also been implemented, but no results have been reported to date. ZNFU has initiated a collaboration with the national AIDS council to work with HIV/AIDS issues.

SADEV holds that achievement of the strategy goals for the agricultural sector is unrealistic. The support to further capacity building within MACO at the central level has not been implemented as planned in the strategy after the Agricultural Policy and Monitoring Project ended in 2008. Although the projects carried out by ACF/FSRP and ZNFU show positive results to various extents, it is too early to expect any results at the impact level. Although the results of ASP are rather impressive, SADEV doubts that they are sustainable at the household level. The capacity within MACO is still low and the state funding is too limited to enable the extension service to carry out its task

⁹⁶Assessment memo, *Support till ACF 2009-2011*, p. 11.

⁹⁷ZNFU Core Support Plan Logical Framework 2009-2013.

⁹⁸Ibid

⁹⁹ZNFU – Draft work plan and budget for 2010, *passim*.

properly. SADEV finds that this affects the results negatively with respect to productivity and farmers' potential to develop their practices (outcome). If this situation persists, it will eventually affect the poverty level at the household level as well (impact).

Aid modalities

The support to the agricultural sector is provided in the form of project support, but the plan according to the strategy is for Sweden to assist Zambia in developing a sector programme support during the strategy period.¹⁰⁰ No programme targeting smallholder productivity has been in place after the phasing out of ASP in 2008. Instead, the Swedish contribution portfolio has focused on political dialogue with the government. MACO has asked Sida for support in a new programme, Farming as Business for Small Scale Farmers. The programme is a continuation of ASP, with the difference being that it is to be integrated into MACO's regular operations and with successive transfer of the financial administration to the ministry. The programme spans four years and was planned to commence in January 2010. However, in March 2010 Sida decided not to support the programme in its original form, yet Sida has suggested that MACO can lead a smaller pilot project, which might receive Swedish support.¹⁰¹

A significant number of donors are involved in the agricultural sector. The signatories of JASZ include the European Union (EU), multilateral organisations such as the World Bank, the World Food Programme (WFP), the Food and Agriculture Organization (FAO), the African Development Bank, and bilateral organisations such as the United States Agency for International Development (USAID), the Japanese International Cooperation Agency (JICA), the Norwegian Agency for Development Cooperation (Norad) and the Finnish International Development Agency (FINNIDA). Since 2010 the leadership team – the so-called troika – consists of USAID, EU and Sweden (chair). JASZ defines the division of responsibilities among the actors; each donor is responsible for certain areas. The donors regularly share reports and information with each other and also help each other gather information in connection with field visits.

The support to civil society organisations is funded jointly with other donors. Sida and USAID co-finance ACF/FSRP, while the support to ZNFU is given jointly by Sida, Finland and the Dutch embassy. ASP, on the other hand, is funded solely by Sweden.

Disbursements and expansion of support

Actual disbursements have been in line with the plans, except for the Agricultural Policy and Monitoring Project. There are no indications of increased support to MACO, as long as Sida does not decide to support Farming as Business for Small Scale Farmers as a pilot project or the Performance Enhancement Programme, which has been developed by MACO in cooperation with EU.

¹⁰⁰ Strategy for Development Cooperation with Zambia 2008-2011, p. 9.

¹⁰¹ Sida's letter to MACO dated 24 March 2010: Re: Support Programme: Farming as Business for small-scale farmers (FABS).

Use of Zambia's systems

The degree of use of the Zambian systems for the agricultural support is and has been very low. The report, procurement and auditing systems have not been used. The programmes have been reflected in the state budget, yet the national state accounting system has not been used. The support to ASP has instead been disbursed to the target group via a consulting agency in accordance with a special agreement between Sweden and Zambia. Sida, MACO and the ASP leadership met at the quarterly meetings to review progress made in the programme and other important aspects of the implementation, and to agree on work plans and budgets.¹⁰²

Dialogue

There are issues in Sida's results matrix that need to be discussed with the Zambian government and donors within JASZ besides the general ones described in the cooperation strategy.¹⁰³ These are i) continued deregulation of the agricultural sector, including a reduction of competition-distorting government interventions and subsidies, ii) increased public support to productivity enhancing and risky investments, and iii) improved sector monitoring and dialogue among the public and private sectors and civil society organisations. These issues correspond well with the general issues for dialogue addressed in the strategy.

The Swedish priorities for the dialogue with the donor group and the civil society comprise improved opportunities for dialogue for various agricultural organisations in order to achieve strengthened advocacy and service delivery to members and cooperating partners. Sweden also aims at discussing agricultural policy, implementation of the support to FNDP, adaptation to climate change and the need to help small scale farmers reduce their vulnerability to climate change.

Sida believes there are advantages to being part of the troika for the donor group, because of the direct contact the troika has with the Zambian government to discuss the issues described above. However, Sida feels that the increased focus on harmonisation among the donors has come at the expense of small scale farmers, who often tend to be forgotten about.

SADEV finds that the general issues for dialogue are integrated in Sida's dialogue with its cooperating partners. This conclusion is based on minutes from meetings with the government and within the donor group, and on interviews with representatives from the donor group and Sida, the ministry and ACF/FSRP.¹⁰⁴ The issue of effective use of the state's collected resources and the issues included in the results matrix with the government have been discussed for a long time and remain unsolved. The leadership troika, on behalf of the donor group, has a continuous dialogue with the government regarding the extensive support to the Fertilizer Support Programme and the Food Reserve Agency, which according to the cooperating partners undermines the development, productivity and diversification within the private sector. There has been no change in the government's position in these issues despite

¹⁰² Ramböll – *Slutrapport ASP 2003-2008*, p. 7.

¹⁰³ Strengthening democratic institutions, respect for human rights and citizens' insight into public activities, and effective use of the state's collected resources according to FNDP.

¹⁰⁴ Interview with Eddy Delaunay-Belleuill EU, Indira Janaki Ekanayake World Bank and Ballard A.M. Zulu USAID, Julius Shawa and Richard M- Kamona MACO, and Anthony Chapoto ACF/FSRP.

the efforts of the donor group to put pressure on the government. An EU report concludes that the dialogue between MACO and the donor group regarding the agricultural policy has become strained and minimal, and the private sector is only rarely, and in some cases never, consulted in policy matters.¹⁰⁵

2.1.3 Energy

The energy sector plays a key role in Zambia's economic development. The lack of investments in the sector in recent decades has led to a shortage of electricity in Zambia and hampers continued economic growth. In 2006, a study by Zambia's central statistics agency found that an estimated 19 % of the population had access to electricity. However, the access is very unevenly distributed between rural and urban areas. Only 3.2 % of rural households had access to electricity whereas the number for urban households was 49.3 %.¹⁰⁶

FNDDP has prioritised reforms and investments in the energy sector. The goal is *'to ensure availability and accessibility to adequate and reliable supply of energy...consistent with national development goals of sustained growth, employment generation and poverty reduction.'*¹⁰⁷

The specific Swedish goal of the cooperation strategy is *'increased access to energy that pays regard to the environment and climate, in particular for the population in rural areas and areas close to urban centres, in a well-regulated domestic and regional integrated market.'*¹⁰⁷

The overall objective of Sida's support to energy sector development is *'to assist in the development of sustainable energy systems that enable poor people to improve their lives.'*¹⁰⁸

During the strategy period, Sweden intends to support the Rural Electrification Authority (REA), the REA-managed Rural Electrification Fund (REF) and the Energy Regulation Board (ERB), as well as consultation regarding rehabilitation and effectiveness of the Kafue Gorge Dam. The fact box on the next page summarises goals, time periods and disbursements under 2008 and 2009 for the evaluated interventions (the intervention marked in blue is not included in the evaluation).

REA is a state institution that is to support the development of projects and their managers with a view to developing the rural electricity system, providing 'smart subsidies' for such systems and encouraging private sector investments. Since 2006 Sida has supported REA with technical assistance aimed to build up the institution and its legal framework and capacity. In 2008, REA's activities were still expanding and Sida resolved that the support should continue until 2010. The technical assistance from 2006 to 2010 focused on the development of the Priority Rural Electrification Projects for solar power, mini hydro power and biomass, as well as support to institution building of REA.¹⁰⁹

The purpose of the support to **REF** is to contribute to increased access to electricity in rural and semi-urban areas. REF subsidises the development of electricity grids. The development concerns both the main national grid and off-grid, the latter

¹⁰⁵ Participatory Review of MACO, Final Phase 2 Report 2009, EU, p. 2.

¹⁰⁶ Living Condition Monitoring Survey 2006 <http://www.zamstats.gov.zm/lcm.php#06>

¹⁰⁷ Strategy for Development Cooperation with Zambia 2008-2011, p. 6.

¹⁰⁸ Sida Policy – Sustainable Energy Services for Poverty Reduction (2005-2010)

¹⁰⁹ Ibid, p. 11.

involving electricity from mini hydro plants or biomass, and solar power systems. Power supply for specially targeted social services in rural areas is prioritised, such as health centres and schools, in order to increase both the quality and quantity of citizen service. Electrification of rural areas is also anticipated to facilitate development of new sources of income in areas where electricity has been hard to access.

ERB is a government regulatory agency for the energy markets. ERB oversees and controls the actors' effectiveness and the conduct within the energy sector. Its main tasks are to oversee fees (grid and connection), to monitor and analyse the general development in the energy markets including consumer prices and consumer markets, to grant permits and issue licenses, to oversee the quality of the transmitted electricity, and to protect customer rights. Sweden has supported ERB since 1997 by strengthening its capacity as a regulatory agency and by supporting formulation of strategies and methods for energy sector regulation. In 2008, ERB approached Sida regarding a consulting support aimed to strengthen ERB with international legislative and organisational expertise to solve problems linked to the regulation of electricity prices. Problems to be addressed were related to regulation of electricity tariffs that on the one hand evaluate impacts and re-design tariffs towards cost-reflective and 'pro-poor' tariffs, and on the other hand balance potential higher tariffs with new investments of rural electrification schemes. The extension is characterised by high investment costs with low returns, which may imply higher electricity tariffs, which may negatively affect the poor.¹¹⁰

The cooperation strategy provides that Sweden can also support the development of renewable energy/biofuels and of technology for clean and effective energy production and reduced effects on the environment and the climate. The support to REA/REF has to some extent been oriented in such a way. The cooperation strategy also sets out that alternative ways to strengthen Zambia's position in the south and east African electricity market will be explored.¹¹¹ These plans had not been implemented at the time of this evaluation. The consultation on rehabilitation of the Kafue Gorge Dam is not included in the evaluation either, since the volume of the disbursements has been rather limited (according to the selection criterion described in Section 1.2.3).

¹¹⁰ In depth assessment of support to the energy regulation board in Zambia, 2008-2010, p. 6.

¹¹¹ Ibid, p. 7.

Fact box 3 Energy. Disbursements per intervention, 2008-2009, MSEK

FNDP's goal: To ensure availability and accessibility to adequate and reliable supply of energy... consistent with national development goals of sustained growth, employment generation and poverty reduction.

Specific Swedish strategy goal: Increased access to energy that pays regard to the environment and climate, in particular for the population in rural areas and areas close to urban centres, in a well-regulated domestic and regional integrated market.

Intervention	Goal	Disbursements 2008	Disbursements 2009
<i>Rural Electrification Authority (REA) 2006-2010</i>	Increased economic development and improved living conditions (health, education) for rural women, men and children through provision of affordable and sustainable electricity to a number of Rural Growth Centres		31.2 (incl. REF) ¹¹²
<i>Rural Electrification Fund (REF) 2008-2013</i>	Increased economic development and improved living conditions (health, education) for rural women, men and children through provision of affordable and sustainable electricity to a number of Rural Growth Centers		See above
<i>Energy Regulation Board (ERB) 2008-2009</i>	(1) Implementation of a system of rules that promotes investments and therefore enables the different actors in the electricity industry to meet the increased demand for energy, and (2) that the Zambian government achieves its goals to increase the availability of energy in rural areas	0	7.5
<i>Kafue Gorge consultant fee</i>		1.3	0.1
Total		1.3	38.8

Source: Financial report from Sida's 'Plus system'

Interventions in relation to the goal of the cooperation strategy

SADEV finds the support to REA/REF and ERB to correspond well with the strategy goal and to be relevant with respect to the overall goal of improving rural people's livelihood. The relevance of the support to capacity development within the two government institutions is related to their respective roles in supporting and developing an effective energy sector. REA, which manages REF, is to support the development and design of the rural electrification projects. ERB determines the framework for reforms in the energy sector. The purpose of the reforms is to facilitate fair pricing and consumer access to energy.

Through **REF**, funding for rural electrification has been earmarked. Electrification often facilitates new, small-scale income-generating activities (for example increased evening trade and charge stations for 12V batteries and mobile phones). However, SADEV believes that the electrification must be complemented with other important

¹¹² Refers to REA 2006-2010 and REF 2008-2013.

interventions, such as development of credits for farming investments and good rural infrastructure in order to stimulate productive use of electricity to optimise income generation.

From a poverty reduction perspective it should be noted that the project will not benefit the poorest households directly, which may seem contradictory in relation to the Swedish overall goal of contributing to enable poor people to improve their living conditions. Sida believes that the reason electrification tends to initially target relatively rich households relates to their ability and willingness to pay for the services. Hence, the poorest households do not comprise an immediate target group since they do not possess the resources required to get connected to the power grid, but will nevertheless benefit from electrification through improved social service.¹¹³ This issue is discussed further in the section about thematic priorities.

The Swedish contribution portfolio complies with JASZ and FNDP. Thus, the contributions are considered relevant and complementary in relation to other energy-related interventions within JASZ. JASZ emphasises strengthening of the institutional and legislative capacity to enable the institutions to implement rural and semi-urban electrification programmes. Stimulation of public and private investments in domestic plans for renewable energy is needed as well. Changed electricity prices to cover investment and operating costs are needed in order to stimulate investments in power generation.¹¹⁴

Integration of thematic priorities

SADEV's review of Sida's assessment memo for support to ERB (2008-2010) and REA/REF (2008-2013)¹¹⁵ shows that the **gender equality issues** are included. Both assessment memos refer to how electrification of social services will have a positive effect on the lives of women and girls. However, only the ERB document refers to improved respiratory health among women when households start using electricity instead of firewood when preparing food.¹¹⁶ The gender equality issues addressed in both programmes target women's practical gender-related needs since various electric household appliances will reduce women's workload both in the household, and in applicable cases in their income-generating activities. Electrification is also expected to increase safety through outdoor lighting. Both reviews also refer to empirical evidence of the role of electricity for access to information (through radio and mobile phones) as a tool to increase women's power and independence. The assessment memo indicates that Sida intends to engage in a dialogue with ERB, REA, the Zambia Electricity Supply Corporation and the ministry regarding connection fees for the poor.¹¹⁷ However, the gender analysis submitted with the assessment of support to REA/REF made by the International Network for Gender and Sustainable Energy (ENERGIA) is critical to the fact that the support knowingly excludes the poorest households (which are primarily headed by women) from access to electricity, which discriminates poor women. The gender analysis concludes that Sida's assessment

¹¹³ Support to the REA and the REF, Zambia, 2008-2013, p. 17.

¹¹⁴ Joint Assistance Strategy for Zambia (2007-2010), p. 18.

¹¹⁵ Meaning "In depth assessment of support to the energy regulation board in Zambia, 2008-2010" and "Support to the REA and the REF, Zambia, 2008-2013".

¹¹⁶ In depth assessment of support to the energy regulation board in Zambia, 2008-2010, s. 11f.

¹¹⁷ Support to the REA and the REF, Zambia, 2008-2013, s. 16.

lacks imagination with respect to identification of ways to supply poor people with electricity and that there are many examples of how this can be accomplished (for example from the World Bank).¹¹⁸

SADEV's review shows that **democracy and human rights** are discussed mainly in the assessment of the support to REA/REF. Both assessments share the standpoint that rural electrification improves people's living conditions, educational quality and access to information and that electricity *per se* promotes democracy and human rights. However, there is no discussion on how to involve various vulnerable or marginalised groups in the planning of electricity projects to meet the different needs they may have. It is also unclear whether women, or any other groups, have been involved in the conducted pre-studies and meetings held locally to develop the Rural Electrification Master Plan. This master plan was supported financially by JICA and a large share of the REF project funding will be used for its implementation.¹¹⁹

Both assessments address **environmental and climate issues**. Sida's Helpdesk for Environmental Impact Assessment at the Swedish University of Agricultural Sciences has reviewed the environmental legislation as part of the in-depth assessment of the support to REA/REF. They conclude that the environmental and social administrative procedures *'are carefully spelled out, with references to national and international requirements, highlighting prioritized aspects in the effort to improve environmental integration.'*¹²⁰ The ERB assessment concludes that the project *per se* cannot be expected to harm the environment. Both assessments indicate that increased electricity consumption will affect the environment positively compared to the various polluting energy sources that are currently used by a majority of the rural population. A negative environmental effect may arise during the actual development of power grids and stations, but all project applications must be considered for approval by the Environmental Council.

Goal attainment

The decision to support ERB with technical guidance was made by Sida in 2008.¹²¹ No results can be reported since the programme has not yet been initiated. The reason, according to Sida, is that the procurement of consulting services for ERB has been delayed due to the complex government procurement system. However, in SADEV's interview with ERB, the Directory declared that the procurement process was in its final stage.

SADEV considers it too early to identify any results at the general level (impact) of the REA/REF programme, whose goal is *'to contribute to economic growth and reduced poverty by making affordable and reliable electricity available to rural areas in Zambia' at the impact level, and 'increased economic development and improved living conditions (health, education)*

¹¹⁸ Appendix 11: Gender analysis of REA/REF, p. 2.

¹¹⁹ SADEV interviewed JICA, which was responsible for the planning of the Rural Electrification Master Plan, but the interviewees were unable to describe the process and could not say who had been invited to participate in the pre-studies and the local meetings.

¹²⁰ Appendix 12: Swedish University of Agricultural Sciences – General Environmental Assessment Comments, p. 1.

¹²¹ Sida – Decision on contribution, 19 March 2008.

*for rural women, men and children by the provision of affordable and sustainable electricity to a number of RGCs (Rural Growth Centres)' at the outcome level.*¹²²

Sida's assessment memo¹²³ also emphasises that it takes quite a long time from the commencement of a rural electrification programme until any results can be identified at the household level. The project cycle is long, from pre-studies and procurement processes to completion of a distribution grid. The programme document therefore predicts that the only results that will be available at the time of the evaluation in 2013 will concern the number of connected households, health centres and educational facilities, and increased production of renewable energy. However, results in terms of improved healthcare and educational results and activities will probably be more noticeable at the end of the programme's five year duration.¹²⁴ This information is accessible via data at the Zambia Electricity Supply Corporation on connection to the main grid, and in the Zambian Statistics' Living Condition Monitoring study, which is carried out every four years. Data on how many households are connected to off-grids are more difficult to access since such connections do not need to be registered.

REA's progress report (November 2009) shows that the implementation of the activities linked to two outputs – *a number of grid extension projects implemented* and *a number of solar packages implemented*¹²⁴ – has been uneven. Some have been completed or initiated; others have not yet been started. Sida's strategy report (2009) indicates that the rural electrification and power grid project has not commenced as expected due to a staff shortage and limited (yet growing) implementation capacity at REA. Another reason is the burdensome and time consuming procurement process for services and material.¹²⁵ The goals to build up REA's capacity have been reached, however. REA has developed a vision, a mission, goals and routines with various guidelines for its work.

A summary of REA's progress report on the interventions 2006-2009 shows that out of 75 planned grid-extension projects, 56 were finished across the country.¹²⁶ Two projects started in 2006 are expected to be completed in 2010 and 17 projects during 2009 were still in progress in November 2009 when the report was written. A rough estimation suggests that a little less than half of the grid-extension projects target two or more social institutions, of which the most common is schools and teacher housing.¹²⁷ Other examples are community centres and other social institutions¹²⁸, and health centres with adjacent staff housing facilities. The grids have been extended to cover the chiefs' palaces as well, yet in almost all cases this has been done in connection with power grid extension to other social services. A number of solar energy projects took place 2005-2009. A total of 269 solar energy systems for household use were installed, of which 248 were installed on chief palaces during the period.¹²⁹ The

¹²² Support to the REA and the REF, Zambia, 2008-2013, p. 12.

¹²³ Meaning Support to the REA and the REF, Zambia, 2008-2013.

¹²⁴ Ibid, p. 12.

¹²⁵ Sida Country Team Zambia Strategy Report 2009, p. 5.

¹²⁶ REA progress report of rural electrification programme – November 2009, *passim*

¹²⁷ Note that the summary is based on tables in the progress report that are not illustrative enough to give a clear understanding of the number and types of facilities.

¹²⁸ Such as market and trade centres, churches and local administration centres.

¹²⁹ According to Sida, no Swedish funding has been used to pay for the solar energy systems installed on chiefs' palaces.

remaining 21 were installed in 2009 on schools.¹³⁰ The large number of installations on chiefs' palaces is motivated by the fact that they serve as traditional community centres where meetings and other ceremonies are held.¹³¹ REA has also reviewed the contractors' efforts to comply with REA's contract with respect to issues concerning the presented environmental plan, safety, waste management, way leave management, and distribution of HIV/AIDS information. In addition, REA itself has launched campaigns concerning safety issues and electricity consumption.¹³²

According to the programme, a third output is off-grid schemes implemented using mini hydro, biomass and wind.¹³³ So far, REA has reported that funding has been disbursed only to one mini hydro power project in 2007.¹³⁴ However, no information on the results of this, or on the overall progress of the programme, has been reported.

Moreover, the progress report does not address any results achieved to date with respect to the two remaining outputs, *'a shift of usage from high-cost and polluting energy forms (diesel, petrol, kerosene, etc.) to a cheaper and more environmentally friendly energy form'* and *'a positive impact on the productive activities for rural households and rural poor.'*¹³⁵ The interviews with various actors and reviewed documentation do not show any achieved results either. Information from Sida indicates that some projects are in progress to replace the Zambia Electricity Supply Corporation's large diesel generators with more environmentally friendly electricity (mini power plants as described above and extension of the main grid). Sida predicts that results of the transition to environmentally friendly energy sources will be achieved by the end of the projects.

It is highly unlikely that any results in terms of positive influence on productive activities among the poor have been achieved. The reason is that 'typical' villagers (meaning poor villagers) do not belong to the direct target group according to the program document. One issue emphasised in the progress report is that the share of households that are actually connected to a grid in recently electrified areas is very small. Typical villagers cannot afford to wire their houses and to pay the connection fee.¹³⁵ The high connection fee is, according to an interview with Sida, a significant problem. The donor group has recently discussed and suggested to the government that the main grid connection fee should be subsidised. The largest share of the REF funding is spent on extension of the main grid, in accordance with the Rural Electrification Master Plan. Yet, REA has the mandate and resources to reach out to the poor through alternative power grid solutions. One solution that does not require wiring and that can be used even for very simple houses made of clay and with grass roofing is to install so-called ready boards. A ready board can simply be fastened to the wall and usually has a built-in lamp and several electrical outlets. It does not require any indoor wiring.

REA has not reported any side effects of the programme.

¹³⁰ REA progress report of rural electrification programme – November 2009, *passim*

¹³¹ Chiefs' palaces also serve as traditional law courts, where cases that fall under the traditional legal system are handled.

¹³² REA progress report of rural electrification programme – November 2009, p. 20f.

¹³³ Support to the REA and the REF, Zambia, 2008-2013, p. 12.

¹³⁴ REA progress report of rural electrification programme – November 2009, p. 14.

¹³⁵ REA progress report of rural electrification programme – November 2009, p. 7.

SADEV sees it as highly unlikely that the very ambitious goals at the outcome level in REA/REF will be achieved by 2013. The goals stated in the cooperation strategy for the energy sector are more realistic and therefore more likely to be achieved.

Aid modalities

The different interventions in the energy sector receive project support. The energy sector is still seen as not quite ready for sector programme support due to limited capacity in the Ministry of Energy and Water Development and different work methods in the donor group. Sida deems that the coordination and the harmonisation in particular can be developed further.¹³⁶

Sida's support is complementary to other donor contributions and is in line with JASZ. SADEV assesses the Swedish portfolio to be effective with respect to goal achievement. The support to REF has been developed in close cooperation with other donors within the sector. Moreover, Sweden and the Netherlands have complied with Zambia's request to channel the support to REF through Sida, which takes on the responsibility to act on behalf of the Netherlands (stated in a special agreement on delegated cooperation signed by the two countries in November 2008). However, the Dutch financial contribution goes directly to REF via the Zambian system. Each contribution should consist of 79 % (MSEK 250) from Sweden and 21 % from the Netherlands (7 MEURO) during the five-year period 2008-2013.¹³⁷

Other donor-supported large projects in the energy sector are linked to the Rural Electrification Master Plan, which covers 1 217 rural growth centres. The donors are the Japanese Bank for International Cooperation and JICA with technical assistance to REA and financial support to the Zambia Electricity Supply Corporation to be used for extension of the main power grid; the World Bank and the Global Environment Facility through Increased Access to Electricity Services, which focuses on rural electrification and communication; and the African, Caribbean and Pacific Group of States and the EU mechanism with energy investments to which REF provides funding as well. Other contributors are the United Nations Development Programme (UNDP) and the United Nations Industrial Development Organisation (UNIDO), which are active mainly within the areas of biological fuels/renewable energy, and the International Monetary Fund, the African Development Bank, the Development Bank of Southern Africa and the European Investment Bank, which are planning to finance pre-studies with a view to supporting planned power plants in the country.¹³⁸

No civil society organisations represent poor people or serve as a dialogue partner with the government on energy sector issues. The energy sector organisations identified so far are few and weak. Country Team Zambia has therefore decided that the support to civil society organisations will not be financed via the energy sector support but instead via the Zambia Governance Foundation, which can provide support to build up the capacity of the organisations.¹³⁹ See Section 2.4 Support to civil society.

¹³⁶ Support to the REA and the REF, Zambia, 2008-2013, p. 25.

¹³⁷ Appendix 3, Support to the REA and REF, Zambia 2008-2013, *passim*.

¹³⁸ Support to the REA and the REF, Zambia, 2008-2013, *passim*, and from interview with Sida.

¹³⁹ Swedish Embassy Draft memo – Civil Society Strategy Zambia, p. 5.

Disbursements and expansion of support

Delays within ERB and the fact that REA had to meet certain Sida requirements in order to receive funding (such as development of an *operational manual* and a board on site) delayed the disbursements by one year.

Fulfilment of the Zambian government's ambition and stated FNDP goals to increase the availability of electricity in rural areas would require a significant increase in the extent of REA/REF's operations and that the private sector be more engaged in project implementation. Zambia's own financing and set fees are insufficient as well. External funding is therefore important in order to achieve the stated goals.¹⁴⁰ The Swedish contribution to REF is to increase from 25 MSEK in 2009 to 70 MSEK in 2011, according to a special agreement between Sweden and Zambia.¹⁴¹

Use of Zambia's systems

The funding to REA/REF and ERB to a large extent relies on the Zambian systems. The disbursements are channelled via the government system, via the Ministry of Finance and National Planning's 'control 99 account' at the Bank of Zambia. With respect to REA/REF, the systems are used in their entirety for implementation, financial reporting, auditing and procurement. Despite the heavy reliance on the systems, there are two exceptions in relation to ERB: the support is not part of the state budget and special bank accounts are used for the support.

Sida reported in an interview that it has recently convinced the donor group to reach an agreement on a common structure for rural electrification reporting and is currently awaiting the group's comments on the suggested format.

Dialogue

SADEV finds that the general issues¹⁴² are integrated in Sida's dialogue with different actors. This assessment is based on the minutes from meetings with the government and within the donor group, and on SADEV's interviews with Sida, the ministry and one of the donors.¹⁴³ A number of additional energy sector issues are to be discussed with the Zambian government as well, for example that the planned expansion of the energy supply end up targeting poor and under-supported groups and areas, and that this is done in a manner that is sustainable from an environmental and climate perspective.¹⁴⁴

As a member of the leadership troika within the energy sector donor group, Sida discusses collective concerns with the Zambian government, namely ratification and implementation of the National Energy Policy, adoption of a 'pro-poor' and sustainable tariff structure, formulation and implementation of long-term investments and development plans for the sector, and the lack of useful indicators in FNDP. Addi-

¹⁴⁰ Support to the REA and the REF, Zambia, 2008-2013, p. 14.

¹⁴¹ Specific Agreement between Sweden and Government of the Republic of Zambia, 2008-2013, p.7. The disbursement in 2010 may, according to Sida, amount to 100 MSEK.

¹⁴² Strengthening of democratic institutions, respect for human rights and citizens' insight into public activities, and effective use of the state's collected resources according to FNDP.

¹⁴³ Interview with Benny Chundu, Director Planning – MEWD, as well as Sato Wataru and Ilubala Kabira at JICA.

¹⁴⁴ Strategy for Development Cooperation with Zambia 2008-2011, p. 6.

tional Swedish priorities in dialogue with the donor group and other partners are to support the availability of environmentally friendly energy in Zambia, to promote the government's leadership, accountability and coordinated capacity development in the energy sector, and to improve the coordination and harmonisation within the donor group.¹⁴⁵

Although troika membership is rather time consuming, there is little doubt that the positive aspects outweigh the negative as a result of the opportunity to be more (pro)active in the dialogue and harmonisation process. The main result of the dialogue with the Zambian government and ERB is the 'pro-poor' and sustainable tariff structure, which according to Sida may be implemented by May 2011. Another issue that has been discussed for a long time is to open the sector to private actors by supporting an improved legal framework. According to Sida, this is a slow process that appears somewhat obstructed by the political involvement in ERB.

The general issue of dialogue on democracy and human rights, including citizens' insight into public activities, is not on the agenda. The reason for this is that there is no appropriate forum for such discussions.¹⁴⁶

Promotion of Zambia's leadership, ownership and coordinated capacity development in the energy sector is one of the most difficult issues, according to Sida. The reason relates to many donors' rigorous bureaucracy. For example, only Sweden and the Netherlands have adapted their funding to the Zambian system, while other donors are hesitant to the Swedish and Dutch model and instead use parallel structures.

2.2 Areas to be phased out

2.2.1 Democratic governance – support to the public sector

The World Bank's latest strategy for Zambia¹⁴⁷ provides a comprehensive view of the Zambian administration. The country is ranked almost in the middle of more than 100 low- and medium-income countries with respect to administration and control of public finances. Although the quality of the Zambian public administration generally is better than the sub-Saharan average, the World Bank points out that the development of institutional capacity remains a priority and that corruption continues to undermine effective development cooperation. The conclusion is that *'Zambia continues to wrestle with significant governance challenges and ranks among Sub-Saharan Africa's poorer performers in the control of corruption'*.¹⁴⁸ Interviews conducted in Zambia by SADEV confirm the World Bank's view of the Zambian administration.

The World Bank also points out that *'there is a substantial gap between the decision-making processes to arrive at a "good" set of development policies and contributions, on the one hand, and the implementation processes to put them into effect, on the other'*.¹⁴⁹ Even with a complete set of formal regulatory structures, laws, courts, legislation and executive authorities, the World Bank deems that *'Zambia's formal institutions need strengthening'*.¹⁴⁹

¹⁴⁵ Result Matrix for Swedish Cooperation, p.10.

¹⁴⁶ Meaning a forum comprising civil society organisations as well.

¹⁴⁷ 'The International Development Association Country Assistance Strategy for the Republic of Zambia', the World Bank, March 2008.

¹⁴⁸ Ibid, p. 34.

¹⁴⁹ Ibid, p. 16.

Sweden's cooperation strategy provides that the support to democratic governance is one of the areas that shall be phased out. The Swedish financing is expected to be transferred to another donor at the expiration of the Swedish agreements. Based on the view that *'the reform programmes are essential for good governance, and for development cooperation as a whole'*¹⁵⁰, the plan according to the strategy is for Sweden to *'continue to follow developments in this area'*.

The specific Swedish strategy goal is *'improved effectiveness and financial control in the public sector and increased respect for the rights of the child in the legal system.'*

No specific issues for dialogue with respect to this area of cooperation are provided, but the general issues for dialogue according to the strategy¹⁵¹ are clearly applicable.

Two large interventions within the area of cooperation are the Public Expenditure Management Financial Accountability Programme (PEMFA) and the Public Service Management Component (PSM). Both are aimed to improve effectiveness and control in the public sector. They received 84 % of the total disbursements within the area in 2008 and 93 % in 2009. PEMFA and PSM are two of the three pillars in the Zambian government's strategy for the Public Service Reform Programme (PSRP), which is also part of FNDP. The programmes receive sector programme support and are financed by Zambia's government and several donors.

The fact box below summarises goals and disbursements in 2008 and 2009 for the evaluated interventions (those marked in blue are not included in the evaluation).

The purpose of **PSM** is to improve Zambian public services and to create an institutional environment that facilitates poverty reduction. There are four components of the programme. The first component, *rightsizing*, aims to ensure that ministries and public administration have an adequate number of employees in order to perform their assigned tasks, and also that they are able to afford their current staff size. The second component refers to a *pay reform* where pay and performance are more closely linked. The third component for *pay-roll management and establishment control* aims to develop a salary management system. The purpose of the fourth and last component, *service delivery improvement*, is to ensure that ministries and public administrations work in an effective and goal-oriented manner.

The overall goal of **PEMFA** is to improve the effectiveness and accountability in the administration of public funds in order to support the implementation of Zambia's poverty strategy. The support is divided into thirteen components. The aims of the components are to achieve, for example, a developed public accounting and budgeting system, new statutes and provisions, improved financial reporting, strengthened public auditing (both internal and external auditing), improved budgeting practices, secured management of the national debt, incorporation of donor funding in the budget and quality-assured procurements.

SADEV's assessment of the area of cooperation is primarily based on the interventions mentioned above. However, there are four more interventions, which differ

¹⁵⁰ Strategy for Development Cooperation with Zambia 2008-2011, p.8, The Swedish Cabinet Office.

¹⁵¹ I.e. strengthening of democratic institutions, respect for human rights, citizens' insight into public activities, and effective use of the state's resources.

from PSM and PEMFA in that their goal is to increase respect for children's rights in the legal system (those marked in blue in the fact box below). Two of the four interventions – Legal Resource Foundation and National Legal Aid Clinic – were active during the strategy period whereas the other two were active only in terms of concluding administration (for example development of the final report and repayment of unused funds). The two active interventions within the area of children's rights corresponded to 16 % of the total disbursements in 2008 and 7 % of the disbursements in 2009 for the entire area of cooperation.

DFID and the World Bank have the leading roles within the donor coordination for the democratic governance sector, which is in accordance with the harmonisation efforts in Zambia, especially the division of labour.

Fact box 4 Democratic governance – support to the public sector. Disbursements per intervention, 2008-2009, MSEK

<p>FNDP goal: To improve the individual's access to justice in the legal system. To achieve a significant reduction in corruption in Zambia and embed good corporate governance practices in the public and private institutions. To achieve and maintain an effective supply of public services.</p> <p>Specific Swedish goal: Improved efficiency and financial control in the public sector and increased respect for the rights of the child in the legal system.</p>			
Intervention	Goal	Disbursements 2008	Disbursements 2009
<i>Public Service Management Component (PSM)</i>	Strengthen the provision of public services to Zambian citizens and create an institutional environment suitable to reduce poverty	11.3	10.0
<i>Public Expenditure Management and Financial Accountability Reform (PEMFA)</i>	Improve the effectiveness and accountability of the administration of public funds in order to support the implementation of Zambia's poverty strategy	6.9	8.0
<i>Legal Resource Foundation</i>		2.0	0
<i>National Legal Aid Clinic</i>		1.5	1.5
<i>Juvenile Justice</i>		0	-0.1
<i>UNZA School of Law</i>		0	0
Total		21.7	19.4

Source: Financial reports from Sida's 'Plus system'

Interventions in relation to the goal of the cooperation strategy

SADEV finds that both PSM and PEMFA (by aiming at improving services for Zambian citizens, at creating an institutional environment that will benefit poverty reduction, at improving the government's ability to mobilise and use public funds, and at strengthening the fulfilment of general economic responsibilities) are highly relevant with respect to the first part of the goals of the cooperation area (improved effectiveness and financial control in the public sector). The individual components

and activities are also assessed as relevant in relation to the goals of the programme and therefore in relation to the goals of the strategy.

Integration of thematic priorities

SADEV concludes that the interventions are directly aimed to promote **democracy and human rights**.

With respect to **gender equality and women's role in development**, SADEV concludes that this thematic priority has been entirely neglected in the PEMFA programme. No gender equality analysis has been undertaken and no gender equality issues have been integrated into the programme.¹⁵² One issue that could have been discussed among Sida, other donors and Zambian officials in the preparatory phase of the programme is gender budgeting.

PSM, however, includes development and implementation of a strategy for public service that is more perceptive to gender equality issues. Important measures are development of gender equality policies and processes that affect recruitment, positioning and promotion in the public sector.

Environmental and climate-related issues have not received any significant attention from Sida or any other partner.

Goal attainment

SADEV notes that although several steps have been taken to reach the goals of **PSM**, a lot of work remains. A realistic potential to accomplish real change has been achieved. Still, the change remains to be accomplished. In programme theory terms, important outputs, but still no outcomes, have been generated.

PSM presented a mid-term review in November 2009.¹⁵³ Its general conclusion was negative in that the results so far have '*not been satisfactory*'.¹⁵⁴ The review mentions that '*none of the sub-components have shown any significant complete outputs*'. Other documents reviewed by SADEV, as well as interviews, give a similar impression. However, it should be noted that several important steps have been taken since the mid-term review (see below). The general conclusion of the review would probably have been different had the reviewers been able to consider these steps.

On a more particular level, SADEV concludes that the progress made with respect to the so-called rightsizing component has been limited. The delays can partly be explained by the fact that 'rightsizing' of the public sector really is a matter of 'downsizing', and that this is a very politically sensitive area. Nevertheless, some progress has been made in relation to the component. For example, new staffing structures for a number of city, county and district administrations have been proposed. The implementation of the proposition has depended on a long-expected government decision on a Decentralisation Implementation Plan, which after a four-year decision

¹⁵² Public Expenditure Management and Financial Accountability Programme Document, Ministry of Finance and National Planning (undated) .

¹⁵³ 'Mid Term Review of the Public Service Management (PSM) Support Programme', Kithinju Kiragu, Berhanu Legesse, Japhet Msimuko and Andreas Foerster, November 2009 .

¹⁵⁴ 'Mid Term Review of the Public Service Management (PSM) Support Programme', Executive Summary, Kithinju Kiragu, Berhanu Legesse, Japhet Msimuko and Andreas Foerster, November 2009 .

process was finally approved in late 2009. A draft HIV/AIDS strategy for the public administration presented in 2008, but only recently approved, is another example. A report on experiences with outsourcing of non-core activities is expected to face the same challenges; the report is currently awaiting a response from the government. The national gender equality strategy from 2008 was recently approved by the government, and all ministries are to receive the guidelines necessary to implement the strategy. The Gender Development Division at the Cabinet Office has been assigned to lead the implementation.

Some basic steps have been taken to develop methods to determine the staffing needs within the administration, but the mid-term review is not impressed by the quality of the material and assesses that it is of *'questionable value'*.¹⁵⁵ The slow progress of the methodology development has obstructed the expected evaluation of the effects of public cutbacks. Disbursements of severance pays and pensions are lagging behind.

The *Payment Management and Establishment Control Sub-Component* builds its work on a system established prior to the introduction of PSM. During 2003-2005, the Payment Management and Establishment Control System (PMEC) was introduced with the support of DFID. This led to positive results, yet a number of important challenges remained in order to complete and decentralise the system, and these were implemented in PSM. The mid-term review indicates that the implementation of PMEC has slowed down, partly due to a significant technical error in the original PMEC intervention. This fault *'consumed too much effort on both the PMEC management and staff to allow time for new initiatives'*.¹⁵⁶ Some progress has been recorded despite the delays. One important example is the recently finalised decentralisation of the system to all the provinces. In addition, PMEC has been updated, the security has improved, a fibre optic network is in place and the Zambian government has financed the licence for the system. However, no progress in the integration with the public accounting system Integrated Financial Management Information System (IFMIS) has been noted. The delay is caused by PEMFA, which has the primary responsibility for IFMIS.

One key area for the *Pay Reform Sub-Component*, and for the entire PSM, is the creation and government approval of a long-term public service pay policy. The plan was to have it approved in March 2007 at the latest. However, it took until July 2009 before a draft was presented, and then until November 2009 before the draft was approved. The delayed work was mainly caused by disagreements between the World Bank and Zambia's government on some procurement issues, which led to delays in procurement of consulting services. The finally approved policy aims to make public services more appealing and results oriented, and emphasises the government's responsibility to identify and create the right incentive structure within the administration.

The *Service Delivery Improvement Sub-Component* has suffered severe delays with respect to development of general guarantees for citizen services and standards for public services for four pilot ministries. The standards were introduced in March 2010. For

¹⁵⁵ Mid Term Review of the Public Service Management (PSM) Support Programme', p. 6, Kithinju Kiragu, Berhanu Legesse, Japhet Msimuko and Andreas Foerster, November 2009.

¹⁵⁶ Mid Term Review of the Public Service Management (PSM) Support Programme', Executive Summary, Kithinju Kiragu, Berhanu Legesse, Japhet Msimuko and Andreas Foerster, November 2009.

each ministry, the standards consist of assignment, goal, value base, citizen rights and responsibilities, how citizens can make complaints, etc. It is assumed that the presence of guarantees will pressure the ministries to perform well. Two other areas under this sub-component, which aim to promote development of quality management systems and to increase the effectiveness of public work procedures respectively, are running well behind the timetable. The mid-term review indicates that the contracted consultant has been 'difficult', has caused severe delays and has produced reports of poor quality.

Under the sub-component, there is a special fund to increase the awareness and credibility of, and support for, PSRP. The mid-term review finds that the results have so far been mixed. Six projects have directly affected local living conditions. The results include the development of a reference system to be used in maternal care, support to technology training by using mobile exhibition units in the area of science, and the establishment of mobile courts. Two of the projects have been awarded UN recognition. With respect to the other twelve projects, the mid-term review concludes that *'it is difficult to gather adequate evidence to confirm that the project's outcomes will result in service delivery improvements'*.

The implementation of all 13 components of PEMFA has been quite a challenge for the PEMFA secretariat and its executive body. Many of the people interviewed by SADEV perceive that the programme is very complex and that the design is too ambitious. The progress has generally been much slower than expected, although there are some exceptions. Some activities in different sub-components are interdependent and not sufficiently sequenced. This is partly due to difficulties forming groups that cooperate with each other across the different sub-components.

The new public accounting system IFMIS is one of the sub-components that show the slowest progress – it is about two years behind schedule. The fact that IFMIS is crucial to the entire **PSM** makes delays a significant concern. Following a difficult procurement process to obtain a new financial administration system, IFMIS is now being tested at the finance ministry. It will then be tested at six other ministries.

During the development of IFMIS, it became clear that a change of attitudes towards change management was needed. Although all managers and staff are not positive towards the system, they will nevertheless be forced to use it. In a special report¹⁵⁷, the authors mention that *'lack of clarity on programme ownership and leadership'* and refer to an inception report where it was *'confirmed there is a significant resistance to change.'* As a result, an initiative is taken to facilitate the change management process. Recent changes in the leadership have also laid the foundation for a more welcoming attitude to change. Progress in the implementation of IFMIS is also a contract stipulation for general budget support. Regarding the capacity to administer the system, young *Zambian* academics have been hired, since they are expected to be able to manage the system by the time they graduate.

The sub-component *Budget Implementation* was off to a slow start but has now started to pick up the pace. A changed budget cycle is one important change made. The new cycle implies that the national budget is to be developed and approved in the last

¹⁵⁷ "PEMFA Change Management Final Report", p. 4, Ernst & Young, 12 October 2009.

quarter of every year. This in turn implies that the government's programmes and activities are to be implemented from January to December (in contrast to the previous implementation period of nine months). The first time a budget of the new format was presented to the parliament was in October 2009, and the budgeted funds were allocated to the ministries in January 2010.

In 2008, the parliament passed a law on public procurement. The draft had been developed already in 2005, which was prior to PEMFA. The new law led to the establishment of a department for public procurements. However, implementation of the procurement law requires that statutes be developed, which still has not been done, although the interviews conducted in Zambia indicate that this work is indeed moving forward.

The sub-component *Internal Auditing* has shown some progress, especially with respect to training on IFMIS and auditing techniques. Auditing committees have been introduced and audit plans have been developed, as well as working documents. A remaining source of concern is that, in practice, the auditors still follow the old procedures. SADEV concludes that previews of disbursements are not in line with international standards for internal auditing, especially since it gives the auditors an operative role. Instead, they should, in accordance with international auditing standards, review the accounting control system, and the extent of compliance with it.

The sub-component *External Auditing* has shown strong ownership and has rapidly developed in the right direction. One of the reasons is that Zambia's national audit function has demonstrated strong ownership and decisiveness.

Based on the mid-term review and the interviews, SADEV concludes that it is, according to various sources, difficult to achieve any results in the sub-component *Debt Management*. A strategy is still being prepared and is subject to additions, but the work is significantly delayed.

Aid modalities

Reforms within the area of democratic governance in the public sector comprise conditions for general budget support, but are also conditions for sector programme support from Sida and other donors. PEMFA and PSM are in this sense supporting and complementary to other support. Support to civil society (see 2.4) is in turn seen as complementary to the support to democratic governance in the public sector, for example by demanding openness, which has been anticipated to speed up the reform pace in PSM and PEMFA. SADEV finds the setup adequate and well adapted to its purpose.

Disbursements and phasing out

MSEK 21.7 was disbursed in 2008, and in 2009 the total disbursements amounted to MSEK 19.4 within the entire area of cooperation.

A PEMFA 'no-cost extension' has been negotiated and approved, implying that the programme is extended by five years to the end of 2010 but without any new funding. Sida will then no longer finance the programme. Continued support to PSM is not on the agenda either. Neither support to the Legal Resource Foundation, nor to the

National Legal Aid Clinic will be extended at the completion of the current programmes. The supports to Juvenile Justice and the UNZA School of Law have already been phased out.

The Swedish financial support is in the process of being phased out. However, SADEV has noted that some cooperating partners have greatly appreciated Sweden's voice within the sector and that there is concern that Sweden may become less active once the financial support has been completely phased out.

Use of Zambia's systems

PSM and PEMFA use Zambia's national public financial systems to a significant extent. The programmes are part of the national budget, and the public accounting systems are used with the exception of the fact that the funds are not channelled through the treasury. The national system is used for reporting, yet complementary reporting is required. The situation is similar with respect to auditing. The national system for auditing is utilised, but other auditing may be required as well. The Zambian national procurement system is used for all procurement processes.

Dialogue

No specific issues for dialogues are indicated for the area of cooperation, yet the general issues for dialogue do apply: strengthening of democratic institutions, respect for human rights, citizens' insight into public activities and effective use of the state's collective resources.

Sida has chosen to be a passive partner in both PEMFA and PSM. This level of ambition has been complied with, and SADEV finds the limited involvement to be appropriate considering the available staff resources. Yet, Sida and a few cooperating partners have initiated a dialogue with the Zambian government with a view to at least partly find a solution to the delays in the implementation of PEMFA. Without this dialogue between the cooperating partners and the government, SADEV believes that the implementation would have been delayed even further.

The support to the civil society is complementary to the support for democratic governance in the public sector, and it encourages CSOs to engage in policy dialogue with the Zambian government and to demand public openness. The dialogue initiatives should therefore be seen as a complement with a view to strengthen democratic governance in the public sector.

2.2.2 Development of industry and the financial sector

Private sector development within both the formal and the informal sector is crucial to poverty reduction. Zambia's FNDP provides an analysis for how expansion of the private sector including agriculture can contribute to economic growth and reduced poverty, and how the economy can be diversified in order to reduce the dependence on the mining industry. Bigsten and Tengstam¹⁵⁸ show that the poverty reduction achieved in Zambia after 1998 is a result of growth within the mining industry, the

¹⁵⁸ Bigsten, Arne and Sven Tengstam, Growth, Rural Diversification and Poverty Reduction in Zambia, Sida Country Economic Report, December 2007.

service sector, the construction and building sector and to some degree the manufacturing industry.¹⁵⁹

The specific goal of the Swedish support to private sector development is, according to the cooperation strategy, to achieve an *'enhanced business climate, including increased access to financial services for poor people'*.¹⁶⁰

The Swedish support to the private sector was phased out during 2006-2008 as a result of the harmonisation process among donors. Only two interventions remained in the time period covered by this evaluation, and both were ended in 2008; see Fact box 5. Both programmes have been evaluated retrospectively; see *Interventions in relation to the goal of the cooperation strategy*.

The first of the two interventions, Promoting Market Information Services to Upgrade Micro and Small Enterprises Value Chain in Agriculture – Business Development Services (BDS), concerned support to development of business development services and information to micro and small businesses. The International Labour Organisation (ILO) was the implementing agency of this intervention.

The second intervention, Private Sector Development Reform Programme (PSDRP), aimed to stimulate private sector development in accordance with FNNDP.

¹⁵⁹ For an analysis of poverty levels and private sector growth in Zambia, see Ianchovichina, Elena and Susanna Lundström, Inclusive Growth Analysis. Framework and Application. Policy Research Working Paper No 4851, World Bank, March 2009.

¹⁶⁰ Strategy for Development Cooperation with Zambia 2008-2011, Ministry for Foreign Affairs, p. 8.

Fact box 5 Private and financial sector development. Disbursements per intervention, 2008-2009, MSEK

FNDP's goal: --			
Specific Swedish strategy goal: Enhanced business climate, including increased access to financial services for poor people			
Intervention	Goal	Disbursements 2008	Disbursements 2009
<i>Business Development Services (BDS)</i>	To, at a commercial level, provide business-developing information to micro- and small- business owners in order to increase their incomes	5.0	-0.6
<i>Private Sector Development Reform Programme (PSDRP)</i>	To implement the parts of FNDP that concern private sector development, in particular to simplify rules and legislation that concern business enterprise	6.3	0
<i>Bank of Zambia, Microfinance, PRIDE of Zambia</i>		-0.1	0
<i>Bank of Zambia, Financial Sector Development Programme (FSDP)</i>		0	-4.6
Total		11.2	-5.2

Source: Financial reports from Sida's 'Plus system'

BDS was a typical project intervention that aimed to achieve specific goals without involving other donors (except ILO), private sector representatives and the Zambian government. A large proportion of the intervention consisted of assisting media such as magazines and radio stations develop the information targeted to small businesses into a viable business idea. This intervention originated from Uganda where a project called Farm Implement and Tools successfully encouraged local radio stations to start broadcasting relevant business-related information targeting small businesses.¹⁶¹

The first phase of the programme (2003-2006), Improving the Quality and Diversity of Media Content in Zambia, focused on business news, information and general issues of interest to small business owners with a view to increasing their incomes. The second phase (2006-2008¹⁶²), Promoting Market Information Services for Small-Holder Farmers in Specific Agricultural Industries, aiming to develop market and information services especially for micro and small businesses in the agricultural sector, was more focused and reflected that Sweden was in the process of phasing out the private sector support and instead turning its focus to the agricultural sector. In all decisions and agreements, it was made clear that Sweden and Sida were going to phase out the private sector support by the end of 2008.

¹⁶¹ McVay, An information revolution for small enterprise in Africa: Experience in interactive radio formats in Africa, ILO FIT/SEED Working Paper, Geneva, 2001.

¹⁶² Business Development Services Promoting Market Information Services to Upgrade Micro and Small Enterprises Value Chains in Agriculture (Phase II).

BDS was clearly market oriented and aimed to develop information and services that businesses or business owners were willing to pay for, implying an emphasis on real needs of businesses, alternatively that the media would be able to profit in some way. The idea was to stimulate media producers to develop information services that in turn could lead to higher and less volatile incomes among the farmers.

PSDRP was launched in 2005 with a view to strengthening the positive development within parts of the economy that had started after 1998. In 2002 a conference on increased diversification, the Copperbelt Diversification Conference, was held and a plan for how to diversify the economy was established. In the wake of this, a number of studies with accompanying recommendations concerning private sector development were conducted. The identified problems included low productivity, high production costs, high capital costs, a low level of competition, poor infrastructure and extensive bureaucracy. These studies laid the groundwork for FNDP's section on economic growth and private sector development.

The goal of PSDRP was to implement the parts of FNDP that concerned private sector development. The overarching goal of the programme was to stimulate economic growth through private sector development and to diversify the economy from its dependence on mining. The programme was designed as a collaboration among the government, the private sector and a number of donor countries (Finland, the Netherlands, Sweden and the United Kingdom). The private sector was represented by the Zambia Business Forum. The donors contributed with funding and *the Ministry of Commerce, Trade and Industry* led the work with various groups within the different sub-components of the programme.

At the same time, the EU supported the Building for Private Sector Development Project; the World Bank supported the Zambia Restructuring of the Support for Economic Expansion and Diversification Project¹⁶³; Japan supported the Triangle of Hope; and USA (represented by the US Millennium Challenge Account) supported the Zambia Threshold Programme. The presence of all these parallel programmes required efforts to reduce the duplication of work.

The setup of the introductory part of PSDRP was ambitious. A number of committees and sub-committees were formed, requiring significant staff resources. Initially, the following areas were to be particularly emphasised: administrative barriers, the citizens' economic independence, energy, immigration, the labour market, laws, land - issues, domestic cattle disease control, cooperation between the private and public sectors regarding infrastructure investments, introduction of special courts for relatively small cases, telecommunication, tourism and commerce. Following an assessment in late 2007, a decision to focus on three main areas was made: licensing of new businesses, development of micro, small and medium-size businesses, and labour market reforms.

¹⁶³ The World Bank website indicates that the project is to reduce the vulnerability of the Zambian economy with respect to shocks by supporting diversification of growth sources. This will be accomplished by improving sector-specific rules and policies and by strengthening the capacity of various government agencies to implement these policies.

Interventions in relation to the goal of the cooperation strategy

Both interventions within the private sector area were relevant in relation to Sweden's somewhat general goals of the private sector support. Both interventions had a clear goal to contribute to private sector development.

BDS, especially in its first phase, comprised an element of support to organisations within microfinance. An evaluation from 2008¹⁶⁴ pointed out that it was not quite clear why this project also, to a small extent, addressed risks and costs related to HIV/AIDS among women. The evaluation concluded that this part of the intervention was not integrated with other parts and that it did not correspond to the aim to establish business-developing information.

PSDRP was clearly relevant in relation to the cooperation strategy and FNNDP. An evaluation from 2009¹⁶⁵ points out that it was difficult to motivate the private sector to participate. The Zambian private sector is fragmented and represented by numerous organisations. Only one organisation representing the businesses was included in the programme. This organisation was partly established by the donors through various kinds of support. In addition, the representatives were monetarily compensated for attending meetings. Nevertheless, SADEV notes that the representatives have not fully participated and that this can be taken to indicate that the focus of the programme was not perceived to be relevant enough to them, alternatively that the process was too slow to be expected to lead to any significant results for the private sector.

Integration of thematic priorities

Having assessed the integration of the thematic priorities in the programmes leads SADEV to conclude that they are not considered. For example, the work with BDS did not include an assessment of whether the need for information differed between male and female business owners.¹⁶⁶ In addition, SADEV has not found that the issues of human rights, democracy, environment and climate are addressed in the project documents.

Goal attainment

The two interventions differ in terms of goal attainment. The **BDS** evaluation report describes the intervention as relatively successful in introducing ideas to media producers and in testing new ways to distribute business-relevant information to concerned businesses. SADEV concluded that the evaluation does not refer to any baselines or performance indicators. This fact makes it difficult to identify the true results such as increased incomes, improved food security, and increased information in various media targeting small businesses. The timing and conduct of the evaluation make it more of a progress report than an evaluation of achieved results. The evaluation refers to contributions, but does not present any real evidence of examples in this regard.

¹⁶⁴ Markets for Micro and Small Enterprises in Zambia - Final Independent Evaluation. ILO/BDS Zambia: Developing Business Service. An End-of-Project Evaluation prepared for the International Labour Office and the Swedish International Development Agency in Lusaka, Simon White and Trevor Simumba, August 2008.

¹⁶⁵ Stephane E. Somssich and Christian Weltzien, Evaluation of Private Sector Development Reform Programme (PSDRP). Final report. February 2009.

¹⁶⁶From a democracy and human rights' perspective, a gender analysis could be done to point out if the information could be useful and to assure that all stakeholders are targeted before initiating the project in Zambia. It is uncertain however if such analysis has been conducted.

There have been few concrete results of **PSDRP** in relation to the initial goals of the programme, at least according to the programme's own final report and the available evaluation report. However, the documents do point to some progress with respect to domestic cattle, and some reforms are currently being processed in the legislative system. The evaluation also indicates that the technical and competence upgrade of the government agency for business registration (implementation led by the World Bank) was the only concrete result achieved. New computers and staff training led to a reduction in the time required to register a new business. The evaluation report found that the programme was too fragmented and blames the government for acting too slowly and for not prioritising these issues. Moreover, the members of the private sector have, according to the evaluation, joined forces to make their voices better heard. Bigsten and Tengstam¹⁶⁷ conclude that the programme has good intentions, but that its implementation has been ineffective and that the government should lower its level of ambition to mainly oversee and regulate the private sector. PSDRP continues in a second phase, in which Sweden does not participate.

It is difficult to assess the effectiveness of BDS since few reported performance indicators can be related to the cost. The evaluation report is positive towards the implementation of the intervention, and praises the fact that so many alternative ways have been considered, but does not provide any analyses or figures on which an assessment of the effectiveness can be based.

The assessments of the effectiveness of PSDRP are generally negative. The programme's (Phase I) own final report was partly positive, while the independent evaluation report is more critical, for example pointing out that the programme lacked a clear focus and that it attempted to solve too many problems at once. In relation to the intervention, the result was limited. SADEV concludes that the programme could have been more effective had the areas where reforms are considered to be the most urgent been prioritised at the outset.

Aid modalities

Both interventions comprised so-called project support and were weakly linked to the other programmes within the cooperation strategy. It should however be emphasised that they were commenced prior to the evaluated strategy period and that they have now been phased out.

Disbursements and phasing out

All contributions related to private sector support have now been phased out. Yet some disbursements were delayed due to delays in the implementation of the interventions. All funding was not used in PSDRP and the remaining funds were repaid.

The entire private sector development area was phased out as planned during the period. For both interventions, Sweden clearly communicated to all involved actors that the private sector support was to be phased out, and that no further funding would be provided once the contributions had been ended.

¹⁶⁷ Ibid, 2007.

Use of Zambia's systems

BDS was not channelled through Zambian public systems, primarily because it was a project targeting the private sector and it was implemented by ILO.

For PSDRP, the relation was almost the reverse. All funding was channelled through the treasury, and both the national reporting and procurement systems were used. Yet, certain specific auditing requirements had to be met in addition to the utilisation of the national auditing systems.

Dialogue

Sida has been a passive partner within this area of cooperation, partly because it is an area subject to phasing out, and SADEV has not been able to find that Sweden has stressed any particular dialogue issues.

2.2.3 Urban development

Zambia is the second most urbanised sub-Saharan country. Almost 50 % of the population reside in urban areas. Poverty and urbanisation are closely linked. Over the last 20 years, urban poverty increased while rural poverty decreased. The latest national survey on migration and urbanisation (in 2000)¹⁶⁸ indicates a decreasing urbanisation in the period 1990-2000, while urban poverty increased from 49 % to 53 % from 1991 to 2004.¹⁶⁹ There are 27 informal settlements in Lusaka, and these host roughly two-thirds of Lusaka's population.¹⁷⁰

The FNDP goal for urban development is *'to enhance democratic governance and delivery of quality service at the local level'*.

Although the section Local Government and Decentralisation focuses on decentralisation, it is pointed out that *'The sector is driven by the national aspiration to uplift the standard of living of the people through democratisation and strengthening of local decision making to ensure the provision of quality services by councils. The sector covers such issues as physical and regional planning; infrastructure development and social services; water and sanitation; chiefs' affairs; fire services; decentralization; local economic development; and poverty reduction.'*¹⁷¹

The specific Swedish goal with respect to urban development is to achieve an *'integrated land, planning and building legislation and improved municipal services for under-supported districts of Lusaka.'*¹⁷²

Urban development is one of the sectors scheduled to be phased out during the current strategy period.

Based on Sida's previous experiences of the increasing urbanisation in developing countries, The Sustainable City Concept was launched in 2002. As an extension of this initiative, Sida developed the handbook The Sustainable City Approach¹⁷³ in 2007. The model, which can be seen as a planning tool, points to the complexity of

¹⁶⁸ Migration and Urbanization 2000 Census Report http://www.zamstats.gov.zm/media/mig_rpt.pdf

¹⁶⁹ Memorandum Revision of legislation related to spatial planning in Zambia 2006-2008, p. 1.

¹⁷⁰ Memorandum Building capacity for urban development and effective land tenure management in Lusaka, p.4.

¹⁷¹ Fifth National Development Plan 2006-2010 p. 242.

¹⁷² Strategy for development cooperation with Zambia 2008-2011, p. 8.

¹⁷³ The Sustainable City Approach. Sida Manual for Support to Environmentally Sustainable Urban Development in Developing Countries, December 2007.

urban issues and the conditions for and needs among poor women, men, girls and boys in urban areas, and emphasises the close link between urban development and a sustainable environment. There is also a specific policy for urban issues: *Fighting Poverty in an Urban World – Support to Urban Development* (October 2006). The policy describes focus areas and priorities of Sida's support to urban development, and shall be seen as a tool that Sida staff can use for both internal and external guidance. The policy identifies five strategic focus areas:

- Integration of local and national development
- Local and urban governance
- Infrastructure and municipal services
- Land and housing
- Environmental sustainability.¹⁷⁴

In 2004, Sida financed a fact finding mission, which identified a number of problems related to the outdated legislation within the area of urban development in Zambia. The Strategy for Urban Development Cooperation with Zambia 2003-2006 was adopted.

Sweden decided to provide support to three projects, of which two are covered by this evaluation:¹⁷⁵

- Revision of legislation related to spatial planning 2006-2008
- Building capacity for urban development and effective land tenure management in Lusaka (LCC)

The fact box on the next page summarises goals and disbursements in 2008 and 2009 for the evaluated interventions (interventions marked in blue are not included in the evaluation).

¹⁷⁴ *Fighting Poverty in an Urban World – Support to Urban Development*, Sida 2006, p. 7

¹⁷⁵ A few final disbursements for the project Community Managed Improvements in Chaisa, which was ended in 2007, remain during the new strategy period, since the project for a variety of reasons has been delayed. Since the project was not commenced during the current strategy period, and was initially intended to be ended before the current strategy period, it is not included in this evaluation.

Fact box 6 Urban development. Disbursements per intervention, 2008-2009, MSEK

FNDP goal: To improve democratic governance and deliver good services at the local level.			
Specific Swedish goal: Integrated land, planning and building legislation and improved municipal services for under-supported districts of Lusaka.			
Intervention	Goal	Disbursements 2008	Disbursements 2009
<i>LCC Capacity Building</i>	Reduced urban poverty in Lusaka City through improved quality, reliability and transparency of the provision of LCC's services	6.7	7.6
<i>Spatial Plan Legislation</i>	To contribute to improved living conditions for poor people in urban areas through access to land, employment security and provision of municipal services, supported by a harmonised legal framework within the areas of spatial planning, urban planning and housing	1.4	1.3
<i>Chaisa Community</i>		0.1	0
Total		8.2	8.9

As a response to the outdated and insufficient legislation on spatial planning, housing and land tenure, Sida decided to support the Spatial Plan Legislation project in order to improve the legislation and thereby improve the living conditions and opportunities for poor people in urban areas. A number of laws from the 1960s and onwards needed to be replaced with a law that considered spatial planning in its current context, with a growing urban population.¹⁷⁶

The support to the Lusaka City Council was introduced in 2000 through the Land Tenure Initiative project, which was ended in 2003. The current intervention, Building capacity for urban development and effective land tenure management in Lusaka (LCC), is based on experiences and conclusions from the first project in an attempt to deal with the outstanding issues.¹⁷⁷ The project has four main components:

- public service delivery
- property valuation and tenure
- GIS improved data management
- capacity/institutional development.

The components are managed separately, but are nevertheless interrelated. The first three aim to improve LCC's revenue base, while the purpose of the fourth compo-

¹⁷⁶ Memorandum Revision of legislation related to spatial planning in Zambia 2006-2008, p. 2

¹⁷⁷ Memorandum Building capacity for urban development and effective land tenure management in Lusaka, p. 7

ment is to strengthen LCC's administrative capacity.¹⁷⁸ In addition, there are a large number of sub-priorities and indicators.

The overall goal at the impact level is to achieve reduced urban poverty in Lusaka City through improved quality, reliability and transparency of service delivery by the LCC.

The immediate goals at the project level are:

- improved financial, organisational and technical ability of the LCC to effectively and efficiently deliver public services to Lusaka residents
- improved ability of LCC to plan and articulate service and development demands
- physical and visible community determined improvements in peri-urban areas
- strengthened land tenure security for all residents of Lusaka including the most vulnerable groups and thereby better incentives for investment.

Interventions in relation to the goal of the cooperation strategy

At a general level, SADEV assesses that the support to urban development is in line with the goal to contribute to *'an integrated land, planning and building legislation and improved municipal services for under-supported districts of Lusaka'*.

The Zambian government has formulated the need for a review and simplification of the legislation within the area, and this is considered to be a prerequisite for further development in urban areas in Zambia. SADEV sees the interventions within urban development as complementary to each other.

Both interventions address poverty reduction and emphasise the importance of improved living conditions for the poor urban population. SADEV finds the interventions to be relevant from a poverty perspective.

Integration of thematic priorities

The intervention portfolio does address gender equality, although the consideration of gender issues does not seem to have been as systematic as it could have been had a gender analysis been performed initially.

The link between urban development and the **environment** is very strong. In fact, the manual that Sida has developed for urban development has the environmental perspective as its point of departure, as does Sida's policy within the area. Urban development is strongly linked to the issues of environment and climate. SADEV notes that there are many examples of where the issue of environment and climate has been taken into consideration, such as when the so-called planning law was developed within the framework of one of the interventions. This law includes the environmental issue according to principles of sustainable development, yet SADEV has not been able to identify any environmental analysis or strategic positioning with respect to the issue in the documentation. SADEV feels that Sida has missed a golden opportunity to address one of the thematic priorities of the Swedish Government in a

¹⁷⁸ Memorandum Building capacity for urban development and effective land tenure management in Lusaka, p.2

systematic manner. Participation is a very important part of the LCC project, and SADEV assesses that the intervention is rooted in a **human rights perspective**. However, SADEV has not been able to find that this is reflected in the various documents that concern the intervention.

SADEV concludes that the thematic priorities have not been fully integrated or expressed in the documentation, but that the implementations show signs of gender equality, human rights and democracy components, while the area of environment and climate has received low priority and quite limited attention.

Goal attainment

The results of the intervention **Review of Legislation on Spatial Planning** were presented in August 2009, and the legislative proposal, which has been approved at the minister level, is now awaiting approval by the parliament.¹⁷⁹ The project has progressed slower than expected due to its complexity and multidisciplinary nature, political sensitivity, and the concerned ministries' limited budgets.¹⁸⁰ The consulting firm's final report reads: *Dealing with a legislative framework that includes land, housing, informal settlements, urbanisation, decentralisation and the powers of traditional leadership is not a mere technical task. It is politically sensitive and requires a high level of political leadership at each of the key steps in the process.*¹⁸¹

The law has been developed through a participatory process and, hence, there are good prospects that the law will be successfully implemented and that the suggestions will be converted into practical solutions. Sida deems this to be one of the most important results achieved within the project.

The project has ended, and SADEV assesses that the goals at the output level have been achieved.

Sida found it necessary to extend the support to LCC by one year in order to facilitate a responsible exit. The reason relates to the goal to contribute to LCC capacity development, which implies development of support systems and introduction and establishment of sustainable processes. The actual length of the project period was seen as critical to the achievement of results. When the intervention was initiated, an unfinanced consolidation phase was included. Phasing out without the consolidation phase, or without at least a one-year extension, would, according to Sida, leave a project with many open ends, including an unfinished infrastructure project and supporting system, which would jeopardise the prospects for sustainable results. This has affected the possibilities to achieve expected results, since the original plan was to implement a consolidation phase – and not to move on with a phasing-out process.

Sida is satisfied with the achievements of the project, yet recognises that the implementation involved some difficulties, in particular with respect to LCC's engagement and ownership. Another challenge is that LCC is a political body. Sida concludes that there have been improvements in the management of the intervention and that LCC

¹⁷⁹ Sida: Country Team Zambia, Strategy Report 2009, p. 4.

¹⁸⁰ Zambia Country Report 2008. Embassy of Sweden, Lusaka, p. 11.

¹⁸¹ Final Consultancy Report, Consulting Services Revision of Legislation Related to Spatial Planning in Zambia 2006-2009.

is taking on more and more of the tasks previously carried out by Sida and/or consultants.

One result that Sida sees as very important is that LCC now has a strategic plan in place to make its work more planned and better structured. The strategic plan also makes it easier to negotiate future funding. Another important milestone is the system for financial administration, which is now in place. The possibility to trace financial information increases the transparency, which is important for the citizens' confidence in and willingness to contribute to the tax system.

One problem that affects the sustainability of the project is the high rate of staff turnover within LCC. It seems that as soon as employees have become established in their jobs, and thus have gained knowledge and skills that are attractive in the labour market, they quickly move on to better paying jobs or are transferred for political or other reasons.

The project has progressed slower than intended for several reasons, such as irregularities implying an extra workload, including audits, which made it impossible to comply with the timetable.

SADEV finds that, overall, the project has been implemented as planned, and that the goals at the output level have been achieved.

Aid modalities

Sida has concluded that there were no alternative forms of support or ways to implement the interventions. The ownership of the interventions was very clear in both cases, and the funds could not have been channelled in any alternative way. Regarding LCC, Sida expresses that *'there is no mechanism for channeling proposed support as part of a SWAP or similar. If possible, this would have been the preferred mode.'*¹⁸²

Neither of the two projects has involved other donors. Sida has made efforts to engage other cooperating partners, yet with limited success. One reason is that the Zambian government does not seem very eager to market urban development to other donors as an area that can be financed. Another reason is that there seems to be a problem with the labelling of the area: urban development is a complex issue that includes almost all aspects of development and poverty reduction. Sida describes the support to LCC as *'not easily linked to one sector. It is rather of a cross-cutting and "spatial" character'*.¹⁸² Few donors have an urban development portfolio, although many donors do support poverty reduction, human rights, governance, health, etc., which are all important components in urban development.

SADEV has assessed that the mix of aid instruments in the interventions for urban development are complementary, given the different natures of the interventions. SADEV sees the design of the intervention as interesting: the ability to work at the grass root level with participation and at the ministry level with development of legislation at the same time provides for a comprehensive picture of the area.

¹⁸² Memorandum Building capacity for urban development and effective land tenure management in Lusaka, p. 12.

SADEV would like to point out that the actual link between the two projects is not always obvious and that some opportunities for synergy effects may have been lost. The fact that the two assessment memos to a large extent are identical makes it more difficult to fully comprehend the characteristics of the two interventions and how they complement each other.

Disbursements and phasing out

The project Review of the Legislation on Spatial Planning was ended in October 2009 and did not suffer any significant delays.

Irregularities in the LCC project were revealed in 2008, and the disbursements became delayed partly as a result of this. A one-year extension of the project has been approved, yet Sida expects the interventions to be implemented and the project to be completed on time.

The process of phasing out the sector seems to be well underway.

Use of Zambia's systems

The support within the urban development area consists of project support and has not used the national Zambian systems for accounting, procurement, financial reporting and auditing. The projects are however part of the national budget.

Dialogue

The results matrix for the cooperation strategy indicates that no dialogue issues within urban development were brought to the discussion table during the strategy period. The reason relates, according to Sida, to the fact that the decision to phase out the sector is irreversible – in order not to raise false expectations, no attempts to initiate an advanced dialogue have been made. One Swedish priority in the dialogue with donors and other partners is *'finding interested parties to adopt the project with a view to further develop the support to Lusaka City Council or replicate in other urban areas'*.¹⁸³ There have been attempts to involve other donors, since Sweden currently is the only donor together with Japan within the area of urban development. There have been discussions with Germany – *Deutsche Gesellschaft für Technische Zusammenarbeit* – which has expressed an interest in taking over some parts of the intervention. Yet, no concrete agreement had been reached at the time of this evaluation.

In the assessment memo for LCC, Sida points out that it is critical to the outcome that the channels for dialogue between the concerned stakeholders are kept open during the implementation of the project.¹⁸⁴

¹⁸³ Result Matrix for Swedish Cooperation, p. 12

¹⁸⁴ Memorandum Building capacity for urban development and effective land tenure management in Lusaka, p. 11.

The important areas for dialogue and monitoring specific to the LCC project are that:

- LCC allocates sufficient staff and financial resources for the implementation of the project
- Lusaka's poor population comprises the project's main target group
- the gender equality perspective is integrated in the project
- HIV/AIDS issues are integrated in the project
- LCC collaborates with representatives from the base organisations on a regular basis
- LCC fulfils its commitment to channel at least 35 % of the property taxes back to the urban areas¹⁸⁵

SADEV assesses that Sida has made efforts to ensure continuity of the programme, but that the Zambian government does not promote the area of urban development among the donors in the country, which makes the task more difficult. It is also a matter of what the intervention is called. Many donors lack a specific programme for urban development, but promotion of issues related to local governance, human rights and the environment could make donors more interested in financing interventions in urban areas in Zambia.

2.3 Poverty reduction through budget support

FNDP's goal is *'Broad based wealth and job creation through citizenry participation and technological advancement.'* The strategic focus is *'economic infrastructure and human resources development.'*¹⁸⁶

The cooperation strategy with Zambia states that the specific goal for the area of poverty reduction through budget support is to achieve *'effective implementation of Zambia's development strategy (FNDP) to reduce poverty, strengthen democracy, stimulate broad economic growth and attain the millennium development goals.'*

The support given is a general budget support. The fact box below describes the disbursements made 2008-2009.

An international joint evaluation of the general budget support to Zambia is currently in progress, and SADEV has consequently given limited attention to the area of poverty reduction through budget support.

¹⁸⁵ Memorandum Building capacity for urban development and effective land tenure management in Lusaka, p. 16.

¹⁸⁶ Strategy for Development Cooperation with Zambia 2008-2011, p. 4.

Fact box 7 Poverty reduction through budget support. Disbursements, 2008-2009, MSEK

FNDP goal: Broad based wealth and job creation through citizenry participation and technological advancement.

Strategic focus: Economic infrastructure and human resources development.

Specific Swedish goal: Effective implementation of Zambia's development strategy (FNDP) to reduce poverty, strengthen democracy, stimulate broad economic growth and attain the millennium goals.

Intervention	Goal	Disbursement 2008	Disbursements 2009
<i>General Budget Support</i>		102.6	0
Total		102.6	0

Source: Financial reports from Sida's 'Plus system'

General budget support is provided in combination with efforts aimed to improve the work of the government and the public administration, and comprises support to development of skills to formulate a development plan, to be able to regularly revise the plan, to strengthen the public financial systems, and to be able to follow up and evaluate the plan. To strengthen the civil society's opportunities to scrutinise the government's work and demand accountability are included as well.

In Zambia, the donors support the efforts to make the financial governance more effective via the support to the Public Expenditure Management Financial Accountability Programme (PEMFA). Sweden gives support to the civil society to monitor how the government manages national funds and implements FNDP. As a complement to the support to the health sector, Sweden also gives support to the university in Lusaka, which can review priorities and evaluate programmes.

The dialogue related to the budget support is based on the system for performance monitoring, the Performance Assessment Framework (PAF). Zambia's PAF, which is based on FNDP, lists a number of development indicators that reflect how successful the work of the government is. The progress is measured on a scale from 0 to 100, based on an aggregation of PAF indicators.¹⁸⁷ In 2009, the progress with respect to the general budget support was 66.

¹⁸⁷ Fully achieved goals are assigned 100 points. Partly achieved goals are assigned 50 points. Unachieved goals are assigned 0 points.

Sweden states five specific requirements that must be met in order to receive budget support, and demands specifically that the receiving country actively promotes an anti-corruption policy.¹⁸⁸ The five conditions for budget support and disbursement are:

- Respect for human rights and active measures to strengthen human rights and democracy
- A national plan for development and poverty reduction, based on a democratic process, which is relevant, realistic and viable
- A growth-oriented and sustainable economic policy with poverty reduction as the objective, where macroeconomic stability is a necessary condition
- The public financial management systems should be transparent, robust and efficient enough to make it possible to achieve the objectives of the support in combination with a positive development of public systems
- A clear commitment and measures from the cooperating country government to combat corruption in the public sector

In addition to meeting the budget support requirements, a candidate country must undertake a risk assessment before it can be granted budget support. During the current strategy period, Sweden has granted budget support for the period 2006-2010. The fact that Sweden demands that all requirements be met before each disbursement is made makes it possible to cancel the support at any time.

The intervention in relation to the goal of the cooperation strategy

The donor group carefully assessed the prospects for budget support in 2006-2007.¹⁸⁹ Zambia had demonstrated progress in terms of development, the rate of inflation was under control, the economy was growing and several development indicators were in the process of rising. Risk assessments were conducted and risks were identified, yet there was no indication that the risks were of a magnitude that would disqualify the country from budget support. In cooperation with other donors, Sweden decided to grant budget support. Given the available information, SADEV finds the decision to grant budget support to Zambia to be relevant.

Integration of thematic priorities

Sweden's thematic priorities are considered in Zambia's FNDP. Moreover, Sida assesses the country's development within democracy and human rights before a disbursement is made.

It is a goal of FNDP to integrate **gender equality issues** into the development process and to focus on men's and women's strategic gender needs.¹⁹⁰ A national gender equality strategy was recently established. Its implementation is coordinated by the cabinet office.

¹⁸⁸ Appendix 2 in guidelines for cooperation strategies. Clarification of the guidelines regarding assessment and management of budget support for poverty reduction. All budget support donors impose essentially the same conditions as Sweden. However, Sweden spells out the requirement to implement measures to fight corruption very explicitly.

¹⁸⁹ For example: Poverty Reduction Budget Support Proposal – Joint Appraisal Report, 11 May 2007.

¹⁹⁰ FNDP, p.310.

Issues related to **democratic governance** are integrated in several of FNDP's different subject areas, for example through an extensive reform programme within the Zambian public administration (to which PSM and PEMFA belong)¹⁹¹.

Environmental issues are mainly handled by planning for the development of an action plan to implement a national environmental policy.¹⁹² Other than that, it can be concluded that the environmental issues are not as prominent as the other two thematic priorities.

Goal attainment

The fact that the budget support is a long-term support makes it necessary to distinguish between external and internal impact in order to identify results. Zambia enjoys macroeconomic stability despite the global financial crisis, yet the extent to which the support has contributed to this is unclear. However, SADEV notes that the general budget support, according to PAF, has contributed to improved economic policy, increased economic growth and some improvements in the social sectors, which in turn indicates a reduction in poverty.

Zambia's development is generally positive. *The Economist Country Report: Zambia February 2010*¹⁹³ assesses that the economy will continue to grow. In March 2010, IMF's Managing Director Dominique Strauss-Kahn said¹⁹⁴: *'I welcome the sound economic policies put in place by the Zambian authorities to deal with the global economic crisis. Thanks to these policies, the Zambia economy has proven resilient to the crisis.'* He also concluded that: *'Zambia has made significant progress towards the attainment of the millennium development goals. Indicators have been improving, while the country is on-track towards meeting its goal of universal primary education. We agreed that the Government revenue collections will need to be improved in order to continue to boost spending in priority sectors.'*

It is SADEV's opinion that the budget support can be assumed to have contributed to the accomplished progress and development by giving the government resources for development interventions in accordance with FNDP.

Aid modalities

In order to be effective, budget support must be allocated as a package including dialogue regarding support prerequisites, strategic capacity development to strengthen the public financial systems, and support to facilitate the civil society to scrutinise the government and hold it accountable for its use of national funds. All these tasks are not assigned to one single donor, but rather to the entire group of donors of budget support, and so too in Zambia.

Disbursements

The budget support has not been disbursed according to the plan. The disbursement of budget support for 2009 was cancelled as a result of the embezzlement revealed in

¹⁹¹ FNDP, p. 235 ff, 274 ff .

¹⁹² FNDP, p. 302 ff.

¹⁹³ Country Report : Zambia February 2010, Economist Intelligence Unit, London, UK.

¹⁹⁴ Statement by the IMF Managing Director Dominique Strauss-Kahn at the Conclusion of His Visit to Zambia. Press IMF Release No 10/81, March 11, 2010.

the health sector. The support for 2010 is at the time of this evaluation subject to consideration in accordance with the established conditions.

Use of Zambia's systems

Allocation of funds to the Zambian state budget implies full use of the Zambian systems for implementation, auditing, procurement and financial reporting.

Dialogue

The general dialogue issues can be said to be well integrated in the budget support since they inspired the development of FNDP, and are also woven into the Swedish prerequisites for the support. The dialogue issues are managed jointly by the donor group. The main Swedish dialogue issue has concerned the lack of effective utilisation of state funds as a result of the embezzlement in the health sector. Sweden used the dialogue instrument to express its standpoint and to request the Zambian government to specify which measures it had taken to fight corruption in health sector. In the course of the dialogue it was concluded that Zambia's government had implemented a set of appropriate measures.

2.4 Support to civil society

The ending of the Zambian single-party state in 1991 led to increased freedom of expression and freedom of association and made way for the establishment of civil society organisations (CSO) in the 1990s. The organisations could for example engage in social and human rights issues, democracy and openness. However, lately it seems like the development of the opportunities for CSOs to act relatively freely has stalled. A new law from 2009 concerning non-governmental organisations (NGOs) is threatening the freedom of association via a restrictive set of rules for NGOs.¹⁹⁵ Moreover, media organisations have been 'encouraged' to self-regulate their operations. These efforts by the government have not had the desired effects, and an introduction of a stricter set of regulations also in this area is being discussed.

One of the organisations that indirectly receive Sida support, SACCORD, was deregistered for a second time by the government on unclear grounds in March 2010. However, there is a wide-ranging and very active network of NGOs in Zambia, and they participate actively in a dialogue on the public policy choices and hold, to the greatest possible extent, the government accountable for its actions.

¹⁹⁵ There is no exact definition of the concept of the 'civil society' and its organisations. Caroline Boussard at the Department of Political Science, Lund University, remarks in a study (*En studie över biståndets roll i framväxten av civila sambällen i syd*, March 2001) that it must be remembered that the civil society largely is a Western world phenomenon and in that sense specific in time and space. She therefore points out that there is an advantage in maintaining a high level of abstraction, but nevertheless presents a narrow definition of the concept, saying that it covers citizens who act collectively with a view to promote or protect their interests relative to the state. According to Boussard, this definition has the advantage that it allows for studies of many different types of collective action. She also discusses that the policy literature often treats NGOs (non-governmental organisations) and the civil society as equal – which she points out is far too narrow. Boussard says that in addition to NGOs, there are for example membership-based organisations, social and cooperative movements, and networks. For the purposes of this evaluation, SADEV has adopted Boussard's definition. This implies that NGOs constitute a part of the civil society.

The specific Swedish goal for the support to the civil society in Zambia is, according to the cooperation strategy, *a vibrant, democratic and pluralistic civil society promoting transparency, accountability, participation and non-discrimination.*

The strategic issues for dialogue are:

- giving civil society access to and insight into democratic decision-making processes
- strengthening the civil society in its right to hold decision-makers accountable

In detail, the strategy provides that Sweden is to support democratic development and promotion of respect for human rights, not least women's and children's rights. The focus is on the monitoring of FNDP and policy dialogue with the Zambian government.

The strategy instructs that the support shall be directly linked to two thematic priorities: democracy and human rights, and gender equality and women's development. In addition, support can be considered for organisations working with environmental and climate issues. The strategy also mentions that the debate on the abolishment of capital punishment should be given attention.¹⁹⁶

In 2008 and 2009, economic support was given through three cooperating partners. Sida had worked with two of these during the previous strategy period, namely Diakonia and Save the Children Sweden (SCS). In 2009, an agreement was signed with the Zambia Governance Foundation (ZGF), the establishment of which had been actively supported by Sida. The first disbursement to ZGF was made later that year. The table below provides an overview of the support to the civil society and the actual disbursements made (those marked in blue are not included in the evaluation)¹⁹⁷.

¹⁹⁶ In addition, organisations in agriculture, healthcare and energy are noted as particular target groups in the strategy. Please refer to the respective parts of this report covering these three sectors.

¹⁹⁷ For clarity, it should be noted that support to and through the civil society based on Sida's support to so-called framework organisations, which is therefore not included in the cooperation strategy, is not covered in the evaluation.

Fact box 8 Support to civil society. Disbursements per intervention, 2008-2009, MSEK.

FNDP:s goal: --			
Specific Swedish goal: A vibrant, democratic and pluralistic civil society promoting transparency, accountability, participation and non-discrimination.			
Intervention	Goal	Disbursements 2008	Disbursements 2009
<i>Diakonia</i>	Change unfair economic, social and cultural structures that lead to poverty, oppression and violence	41	11.8
<i>Save the Children Sweden</i>	Contribute to a better world, a world that respects and values each child, a world that listens to children and learns, and a world where all children have hope and opportunity	5.3	8.8
<i>Zambia Civil Society Governance Found (ZGF)</i>		0	10.0
<i>MISA</i>		0	0.1
<i>Evaluation Save the Children</i>		0	0.5
Total		9.4	31.2

Source: Financial report from Sida's 'Plus system'

Swedish CSO **Diakonia** serves as an intermediary organisation in Zambia. Diakonia works according to a programme-based approach and identifies local partners with shared goals and visions. At the time of the evaluation, Diakonia collaborated with around thirteen partner organisations. The bulk of Sida's support consists of core support.

The first Diakonia programme in Zambia was launched in late 2003. In 2008, external evaluators found that although the organisation had been under-staffed, it had performed a significant amount of networking activities, established an office, etc. The evaluators recommended Sida to continue cooperating with Diakonia.¹⁹⁸

The second programme started in 2008 and is planned to end in 2011. Its overall goal is to change unfair political, economical, social and cultural structures that generate poverty, oppression and violence. The goal is pursued through capacity development of CSOs and funding of activities among the partner organisations within five thematic areas: democracy, human rights, gender equality, peace and conflict management, and social and economic justice. The programme is based on three strategic approaches – knowledge and awareness, organising the population, and acting collectively – which are customized for each area.

Sida is the sole funder of the programme, with support amounting to MSEK 38.3 for the four-year period. Yet, Sida has seriously considered not supporting any further

¹⁹⁸ "Evaluation of Diakonias' Social and Economic Justice and Conflict Transformation Programme in Zambia 2004-2006", Lars Clarhäll and Honorine Muyoyeta, March 2008.

programmes. This standpoint is widely known and was expressed already in Sida's assessment of the draft of the current programme. The explanation given in the evaluation is that *'the Embassy continues to explore other funding models for CSOs such as the joint CSO Funding Mechanism with other Cooperating Partners'*.¹⁹⁹

Since 2003, Sida has supported SCS to develop and implement a programme for children's rights in Zambia. The programme is based on SCS's overall goal to contribute to a world that respects and values each child, a world that listens to children and learns, and a world where all children have hope and opportunity. The overall objective for the particular programme in Zambia for the phase that started in 2006 is to contribute to advances in these areas of children's rights. This overall goal is divided into six programme goals and an internal goal. Moreover, the entire programme is divided into seven programme areas, which in turn share one overarching goal and also have separate programme goals. However, most goals are formulated as activities.

The programme is implemented mainly via six partner organisations, although a total of about 20 partners have participated. SCS works with NGOs and networks of NGOs and religious organisations, but also with government entities and programmes such as the Child Justice Programme, the Commission for Human Rights and the Zambia Law Development Commission. The funds channelled through these organisations, which are not CSOs, during the period 2005-2008 accounted for about 9 % of the total support. In 2010, only the support to the Commission for Human Rights remains.

Three of SCS's programme areas are implemented partly by SCS and one programme area is implemented entirely by SCS. The latter programme aims to strengthen partner organisations to become stronger advocates for children's rights.

During the first few years, the programme was managed from a regional office in Pretoria and with a country director based in Zambia. Since early 2009, SCS operates from a country office in Lusaka.

An external evaluation in 2009 concluded for example that *'the many objectives at various levels make it difficult to get an overview of the logic of the SCS Zambia Child Rights Programme'*.²⁰⁰ The evaluation also found that the programme document was merely a guiding document and not sufficient *'to function as a management instrument'*.²⁰¹

The support amounts to MSEK 17.5 for the most recent programme, which initially covered the period 2006-2008. The programme has been extended and a proposal for a new phase is under development. Sida is the sole funder of the programme.

ZGF was established in July 2009 and is the result of an initiative made by a group of donors led by the Danish embassy. ZGF implies a relatively new support model that applies the Nordic+ guiding principles for support to the civil society. The principles recommend the donors to increase donor harmonisation, to increase joint core support through intermediaries, to operationalise a 'diversity principle' that implies an

¹⁹⁹ Assessment memo – Support to the Diakonia Zambia Programme 2008-2011, Sida, 28 November 2008, p.15.

²⁰⁰ "Evaluation of Save the Children Sweden's Child Rights Programme in Zambia", p. 13, COWI, September 2009.

²⁰¹ "Evaluation of Save the Children Sweden's Child Rights Programme in Zambia", p. 14, COWI, September 2009.

increased outreach and increased accessibility in close dialogue with civil society representatives, and to introduce risk analysis and risk management.²⁰²

ZGF is headed by six Zambian board members with backgrounds in the civil society, the private sector and the academic world. A so-called grant sub-committee is to oversee the decisions to approve grants, which are made by a secretariat. The secretariat is also in charge of administration and management. The secretariat was procured by the Danish embassy and in November 2008, a private company, Carlbro/Grontmij, was chosen for the task.

The overall goal of ZGF is to *contribute to improved governance and increased attention with respect to all poor and vulnerable groups in society*. The goal is divided into four immediate goals and the Foundation can offer its parties four different support instruments. The most important is institutional support (core funding) to so-called grant partners. The other supports are initiative support (mainly activity-based contributions to CSOs that lack technical and economic capacity to gain access to institutional support), capacity development support (targeting smaller and emerging CSOs that do not meet the criteria for initiative support), and support through a so-called rapid response support facility (flexible funds mainly for grant partners).

Sida funds the programme jointly with six other donors. The Swedish contribution amounts to MSEK 40.0 for the period 2009-2011.

Interventions in relation to the goal of the cooperation strategy

Overall, SADEV finds that Sida's cooperation with the three intermediary organisations are in line with the goal of the cooperation strategy to contribute to a vibrant, democratic and pluralistic civil society promoting transparency, accountability, participation and non-discrimination.

The use of intermediary organisations enables a large number of Zambian CSOs to apply for support, and a pluralistic civil society is therefore promoted. SCS also collaborates with government entities, companies and programmes, although the extent of this has decreased. SCS, which is not a national CSO, funds parts of its own activities through the programme as well.

Interviews, reports and printed articles indicate that the CSOs that indirectly receive support from Sida are very active and network with each other. This gives an impression of a vibrant civil society. However, CSO is strongly dependent on external funding and there is a risk that 'artificial' CSOs, which have lost contact with the grass root level are promoted.²⁰³ SADEV nevertheless believes that the opportunities granted to less established CSOs (possibly based in rural areas) to receive support from ZGF is a step in the right direction.

It is not unusual that CSOs are undemocratic with respect to representation, openness and accountability, even if they formally are able to meet 'democratic' require-

²⁰² Revised draft, "Nordic+ Management Response to Joint Study of Trends, Impact and Effectiveness of Different Models for Supporting Civil Society at Country level", p. 4, Nordic+ Reference Group, 3 December 2007.

²⁰³ *En studie över biståndets roll i framväxten av civila samhällen i syd*, p. 19-20, Caroline Boussard, Department of Political Science, Lund University, March 2001.

ments.²⁰⁴ They can have very charismatic leaders who carry out and manage outstanding activities, but give little room for other voices to be heard. SADEV has not been able to closely assess to what extent these risks are addressed and whether the Swedish support in Zambia in fact promotes a democratic civil society. Yet, SADEV notes that the three organisations that Sida cooperates with do assess the leadership structures and administration of their partner organisations. The extensive scope of the evaluation has limited SADEV's ability to evaluate the quality of the assessments, but no available information indicates that the organisations at least on a formal level are undemocratic. However, ZGF did deem the management structure of one of Diakonia's partner organisations insufficient; ZGF remarked that the board did not convene often enough to meet the minimum requirements.

With respect to transparency, accountability, participation and non-discrimination, SADEV concludes that the activities supported through CSO are relevant in terms of promoting these issues. The Diakonia- and ZGF-supported CSOs focus on openness and accountability in particular, while SCS has a stronger focus on non-discrimination.

Integration of thematic priorities

SADEV concludes that the programmes that Sida supports through Diakonia, SCS and ZGF aim to promote democracy and human rights plus gender equality and women's development, while environmental and climate issues are hardly considered at all. However, Diakonia has some plans to introduce environmental issues into its programmes.

Goal attainment

The goals of **Diakonia's** programme were increased social and economic justice, reduced conflicts, increased participation in democratic processes, gender equality and CSO capacity building. One evaluation covering the programme period 2004-2006/2007 found it difficult to measure goal attainment even at the output level (*'the programme period is still too short to be able to verify that the objectives have been fulfilled'*).²⁰⁵ Moreover, the evaluators saw the expected results as too ambitious.

Besides these limitations regarding assessment of goal attainment, the evaluation report concludes that: *'The field visits showed an impressive influence, commitment and activity on the target groups. Among the target groups, particularly women are represented and active in all activities, as trained paralegals, in income generating activities, capacity building and farming. The same influence and impact can be seen among partners conducting advocacy at government level. They have also daily contacts with different local, regional or national organisations, where they have the possibility to lobby, advocate or influence decision makers on different levels.'*²⁰⁶

²⁰⁴ *En studie över biståndets roll i framväxten av civila sambällen i syd*, p. 17-19, Caroline Boussard, Department of Political Science, Lund University, March 2001.

²⁰⁵ "Evaluation of Diakonia's Social and Economic Justice and Conflict Transformation Programme in Zambia 2004 – 2006", Lars Clarhäll and Honorine Muyoyeta, p. 23 and Executive Summary, March 2007. The evaluators address the attribution challenge in the executive summary: "Diakonia uses a core funding system to their partners, which has its advantages but also disadvantages, especially when it comes to measure the output. Diakonia partners have a lot of donors and therefore it is difficult to certify which donor who has contributed to what".

²⁰⁶ "Evaluation of Diakonia's Social and Economic Justice and Conflict Transformation Programme in Zambia 2004 – 2006", Lars Clarhäll and Honorine Muyoyeta, Executive Summary, March 2007.

The other programme was started in December 2008 with the overall goal to *'change unfair political, economical, social and cultural structures that generate poverty, oppression and violence'*. Although it was not formulated like the first programme, this phase also aims to, via core funding, strengthen the capacity and organisation of strategic CSOs to act in similar areas as before. In the programme document, Diakonia remarks that support to CSOs focuses on *'long term processes, not short term interventions'*.²⁰⁷

Interviews (for example with Diakonia and two of its partner organisations) and intervention and monitoring documents indicate that Diakonia has been well able to keep its focus on what is expected of the programme. The annual report for 2009 presents the activities of the partner organisations under the headings knowledge and awareness raising, organisation and actions, and influence and advocacy. All of them seem to be in line with what is expected of the programme. SADEV's meetings with the two partner organisations confirm the view of engaged and relevant activities. In addition, the partners appreciate the close cooperation with Diakonia, which one of them sees as unique. Diakonia's ability to engage in dialogue and to promote participation is mentioned in particular, as is openness, transparency and demonstrated respect for its partners.

During the new programme period, a capacity building plan with a special budget section was introduced. Support has been offered in areas including advocacy methods, monitoring and evaluation, and financial management. Yet, other areas were postponed: support to development of a handbook for the boards of the partner organisations, training on rights-based approaches, creation of a network forum on climate change, and development of gender equality manuals.

Diakonia assessed that three of the 13 partner organisations did not qualify for support in 2009. One of them is being investigated for embezzlement, a process that started in 2008, and Diakonia has decided to conduct a forensic audit. Another partner organisation was deemed to lack board capacity, while the last partner finished its strategic plan too late. SADEV considers a situation where an organisation cannot be granted support as planned to be a failure at the partner organisation level, yet SADEV sees it as positive that Diakonia decided to deny support in these three cases.

SCS's Child Rights Programme was evaluated in 2009 and the final evaluation report was presented in September of the same year. The evaluation in combination with other documents and interviews comprises the most important source of information in SADEV's assessment of programme goal attainment. Yet, the evaluators found it difficult to assess the results of the programme due to the unclear logframe and related indicators. They noted that this weakness, combined with the limited ability of the partner organisations to formulate strategies, plan and follow up also *'may have influenced the effects of the programme'*. Despite the limitations, the evaluators observed the following positive results:

²⁰⁷ 'Zambia Programme Proposal 2008-2011 - Application to Embassy of Sweden, Lusaka', Executive Summary, Diakonia Regional Office for Eastern and Southern Africa, October 2008.

- SCS has been instrumental in increasing awareness and capacity to apply a child rights approach and implement child rights programming.
- SCS's child right efforts have had an impact in so far as putting the ending of corporal punishment on the national child rights agenda.
- Working with established, experienced organisations has enhanced the viability and sustainability of the programme activities.
- SCS has developed some expertise in areas such as financial management of SCS funds, organisational systems and procedures.
- Research and analysis work were carried out and were directed to child right issues (a child abuse study, a study on child sexual abuse and a study on customary law). As examples, the studies were used to target advocacy interventions to pressure for more funds from the national budget, as well as for advocating the ending of corporal punishment.²⁰⁸

Interviews and document reviews do not contradict the conclusions reached by the evaluators.

ZGF recently commenced its operations. The first invitation to submit proposals was presented in October 2009 and the first implementation partners were appointed in March 2010, implying that no results can have been achieved at this point.

Aid modalities

With the recent introduction of support to ZGF, there are two different types of support models that the strategy uses to target democratic development and human rights through civil society in Zambia.²⁰⁹ The strategy is, which for example is confirmed by embassy staff, to give support to the civil society as a complement to the support targeted to another area indicated in the cooperation strategy, namely *Democratic Governance – Support to the Public Sector*.

This complementary and instrumental view of support to the civil society has in recent years become increasingly common in Sida's development cooperation. The way in which the support is described in the cooperation strategy with Zambia may make it seem like the Swedish support is tied to very specific aims, which could be inhibitory. SADEV is under the impression that the support, partly because it is provided as core support, does not tie Diakonia, SCS, ZGF and their partner organisations to detailed activities. There may however be a risk that the support is targeted to similar-natured partner organisations, although this risk may have decreased since support is now also allocated via ZGF. ZGF has an ambition to reach partner organisations other than Diakonia and SCS.

²⁰⁸ 'Evaluation of Save the Children Sweden's Child Rights Programme in Zambia', p. 5 and p. 34, COWI, September 2009.

²⁰⁹ Swedish support that is channelled to partner organisations in Zambia through the so called framework agreements with Swedish framework organisations is not part of the strategy, and therefore not included in the evaluation.

In conclusion, from the perspective that the civil society has a complementary and instrumental function with respect to promotion of democratic governance, SADEV finds the strategy method to serve its purpose well.

Disbursements and scaling up

The disbursements to the civil society totalled MSEK 9.4 in 2008 and MSEK 30.7 in 2009. The reason for the increase is that the latest collaboration with ZGF resulted in a disbursement of MSEK 10.0 in 2009 and that the support to Diakonia and SCS also increased.

The cooperation strategy provides that the support to the civil society is to increase over the course of the strategy period. SADEV finds that the prospects to increase the support are good, although they are largely dependent on the success of the ZGF programme, which cannot yet be assessed. It should be noted that support has been given to CSOs under the three main areas of the cooperation strategy as well, namely agriculture, energy and health (see the respective sections).

Use of Zambia's systems

The support to the civil society does not use Zambia's public financial administration-system for budgeting and implementation, financial reporting, auditing and procurement.

Dialogue

The strategic issues for dialogue are, according to the cooperation strategy, that the civil society is given access to and insight into democratic decision-making processes and is strengthened in its rights to hold decision-makers accountable. In the results matrix for the strategy, the issues for dialogue with the government and with other cooperating partners (CPs) concern for example the governments NGO bill and participation of the civil society in democratic processes and in government advisory bodies such as the Sector Advisory Groups. The issues for dialogue with the donor groups and the civil society are described as '*development of joint CP funding mechanism for support to non-state actors*'.

Sida has been an active cooperating partner in the Cooperating Partner Governance Group, and has shared the chairmanship in a sub-group (Non State Actor Group - NSAG). The NGO Bill has been a central issue for dialogue for Sweden and other donors during the last three to four years. Sida has been one of the three most active parties in the Cooperating Partner Governance Group in the efforts to formulate joint statements that for example heads of missions have been able to use in dialogues with government representatives at a high level. The statements have focused on the Bill and have for example been used by donors in the dialogue on the general budget support. The Swedish embassy, including Sida, has addressed issues related to the legislative proposal concerning NGOs with Zambian representatives as opportunities arise.

In February and July of 2009, CSOs were invited within the framework of NSAG's activities to exchange information and discuss the NGO Bill. The CSOs requested continued support in the form of programme support and welcomed the continued

dialogue between the donors and the government regarding the Bill. Partly as a result of the meeting, the CSOs are now better coordinated and have reached a joint conclusion to reject the legislative proposal – and eventually the law. There is severe tension between the government and the CSOs. The law has so far not been applied, with the exception of the registration of one CSO in March 2010. This is partly due to the fact that the institutional framework has not yet been established. However, this will have been taken care of in August 2010. If the government chooses to apply the law in a strict manner, there will be reason to expect serious confrontations between the government and CSOs. Successful dialogue under such circumstances will require outstanding dialogue skills.

Sida has been a chief promoter of CSO participation in the sector advisory groups in the sectors where Sida is active. CSOs are currently part of the groups for agriculture, health and public administration, but not the group for energy. It is difficult for Sida to find partner CSOs in the energy sector since few organisations are engaged in that sector.

ZGF was established as a result of an initiative of a group of donors, among them Sida. SADEV has noted that the dialogue between Sida and the other donors has been both active and constructive. Yet, some CSOs are still somewhat hesitant towards the new Foundation.

Although significant efforts have been made with respect to dialogue with and information to CSOs, SADEV concludes that the work without a doubt is very challenging and only partly successful.

2.5 Non-Classified Disbursements

Non-classified disbursements comprise the so-called Programme Development Fund (PDF). The fund is flexible and can be used over the years without detailed plans and budgets. It can for example be used for seminars, study tours, translations, training, consultation, evaluations, etc. SADEV has not analysed PDF in this evaluation.

The table below shows the disbursements made from PDF in 2008 and 2009. Under 2008, MSEK 2.6 was spent on 18 different components. In 2009, MSEK 1.4 was used for 16 different components, of which none amounted to more than MSEK 0.6.

Table 1 Non-classified disbursements, from Programme Development Funds, 2008-2009, MSEK.

Intervention	2008 disbursements	2009 disbursements	TOTAL disbursements 2008-2009
<i>Programme Development Funds</i>	2.6	1.4	4.0
TOTAL	2.6	1.4	4.0

Source: Financial reports from Sida's 'Plus system'

3 Summary of findings and conclusions

This chapter briefly presents the assessments and conclusions made based on the evaluation questions presented in Chapter 1. In this concluding chapter, the areas of cooperation are addressed individually under each evaluation question heading – first the three main areas (health and HIV/AIDS, agriculture and energy), then the three areas to be phased out (democratic governance – support to the public sector²¹⁰, development of industry and the financial sector, and urban development), and finally poverty reduction via budget support and support to the civil society.

3.1 Relevance

3.1.1 Interventions in relation to the goal of the cooperation strategy

The overall goal of the Swedish cooperation strategy include the *effective implementation of Zambia's development strategy (FNDP) to reduce poverty, strengthen democracy, stimulate broad economic growth and attain the millennium development goals*. SADEV has found the interventions to be relevant in relation to the Swedish goals of the cooperation strategy. The design and goals of the interventions comply with the goals of the cooperation strategy, but are also in line with the overall goal of FNDP and with JASZ. Support aimed to strengthen the civil society is not included in FNDP.

The support is found to be relevant in **the health sector** since the purpose is to improve the health situation among the poor from both a rights and a gender equality perspective, and to strengthen the Zambian health institutions. Direct interventions aimed to increase productivity in the **agricultural sector** and secure the food supply for poor small scale farmers have also been found by SADEV to be relevant. The **energy sector** interventions too are relevant as they aim to contribute to electrification of rural areas and to build up the capacity of the two government institutions, REA and ERB. Their aim is to implement the power grid extension and to promote a poverty-oriented energy policy.

The interventions related to **democracy support** have been assessed as highly relevant since they clearly aim to improve the effectiveness and financial control in the public sector. The two interventions targeting **development of industry and the financial sector** have also been deemed relevant as they clearly aim to develop the private sector. The interventions within **urban development** have also been found to be relevant since they aim to achieve an integrated land, planning and building legislation and improved municipal services in order to improve the living conditions among poor people in the Lusaka area.

The budget support is assessed as relevant as it, by its design, supports Zambia's poverty strategy.

²¹⁰Henceforth 'democracy support'.

The Swedish support to **CSOs** has been deemed relevant since it aims to promote a vibrant, democratic and pluralistic civil society, which in turn promotes transparency, accountability, participation and non-discrimination in the public administration.

Overall, SADEV finds that the Swedish contributions are generally relevant in relation to the overall goal and also to the specific Swedish goals of each area of cooperation.

3.1.2 Integration of thematic priorities

Gender equality

The gender equality issues have been addressed in several interventions and areas of cooperation. However, SADEV has also found that some interventions have not integrated gender equality at all, or to the largest possible extent.

The gender equality issues are integrated to some extent within **the health sector**, yet SADEV has noted that gender equality is reflected more in theory than in practice. The interventions within **the agricultural sector** where gender equality has had a high priority include ASP and the support to ZNFU. ASP has targeted women specifically to increase their influence on decisions regarding household economy and in ZNFU through strategy and policy work with gender equality issues. However, the gender equality issues are not at all addressed in the project documentation for ACF/FSRP, with the exception that some gender-related studies have been conducted according to Sida's assessment memo. The gender equality issues have been considered in the **energy sector** interventions both directly as, for example, electricity at the household level makes the traditional chores of women and girls easier and the outdoor environment more secure as a result of outdoor lighting and indirectly as, for example, electricity improves the quality of social services (schooling and health-care).

Turning to **democracy support**, the gender equality issues are considered integrated in the support to PSM since it aims (1) to benefit a public service that is more sensitive to gender equality issues and (2) to develop gender equality policies for recruitment and promotion. However, PEMFA has not seized any opportunities to integrate gender equality issues such as gender budgeting. The contributions concerning **development of industry and the financial sector** have not observed any gender equality issues. Yet, the **urban development** interventions have considered the gender equality issues through female participation in their different processes, although the issue is not clearly spelled out in the documentation.

The **budget support** is linked to FNDP, which forms the basis of the support. FNDP has as a goal to integrate the gender equality issues in the development process by focusing on the strategic gender needs among women and men.²¹¹ There is a national gender equality strategy in place, which is coordinated by the cabinet office.

One of the main aims of the support to **CSOs** is to promote gender equality. Several of the supported partner organisations are primarily gender-equality oriented, while others integrate gender equality in their programmes to varying extents.

²¹¹ FNDP, p. 310.

Democracy and human rights

Democracy and human rights as a thematic priority gives a mixed picture, ranging from interventions with a strong profile with respect to democracy and human rights to interventions with no ties at all to this area.

The mid-term review conducted within **the health sector** concludes that the sector needs to take measures to make the link between human rights and health more evident. The interventions implemented in **the agricultural sector** pay respect to democracy and human rights by promoting participation of the poor as well as democratic governance at the local level. The analysis of integration of democracy and human rights in **the energy sector** has assumed that electrification facilitates access to information. It is however not clear in what way the local community has been given an opportunity to participate in the development of the national general plan, according to which a large proportion of the interventions have been planned and implemented.

Naturally, the interventions related to **democracy support** aim to promote democratic governance. In contrast, the thematic priority has not been integrated in the interventions with respect to **development of industry and the financial sector**. The interventions concerning **urban development** have been characterised by a participatory work method, which considers people's ability to formulate their own needs. However, this is not reflected to the same extent in the intervention documentation.

With respect to the **budget support**, the evaluation finds that issues related to democratic governance are integrated in FNDP's different subject areas, for example through a reform programme within the administration (to which PSM and PEMFA belong). In addition, the importance of human rights, openness, accountability, democratisation, and management of the legal system are addressed in a separate section.²¹²

The interventions targeting **CSOs** explicitly aim to promote democracy and human rights, for example through policy dialogue and accountability. In the agricultural sector, support is given to CSOs. Identification of relevant organisations is currently underway in the other main sectors.

Environment and climate

SADEV concludes that environmental considerations remain to be integrated into many of the interventions.

The environmental issues have not been observed to any significant extent in **the health sector**. In **agriculture**, they have been integrated in two of three interventions through promotion of sustainable agricultural methods. The intervention targeting ACF/FSRP has not integrated the environmental issues. Within **the energy sector**, SADEV concludes that the issues are well integrated as the extension of the main power grid and other electricity delivery systems is based on environmentally friendly energy.

²¹² FNDP, p. 274ff.

The environmental and climate issues are not integrated in the **democracy support**, although, admittedly, it is not certain whether integration has been feasible considering the nature of the interventions. The interventions related to **development of industry and the financial sector** also lack integration of the environmental issues. Within **urban development**, SADEV finds that the opportunity to integrate environmental issues has not been fully taken, despite the fact that the environmental issues are relevant for the interventions.

The budget support is linked to FNDP, which includes the development of an action plan for the implementation of a national environmental policy. Other than that, SADEV finds that the environmental issues are not as noticeable as the other two thematic priorities.

The **CSO** support hardly considers the environmental issues at all. However, one of the three implementing organisations has plans to include the issues in its programmes.

All in all, SADEV concludes that gender equality and democracy and human rights are relatively well integrated in the interventions. However, SADEV also finds that environmental and climate considerations have not been integrated to the same extent as the others.

3.2 Effectiveness

3.2.1 Goal attainment in relation to the strategy goals

The results with respect to the goals of the interventions are reported at three levels: *impact*, *outcome*, and *output*.

Evaluation of intervention results at the impact level requires that the interventions have been in place for a long period of time. The recently introduced interventions and the intervention that is about to be launched can therefore not be expected to have produced any results at this level. However, some of the interventions were initiated during the previous strategy period and can therefore be subject to results analysis at the impact level. At any rate, most of the interventions have been analysed at the *outcome* and *output* levels.

Within **the health sector**, a large number of results are identified at the output level within the framework of support to the national coordination and monitoring of the work with HIV/AIDS, and of targeted preventive HIV/AIDS interventions. Some positive results of the sector support within health are found at the impact level, such as decreasing maternal and child mortality. Positive indicators are also identified in the area of HIV/AIDS.

The ASP-related interventions in **the agricultural sector** have been assessed at the impact, outcome and output levels. The earlier promising results accounted for at the impact level at the end of the strategy period have started to stall most likely due to the unsustainable organisational setup. The expected results, improved agricultural production through sustainable agricultural methods and production of a surplus that can be sold in the market (outcome), have not been fully achieved.

The interventions targeting CSOs (ACF/FSRP and ZNFU) within the agricultural sector have been assessed only at the outcome and output levels since none of the interventions have been in place for more than three years, making impact level results unrealistic. SADEV concludes that results have been achieved at both levels with respect to ACF/FSRP. The planned activities have been implemented and have resulted in policy changes and increased budget allocations to the agricultural sector. The fact that the ZNFU-related interventions have been in place for only one year implies that is too early to identify any results other than at the output level, where the activities for example have led to development of policy documents and distribution of research results, and to linking of farmers to the market.

The support to ERB within **the energy sector** has not been initiated as planned, and is one year behind schedule. The intervention concerning REA/REF shows no results at the *impact* and *outcome* levels as it was launched relatively recently. However, the extension of the main power grid and other alternative energy systems have been established using support from the fund established for this purpose (output).

Turning to **democracy support**, SADEV finds that no results have been generated at the impact and outcome levels. Yet, some important *outputs* have been achieved, or are in the process of being achieved. Starting with PEMFA, SADEV finds for example that the work to establish a new national accounting system has progressed, although it is delayed by about two years. With respect to PSM, it can be noted that the Zambian administration has recently made some important decisions. The decisions have made it possible to proceed with the programme to rationalise the public sector and make it more efficient, yet it is still uncertain which parts of the programme that will be implemented.

Concerning PSDRP in the area of **the private and financial sectors**, SADEV is unable to identify any results at the impact level and finds only few concrete results at the outcome level. Some progress has been made at the output level though, one example being that business registrations have become more efficient. No data are available to properly assess whether any outcome level results have been generated with respect to ILO/BDS. Yet, the implemented activities have for example resulted in new models for distribution of business-related information to companies (output).

The support within the area of **urban development** that targets the legislation on spatial planning has ended and is deemed by SADEV to have generated results at the output level. Several important documents have been produced to improve living conditions in urban areas, including the legislative proposal concerning spatial planning. The proposal has not yet been approved by the parliament. The support to LCC is also assessed to have generated output level results. The implementation of the support has been somewhat problematic and the intervention was extended by one year in order to achieve certain results, since it was initially assumed that the project would be extended with a consolidation phase. The lack of other donors within urban development may end up jeopardising some of the results, since no donor to take over the funding of the intervention has been identified.

The fact that **the budget support** is a long-term support makes it necessary to distinguish between external and internal impact in order to identify results. Zambia enjoys macroeconomic stability despite the global financial crisis, yet the extent to

which the support has contributed to this is unclear. However, SADEV notes that the general budget support, according to PAF, has contributed to improved economic policy, increased economic growth and some improvements in the social sectors, which in turn indicates a reduction in poverty. The progress is measured on a scale from 1 to 100, based on an aggregation of PAF indicators.²¹³ For 2009 the estimated progress of the general budget support was 66.

There is not enough data available for the area of **support to the civil society** to facilitate a systematic assessment of the results of the two interventions that have been ongoing for a relatively long time (Diakonia and SCS). The available data indicate that the organisations have focused on what is expected of the programmes, and that several of their partner organisations have successfully implemented activities aimed to promote accountability and transparency.

All in all, SADEV assesses that only a few intervention-specific goals have been achieved at the impact and outcome levels. One of the reasons is that several interventions have been in place for only a short period of time, which implies that no results at the *impact* level can be expected at this point in time, as within the energy sector support. However, it is fair to expect results of the interventions that have been around long enough to bear fruit, for example within private sector development. Positive indicators at the impact level are found within the area of health, for example reduced maternal and infant mortality. Positive productivity results were identified in the area of agriculture in connection with the ending of the support to ASP, yet there is a significant risk that the results will not be permanent due to an unsustainable organisational setup.

SADEV also notes that the prerequisites needed to, at the *output* level, contribute to results at the *outcome* level have been, or are underway to become, established. This is true for democracy support, support to CSOs within the agricultural sector and the phased-out interventions within urban development. Several of the interventions within these areas have suffered delays, which partly explain the lack of results at the outcome and/or impact level. The interventions in the energy sector are relatively new. Activities are in place, yet it is too early to expect any concrete results.

Over the past decade, Zambia has demonstrated stable macroeconomic development with economic growth and controlled inflation compared to previous periods. The country shows positive results in relation to the millennium development goals as well. It is quite possible that the budget support has contributed to facilitate this positive development.

The data are too insufficient to systematically assess support to local partner organisations through Diakonia and SCS. It is however beyond doubt that a range of activities have been implemented to promote accountability and transparency.

Sida bases its intervention assessments on regularly presented reports, evaluations, mid-term reviews, official statistics, etc. The reviewed documentation varies in quality. For example, the regularly reports generally focus on activities, while follow-up discussions, analyses and linkages to the goals of the interventions receive less atten-

²¹³ Fully achieved goals are assigned 100 points. Partly achieved goals are assigned 50 points. Unachieved goals are assigned 0 points.

tion or are almost lacking. This makes it difficult to identify any results at the *outcome* and/or *impact* level, which in turn should imply difficulties for Sida to conduct adequate assessments of how different interventions are developing.

Overall, SADEV concludes that the goals are rather ambitious in relation to what can realistically be expected to be achieved. Sida is at the same time aware of the capacity limitations and corruption risks in the administration. The support to the *Public Expenditure Management and Financial Accountability Reform* (PEMFA) and the *Public Service Management Support Programme* (PSM), and indirectly the support to civil society organisations, aim to reinforce the capacity. SADEV nevertheless notes that the corruption risk assessment undertaken by the health sector has been insufficient. A more particular risk assessment and follow-up analysis should have been conducted given the support design.

3.3 Efficiency

3.3.1 Aid modalities

SADEV has analysed the mix of aid modalities based on i) modality and ii) function.

With respect to modality, the strategy portfolio comprises project support, programme support, sector programme support and general budget support. The Swedish Government's guidelines for cooperation strategies provide that development cooperation should focus on sector support and general budget support to the greatest possible extent considering the partner country's capacity, efficiency and risks. Based on the available information, SADEV found the mix of aid modalities to be reasonable considering the context at hand. Sweden provides general budget support, sector programme support is allocated through NHSP within the area of health, and the other interventions consist of programme and project support. The intervention portfolio in two of the main areas, agriculture and energy, consists of project support. Sida has concluded that it is not yet possible to give sector programme support to these sectors due to low capacity and policy choice. SADEV has not found any reason to question Sida's choice of support modalities.

Support to the civil society, sector programme support, general budget support and support to democratic governance within the public sector are interrelated in terms of function. The expected results of PEMFA and PSM – to contribute to a democratic and strengthened public sector – form a prerequisite for Sweden and other donors to be able to contribute funding to the general budget support. The support to the civil society aims to balance the intervention portfolio with a view to promoting openness and accountability within the Zambian administration with respect to its implementation of FNDP (including funds from the general budget support and sector programme support).

Against the background of the donors' harmonisation efforts in Zambia, SADEV finds it unnecessary that all linking functions be financed (partially or entirely) with Swedish funds. One clear example is the support to democratic governance in the public sector, where Sweden is planning to phase out its contribution and other donors are ready to take over the financing.

Sida's strategy portfolio contains a mix of aid modalities, which SADEV deems as relevant given the capacity available within the Zambian administration.

SADEV notes that Sweden has high ambitions with respect to its envisioned leadership role within donor coordination and within the work to achieve the principles set out in the Paris Declaration. This is primarily articulated through JASZ. Sweden is represented in all leadership teams within the three main sectors, and periodically also holds the chairmanship in these bodies. Donor coordination is very time demanding and requires staff resources, especially in connection with chairmanships. SADEV finds that there may be a need to assign additional resources to the embassy when Sweden holds the chairmanship of the donor coordination.

3.3.2 Disbursements

The table below provides a financial overview of the eight areas of cooperation for the period 2008-2009, and 'non-classified disbursements' (PDF).

Table 2 Disbursements per area of cooperation, 2008-2009, MSEK

Area of cooperation	2008 disbursed	2009 disbursed	TOTAL disbursements 2008-09	Percent of total disbursements
Health and HIV/AIDS	129.0	63.6	192.6	38%
Agriculture	42.1	14.9	56.9	11%
Energy	3.9	36.3	40.2	8%
Democratic governance – support to the public sector	21.7	19.4	41.1	8%
Development of industry and the financial sector	11.2	-5.2 ²¹⁴	6.0	1%
Urban development	8.2	8.9	17.1	3%
Support to the civil society	9.4	31.2	40.6	8%
Poverty reduction through budget support	102.6	0.0	102.6	21%
<i>Programme Development Funds (PDF)</i>	2.6	1.4	4.0	1%
TOTAL	330.7	170.2	500.9	100%

Source: Financial report from Sida's 'Plus system'

Given that the decision on the cooperation strategy was made in the 2008 budget year, and that this evaluation has been undertaken in the spring of 2010, the analysis is limited to include only disbursements in 2009.

The cooperation strategy indicates that the volume of the cooperation was planned to amount to MSEK 400.0 in 2009. In the beginning of 2009, the prognosis²¹⁵ was MSEK 561.1. This figure includes some over-budgeting of funds. The actual disbursement indicates a total volume of MSEK 170.2 for 2009, or almost MSEK 230 or 57 % less than the volume estimated in the cooperation strategy. Compared with the prognosis from the beginning of the year, this means that only 30 % was disbursed.

²¹⁴ The figure is negative due to repayment of unused funds.

²¹⁵ Sida's planning document dated 4 February 2009

The primary reason is a cancelled disbursement related to a health sector contribution and the general budget support due to embezzlement in the health sector.

3.3.3 Use of Zambia's systems

The cooperation strategy states as a goal that *'the proportion of support that uses Zambian systems for implementation and follow-up increases and amounts to at least 50% of the country allocation at the end of the strategy period.'* SADEV has used the indicators 5A and 5B of the Paris Declaration and associated definitions²¹⁶ to assess the share of the funding that is channelled via the Zambian system. In total, ten indicators divided into four areas were used: use of the national budget and accounting system, use of the systems for financial reporting from the national system, use of national auditing systems and finally the degree of use of the national procurement system.

Only interventions where an agreement has been signed with the Zambian government are evaluated, in accordance with OECD/DAC's guidelines. The main implication of this is that interventions that directly support CSOs are not included in this estimation, which in turn implies that MSEK 486.3 of the total MSEK 500.9 disbursed in 2008-2009 is included in the evaluation. As a basis for SADEV's assessment, Sida's programme officers were asked to assess the included interventions based on all ten indicators.

The result indicates that a large proportion of the volume of the funds disbursed 2008-2009 utilised the Zambian budget and accounting system (80 %) and auditing system (75 %), and that an even larger share utilised the national procurement system (86 %). However, only 36 % of the disbursed funds have utilised the national systems for financial reporting in a satisfactory manner in relation to the goals set out in the Paris Declaration. One important explanation is that most of the health support (which is the largest area of cooperation in terms of volume) requires special financial reporting. SADEV concludes that the 50 % goal stated in the cooperation strategy has been achieved, with the exception of the lower level for financial reporting.

Sida's own estimations indicate that the utilisation of the Zambian systems (budgeting and accounting systems, financial reporting and auditing) amounted to 60 % already in the beginning of the cooperation strategy period. For procurement, the level was 76 %. These values show that the goal had already been reached, but SADEV has to conclude that the utilisation of the Zambian systems has continued to increase.

3.3.4 Phasing out and expansion of cooperation areas

Sweden has already phased out the support for development of industry and the financial sector, airport to urban development.

The support to the energy sector and CSOs has increased as planned. The agricultural support has not been expanded as planned as MACO's proposed support is still under consideration. The embezzlements uncovered in the MoH have been an obstacle to increased support to the health sector and to expanded general budget support.

²¹⁶ 2008 Survey on Monitoring the Paris Declaration – Definitions and Guidance for the Questionnaires, OECD/DAC, 4 January 2008.

The support to the civil society has been expanded through the establishment of the ZGF programme in combination with continued support to Diakonia and SCS.

3.3.5 Dialogue

The general issues for dialogue set out in the cooperation strategy are: strengthening of democratic institutions, respect for human rights and citizens' insight into public activities, and effective use of the state's resources according to FNDP to reduce poverty.²¹⁷ These are generally well integrated and are addressed in the dialogue with Zambia's government and with other cooperating partners. One example is Sweden's engagement against a legislative proposal that restricts individual organisations' ability to act and even exist.

SADEV notes that the dialogue with the health sector and dialogue concerning the general budget support has been hampered due to the embezzlements in the health sector. The dialogue between Zambia's government and the donor group within the agricultural sector has also been strained for some time due to disagreements regarding the consequences of the Zambian government's policy on the future implementation of the two programmes, the Fertilizer Support Programme and the Food Reserve Agency.

In addition to the general issues for dialogue, there are a number of specific issues for dialogue for each area of cooperation. These are described in the respective sector sections. Sweden is part of the leadership troika for the three main areas health, energy and agriculture and is perceived by SADEV to have seized the opportunity linked to this position to participate actively in the dialogue with the Zambian government.

Overall, SADEV concludes that Sweden has actively addressed the general and specific issues that are to be discussed with the Zambian government and with other cooperating partners. SADEV has noted that factors that have negatively affected the dialogue with the Zambian government include political priorities within the agricultural and health sectors and the embezzlements in the health sector.

²¹⁷ Strategy for Development Cooperation with Zambia 2008-2011, p. 3

Appendix 1 – Interviews

References

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