



# Operational Plan 2011-2015

## DFID Zambia

Updated June 2013

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# Introduction

The UK Government is determined to help end extreme poverty around the world. We believe that international development is not just the right thing to do, but the smart thing to do. Britain has never stood on the sidelines, and it is in all our interests for countries around the world to be stable and secure, to have educated and healthy populations and to have growing economies. DFID aims to end aid dependency through jobs – building the economies of developing countries so that they can stand on their own feet.

No country can develop with only half of the population involved, that is why DFID is scaling up its support for women and girls across all of our country programmes, including an increased emphasis on girls education and preventing violence against women and girls.

We are also focussing on what works, investing in research and taking advantage of new technology to ensure that UK development support has the greatest impact.

DFID is committed to being a global leader on transparency, and in 2012 was ranked the top aid organisation in the world for transparency. Transparency is fundamental to improving accountability both to UK citizens and to citizens in the countries where we work. Transparency also helps us achieve greater value for money and improves the effectiveness of aid. As part of our commitment to transparency we publish Operational Plans for each area of our work setting out what we will achieve and how we will achieve it. In June 2013 DFID launched a new online tool, Development Tracker, to provide an easy way to access information and data about DFID programmes.

With less than 1000 days to go, we will continue to focus our efforts on delivering the Millennium Development Goals, creating wealth in poor countries, strengthening their governance and security and tackling climate change. The prize, in doing so, is huge: a better life for millions of people, and a safer, more prosperous world.



# 1) Context

Zambia has a population of **13.8 million people (nearly half under 15 years) dispersed over an area three times the size of the UK**. The country has seen significant progress since 2000 after three decades of economic mismanagement and decline in human development. Fourteen successive years of growth have seen **per capita income increase from \$330 (2002) to \$1,160 (2011) and brought Zambia to lower middle income status**. This growth has been built on sound macro-economic management debt relief and a friendly business climate drawing in major foreign investment, mostly in mining. This helped urban poverty to fall by a third from 1996-2006. However, as mining employs only 60,000 people and until recently has contributed less than 2% of GDP in tax (projected to rise to 4% of GDP in 2012) it has meant little for the rural areas where two thirds of Zambians live. **Three quarters of the rural population survive on less than \$1 a day**.

Progress on human and social development has been mixed. Zambia is **on-track to meet the education, under-five mortality and HIV Millennium Development Goals (MDGs)**, with net enrolment in primary education at around 93.7% in 2010, up from 70% in 1999. The incidence of malaria has fallen sharply and is now under 10% while HIV prevalence is at 14%. However, Zambia still ranks 163rd out of 187 on the Human Development Index. It is **seriously off track on MDG 1 (Poverty)**. Around 60% of Zambians live in poverty with 42% unable to meet even basic food needs and inequality remains very high. Only a quarter of children under two have a minimum acceptable diet and 45% of children under five are stunted, meaning that they are chronically undernourished. Zambia is **failing to achieve its health MDGs** partly because of the challenges of serving a geographically dispersed population. Maternal and child mortality are high with over 7 million years of healthy life lost annually due to a high disease burden and inadequate health services. Zambia is also off-track on MDG 7 (Environmental Sustainability). Nearly **5 million Zambians lack access to safe water and a further 6.5 million lack access to adequate sanitation**. There has been a **lack of progress on empowering women**, with violence against women persisting while girls and women's participation in decision-making remains low. Women's rights to access and control productive assets are limited and the **impacts of poverty on girls and women remain poorly understood** and poorly captured in official statistics.

Zambia has long been relatively stable and peaceful, with twenty years of elections that have been free and generally fair. The 2011 elections led to a peaceful transition to a new Government although intense competition between political parties sometimes descends into incidents of electoral violence. Governance has improved in recent years with the state broadly more capable, accountable and responsive. There has been **broad commitment to governance reforms though implementation has been uneven** and has slowed recently due to short term political thinking. The **risk of the misuse of Government funds remains significant with corruption a persistent challenge**. The Government seems committed to tackling the issue and has brought some lower level cases to court. State institutions for accountability are developing and civil society organisations (CSOs) are active but unfocused in attempting to hold Government to account.

As a land-locked nation bordered by seven other countries, further **regional integration** in particular progress on the North-South corridor connecting East and South Africa will be an important driver of prosperity. A co-ordinated regional response also offers the best prospect for Zambia to combat **climate change**.

As the economy has grown, dependence on traditional donors' development aid (ODA) has fallen to an estimated 9% of the Government's budget. Non-ODA sources of development finance are becoming increasingly important, especially from China. **Government and CPs are beginning to think through how Zambia can graduate from aid in the medium term using its own resources to achieve the MDGs and sustain growth built on private sector investment** in sectors other than copper.

To make real progress in poverty reduction, **Zambia will need to maximise its domestic tax base** (especially from mining) and spend its growing wealth more effectively to **support better service delivery and more inclusive growth** especially in rural areas and among girls and women.



## 2) Vision

### Overview

Zambia has an **opportunity for change for the first time in a generation** as economic growth and fiscal restraint have made resources available to invest in a better society. Zambian leaders also have an incentive to change driven by higher demands of Government from a young, more educated population, an active civil society and a growing private sector, set against a background of competitive multi-party politics.

In response DFID will **improve Government tools and skills and decision making**, enabling Zambia to increase its tax take and use its resources to deliver better services. This will include **tackling corruption and waste** and increasing Government's **transparency and accountability** to its citizens. DFID will work to **directly address the most off-track MDGs** (using a combination of cash transfers, maternal mortality interventions and programmes to improve sanitation and hygiene), and **remove the barriers to wealth creation and investment** to create a sustainable future beyond aid. DFID will work with Government and other donors to improve the quality of education and **empower girls and women** in order to make growth more inclusive and tackle inequality.

We will **increase demand for accountability** by **strengthening citizens' and civil society's voice**, building on the relative media and civil society freedom.

The donor Joint Assistance Strategy (2011-2015) sets out how donors will align support to deliver Zambia's Sixth National Development Plan and coordinate aid to ensure its effectiveness. Zambia has an advanced donor Division of Labour, used to streamline and coordinate work among donors at a sector level. DFID is a 'lead' donor in Governance, Health, Social Protection, Macroeconomics and Gender, is an 'active' donor in HIV/AIDs, Education and Private Sector Development. DFID also supports Agriculture, Education and Infrastructure through Poverty Reduction Budget Support (PRBS).

### Alignment to DFID and wider UK Government priorities

Without an increase in rural incomes, it will be impossible to significantly reduce poverty in Zambia. **Hence there will be a major focus on wealth creation.** This will include pulling in private sector investment and innovation to increase poor farmers access to agricultural inputs, expanding access to finance and supporting GRZ to improve the policy environment.

**Improving the lives of girls and women will be central to our poverty reduction strategy** including: delivering a 15-20% reduction in maternal deaths; increasing family planning choices; better social protection and choice through cash transfers and a big push on nutrition; reducing the burden of collecting water and improving women's dignity through better sanitation; improved quality of education, especially enabling more girls to access lower secondary education, and empowerment through financial inclusion and women's participation/girl's leadership initiatives.

Though often not their primary focus, many of our interventions will also **build climate resilience** through reducing the vulnerability of the poor to shocks (cash transfers, health interventions, access to markets and finance). Zambia is also the recipient of large scale international climate change funding through the multilateral Pilot Programme for Climate Resilience and UN forestry facilities and DFID Zambia will continue to support their implementation.

DFID is co-located and **collaborates closely with the Foreign and Commonwealth Office (FCO)** Beyond the UK's aid relationship with Zambia, British investment is at least £500 million, currently focused on sugar and banking but with potential in services and agriculture as the economy grows. Consolidating a rules-based investment climate encourages this. Zambia is generally like minded with UK foreign policy priorities and has played a progressive role in international peace keeping and trade negotiations. There are 10,000 British nationals in Zambia and six times that number visit every year.

### What we will stop doing

There will be a refocusing of the existing programme, with PRBS levels reduced to allow more resources to be targeted directly at poverty through sector budget support and other programmes. We will refocus our health programme by shifting funding from the National AIDs Council to focus on AIDS prevention programmes. Our funding commitments to the International Health Partnership obstetrics equipment programme will come to an end during the course of this operational plan and funding will be channelled into new programmes to address maternal health and the training of health workers.



### 3) Results Headline results

Pillar/ Strategic Priority	Indicator	Baseline (including year)	Expected Results (including year)
<b>Wealth Creation</b>	Number of people with access to financial services as a result of DFID support	0 (2010)	174,000 – of which 110,000 women (2015)
<b>Health</b>	Number of pregnant women and children under five sleeping under an insecticide-treated bednet attributed to DFID	0 (2010)	890,700 – of which 529,500 are women or girls (2015)
	Number of additional women using modern methods of family planning through DFID support	0 (2010)	200,000 (2015) (End year snapshot)
<b>Poverty and Hunger</b>	Number of people receiving DFID supported cash transfers (including public works employment)	8,300 (2010) <i>of which 5,000 Women</i>	57,400 (2015) <i>of which 47,600 Women</i>
	Number of children under five and pregnant women reached through DFID's nutrition relevant programmes	1.4 million (2010)	2.1 million (2012) <i>of which 1.05 million girls</i>
<b>Water and Sanitation</b>	Number of additional people with sustainable access to improved sanitation facilities attributed to DFID	0 (2010)	3 million (2015) <i>of which 1.53 million Women</i>
<b>Governance</b>	Performance of Public Expenditure and Financial Accountability (PEFA) scores	Current PEFA assessment (2008)	At least six indicators improve (2014)
	Number of people who vote in elections supported by DFID	1.79 million (2008)	3.3 million (2011) <i>of which 1.683 million women</i>
<b>Education</b>	Number of children supported by DFID in primary education	55,000 (2010) <i>Of which 27,550 girls</i>	75,400 (2013) <i>of which 37,700 girls</i>



## 3) Results

### Evidence supporting results

- The **plan is built on a solid body of evidence** and where possible we have used evidence from impact evaluations to shape its direction. However, a number of our approaches are **innovative** and hence conclusive evidence of impact is currently lacking. Where this is the case, we will **use pilot stages and ensure robust appraisals of Monitoring and Evaluation (M&E) evidence** before deciding whether to run programmes at full scale.
- The results specified for the health and wealth creation pillars are largely set in the context of evidence of past trends in performance in Zambia and there is a significant body of evidence of what works and what represents good value for money. The quality of evidence for poverty and hunger interventions is also strong. There is a good time series of poverty levels and the nutritional status of children in Zambia and also some evidence on the impact of cash transfer programmes on poverty and nutrition from pilot programmes both within Zambia and regionally.
- There is a relatively strong evidence on key GRZ service delivery improvement components of the governance programme, particularly on Public Financial Management (PFM). This includes quantitative data and internationally recognised indicators of PFM system strengthening particularly using the Public Expenditure and Financial Accountability (PEFA) framework. Internationally recognised and monitored indicators will be used to monitor results from programmes to address democracy, political rights, voice and accountability, and corruption levels. The Government collects potentially useful data on perceptions of good governance but there have been challenges over its slow release. Some national data on the political engagement of women is available. More evidence is required to identify what interventions will lead to greater political empowerment of Zambians, particularly in rural areas.
- The results from interventions to increase access to water and sanitation are set out on the basis of credible global and national data. However, there is limited baseline data on water coverage and there is limited evidence to support the benefits for women and girls. This gap is currently being filled as a national M&E system is in development.

### Value for Money (VfM) rationale

- **VfM assessments will be made for each programme using cost-benefit and cost-effectiveness analyses.** Based on this evidence, priority will be given to the programmes where VfM is best. Where there is limited evidence on VfM of programmes in a Zambian context, we will seek to use evidence from neighbouring countries or other countries in similar situations. With new and highly innovative approaches the existing evidence of likely impact will be less strong (eg newer work on civil society and accountability). In such cases we will set out plans to tailor these approaches by ensuring robust appraisals, pilot phases, and to invest in strong monitoring and evaluation before launching in full. We are developing a VfM Assessment and Strategy to guide all of our VfM efforts. All new programme logframes will include a minimum of 3 indicators to monitor VfM.
- A number of our programmes are supported by strong data on unit costs, particularly the wealth creation, health and education interventions, while some data is available in other areas. Unit costs of interventions tend to be higher in Zambia than in other countries in the region, mainly due to the difficulties involved in reaching a geographically dispersed rural population. VfM considerations were a factor in the decision to reduce the share of UK aid to be provided as budget support during the operational plan period given the challenges with measuring value for money. To address this we will use the ongoing major evaluation of Poverty Reduction Budget Support (PRBS) in Zambia to build a baseline and ensure that a stronger evidence-base around VfM of budget support is developed. **Future PRBS programming in Zambia will be heavily linked to results. This will be measured through a tightened performance assessment framework with funding tranches tied to a performance incentive system to be agreed with Government and other PRBS donors.**



## 4) Delivery and Resources

We will use a variety of financial and technical aid instruments and partnerships, ensuring that each tool used is the best fit in the context of the results that we want to achieve. We will be **flexible** in the modalities employed, **adjusting as necessary to evidence from our on-going M&E of what, how and who to work with to deliver the best results** in the most cost effective and sustainable way for women, men and children. We will closely monitor VfM from our partners and insist on complete accountability and fiduciary assurance.

Our portfolio will be made up of 31 programmes, of which 10 will be new. We will closely monitor the quality scores of our portfolio and seek to maintain our current high scores while rapidly rolling out our expanded programme under this Operational Plan.

**General Budget support** will remain an important modality used to improve Government services and accountability in the health, education, agriculture, water and infrastructure sectors. It will also give DFID influence on larger cross cutting policy issues including Zambian Government (GRZ) budget priorities, VfM of its spending and pay reform. General Budget support will make up 45% of our programme in 2011/12 before falling to 15% by 2014/15. From 2013/14 to 2015/16 this will be complemented by £37.5m of Sector Budget Support to educate with a focus on improving the quality of school education. **[SoS approval pending]**

DFID Zambia has a strong relationship with GRZ, having signed up to a 10 year Development Partnership Agreement in 2007, and engages in regular high and technical level dialogue through leadership of the PRBS dialogue mechanism. Though the PEFA assessment in 2008 registered improvements in the majority of public financial management (PFM) processes since 2005, the risk of Government funds being misused in Zambia remains substantial (according to the 2010 joint donor Fiduciary Risk Assessment). DFID will continue to play a leading role in supporting GRZ's PFM reform programme which should further build confidence in Government's use of donor funds. The other instruments we will use to deliver aid are listed below:

- **Funds to Government pooled among donors** (e.g. funding for the Government's cash transfer programme)
- Non-Budget Support **Bilateral aid direct to Government** (e.g. support to the Anti-Corruption Commission)
- Bilateral aid delivered through **multilaterals** (e.g. funding support to child immunisation through UNICEF)
- Bilateral aid delivered through **other bilaterals** (e.g. funding malaria and child health programmes through USAID)
- **Funding to NGOs, Private Sector and Parliament** (e.g. accountability and advocacy programmes through NGOs, support to agricultural markets and access to finance through the private sector)
- Funds to Government through Sector Budget Support (SBS) and Global Partnership for Education (GPE) funds in Zambia

The key elements of this plan build on on-going consultations with key figures in GRZ, other major donors and relevant NGOs and civil society organisations. The bulk of our funding through multilaterals will go to UNICEF and UNDP in areas where they are judged to have a distinctive competence (social programming and democracy work respectively). Both of these agencies face similar performance challenges with slow moving bureaucracies causing lags in reporting. These challenges will be mitigated by close engagement to expedite programming including embedding a DFID advisor within UNICEF.

We will collaborate with the relevant divisions in DFID headquarters to work for reform of multilaterals locally including the One UN reforms, greater VfM and continued decentralisation to country offices of World Bank and African Development Bank technical staff. We will also work closely with DFID's Africa Regional teams on cross border issues such as trade (especially the North-South corridor) and climate change. We will support the implementation of DFID's Africa Climate Change Strategy in Zambia and seek opportunities for International Climate Fund projects to benefit Zambia.

DFID Zambia is **well placed to deliver its programme having restructured in May 2010**. There are three delivery teams (the Inclusive Growth team, the Governance team and the Human and Social Development team) supported by a Corporate Services Team which now serves all four HMG departments in Lusaka. Further minor restructuring may be necessary as priorities, resources and the local context shift.



## 4) Delivery and Resources

### Planned Programme Spend

Pillar/Strategic Priority	2010/11		2011/12		2012/13		2013/14		2014/15		TOTAL*	
	Resource £'000	Capital £'000	Resource £'000	Capital £'000	Resource £'000	Capital £'000	Resource £'000	Capital £'000	Resource £'000	Capital £'000	Resource £'000	Capital £'000
Wealth Creation	19,333		3,582		6,896		8,000		12,000		30,748	
Climate change	807		197		209						1,213	
Governance and security	27,118		7,535		5,930		12,000		11,000		36,465	
Education	19,152		3,250		5,406		22,000		19,000		49,656	
Reproductive, maternal and newborn health	16,378		6,776		7,940		4,000		4,000		22,716	
Malaria	15,229		3,779		5,880		5,000		9,000		23,659	
HIV/AIDS	1,640		670		288		1,000		1,000		2,958	
Other health	26,790		9,698		10,704		7,000		7,000		34,402	
Water and Sanitation	5,488		2,047		3,114		4,000		3,000		12,161	
Poverty, hunger and vulnerability	16,486		5,359		8,040		7,000		6,000		26,399	
Humanitarian	6										-	
Other MDGs	-											
Global partnership	617		5		187						192	
<b>TOTAL</b>	<b>52,096</b>		<b>43,325</b>		<b>54,594</b>		<b>70,000</b>		<b>72,000</b>		<b>240,569</b>	

\* This total does not include the baseline year 2010/11

Note: Figures for: 2010-11 and 2011-12 are actual outturn; 2012-13 are provisional outturn; 2013-14 and 2014-15 are planned budgets.





## 4) Delivery and Resources

### Planned Operating Costs

	2010/11	2011/12	2012/13**	2013/14	2014/15	TOTAL ***
	£'000	£'000	£'000	£'000	£'000	£'000
Frontline staff costs - Pay	1,149	1,436	1,715	1,996	2,206	7,353
Frontline staff costs - Non Pay	431	500	441	520	621	2,082
Administrative Costs - Pay	490	286	399	487	521	1,693
Administrative Costs - Non Pay	114	121	68	170	120	479
Admin Income			-99	-100	-107	
<b>Total</b>	<b>2,184</b>	<b>2,343</b>	<b>2,524</b>	<b>3,073</b>	<b>3,361</b>	<b>11,607</b>

\*\* The admin staffing costs for 2014/15 include FCO posts that transitioned to DFID under the single platform restructuring. 32% of these costs are recovered locally as part of the recharging agreement with the FCO. These costs are reflected as Admin Income.

\*\*\* This total does not include the baseline year 2010/11.

Note: Figures for: 2010-11 and 2011-12 are actual outturn; 2012-13 are provisional outturn; 2013-14 and 2014-15 are planned budgets.



## 4) Delivery and Resources

### Planned Efficiency savings

Delivering Programme Efficiencies		Residual cost in the SR period, £'000
Category	Details	
Strategic Reprioritisation	General Budget Support will be reduced as a proportion of the programme from 45% in 2011/12 to 15% in 2014/15 to allow more resources to be focused on more direct poverty reduction interventions.	£86,000
	The following programmes will no longer be implemented, with funds redirected towards higher priority new programmes: – Investment in Ministry of Health HR IT System (£4 million over four years) – Private Sector Regulatory Environment Programme (£2.5 million)	£0 £0
Further examples of Programme efficiency	Funding for the national AIDs response will be channelled through joint financing arrangements managed on our behalf by other donors. This should significantly reduce DFID's administrative burden (not yet quantified).	
	Funds to procure malaria prevention & treatment commodities will be channelled through USAID, ensuring faster procurement and programme management savings for DFID (not yet quantified).	

Administrative Cost * Savings Initiative	2011/12		2012/13		2013/14		2014/15	
	PAY £'000	Non Pay £'000	PAY £'000	Non Pay £'000	PAY £'000	Non Pay £'000	PAY £'000	Non Pay £'000
Reduction in Travel		8		1				
Reduction in Training								
Reduction in Estates and Property Costs		5						
Reduction in costs as a result of Office Restructuring	130	5	40	5				
Other Reductions **	10	27		24				
<b>Total</b>	<b>140</b>	<b>45</b>	<b>40</b>	<b>30</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

\*All savings are listed solely for the year in which they begin, although measures are such that the savings will persist over time.



## 5) Delivering Value for Money (VfM)

### VfM Strategy and Action Points for 2011-2015

To embed and improve VfM in the delivery of the Zambia programme we will ensure rigorous economic analysis of all programmes to inform all stages of the project cycle. To inform on-going VfM analysis we will ensure that all programmes have developed comprehensive M&E frameworks, including impact evaluation where appropriate. Concrete actions to be delivered by programme teams include:

- Ensuring that economic appraisals of all new programmes follow the strengthened guidance and are peer reviewed by the economics network.
- Reviewing economic appraisals of all existing programmes as part of the annual review process.
- Continue to develop procurement skills through internal peer review and development support from Procurement Group as necessary.
- Demand VfM from partners, especially on procurement with more systematic assessment of whether working through others represents better VfM
- Reducing fiduciary risk through periodic reviews of partners financial and reporting systems
- Ensuring that all partners (GRZ, NGOs, CSOs) use DFID funds appropriately and meet our admin criteria (e.g. using economy class travel only).

Informed by DFID's policy refresh we have designed a new approach to PRBS in Zambia that focuses more on results and VfM in dialogue and assessments of performance with funding aligned to delivery. Concrete actions delivered by the Inclusive Growth Team have included:

- Full economic appraisal of proposed new budget support programme completed in April 2011.
- Revised Performance Assessment Framework (PAF) for PRBS in Zambia developed in June 2011.
- Our PRBS and education SBS funding is tied to specific performance targets.

To help improve VfM and reduce risk of corruption around all public spending, including budget support, DFID will continue to lead in the area of public financial management with a particular focus on sectors that are central for delivering our results bid e.g. health and education. We will continue to engage with Government in Public Expenditure Reviews and Public Expenditure Tracking surveys. Concrete actions to be delivered by the Governance Team include:

- Support GRZ to develop a new PFM strategy to achieve better VfM inter alia through more competitive procurement and tighter controls.
- Design of a new programme of support to Public Financial Management Reforms to commence in January 2013.

We will continue to seek improvements in VfM around DFID's own operating costs by:

- pursuing the consolidation of our corporate services with those of UK Government partners in country.
- looking at whether services can be outsourced locally to the private sector, increasing our purchasing power through joint procurement with UK Government partners and maximising the use of UK Government owned accommodation for staff.
- regularly testing the market for local suppliers.

To embed VfM further into our day to day business we will seek to improve our skills, systems and structures. We will retain at least a significant level of economic advisory capacity which will have a major focus on providing VfM support to sector programme teams. We will enhance systems of peer review and economic and VfM analysis in programme design and reviews. We will continue to develop procurement and programme management skills across programme teams, thus improving our forecasting performance and ensuring that we are able to maintain VfM across our expanded portfolio .

### Key Challenges on VfM

The fundamental challenge in embedding VfM analysis remains limited data and evidence, due to weak statistical skills within Zambia and limited demand from policy makers and civil society. To mitigate this we will continue to support Zambia's Central Statistical Office to improve the availability and quality of national statistics. We will continue to work with the Ministry of Finance and National Planning to develop their ability to demand and make effective use of evidence in policy making. Also new programmes of support to civil society will be developed to increase economic advocacy and independent policy research.



## 6) Monitoring and Evaluation

### Monitoring

The operational plan and results framework will be monitored in full twice a year with the participation of senior management and all programme teams. Light touch assessments will also be carried out quarterly. A 2-3 page report summarising progress, successes and challenges, will be produced following the mid year review and a more detailed report, highlighting lessons learned, and addressing any adjustments to targets and risks, will be produced at the end of each year. This will include an assessment of progress against gender indicators.

All programmes will be monitored and reviewed regularly. Team work plans will include a timetable of activities to be completed each quarter to ensure progress is on track, and progress against team work plans will be monitored by senior management quarterly. Following each quarterly meeting, teams will revise their work plans to reflect any adjustments required for the following quarter. A short report of each meeting will be produced, identifying action points.

The Corporate Services team will conduct internal monitoring of service delivery to DFID staff and will provide data on key performance indicators quarterly.

### Evaluation

#### Evaluations underway:

- The Cash Transfer (CT) programme includes an impact evaluation. The base line survey has been completed and final outputs are expected in 2014. To ensure sustainable monitoring and lessons learning, the programme is also supporting the development of a management information system and improving operational skills in the Ministry of Community Development and Social Services.
- The evaluation of the Public Expenditure Management and Financial Accountability programme (PEMFA) was completed earlier this year and the findings will feed into future support to public financial management.

#### Planned evaluations:

- The CT evaluation will continue until 2014. Evaluations will also be conducted for a number of Governance programmes, including the Parliamentary Reform, Zambia Governance Fund, Anti-Corruption and Deepening Democracy programmes.
- In the wealth creation pillar, we will conduct an impact evaluation of the agriculture markets programme.
- Under the International Health Partnership maternal health programme there will be an evaluation in July 2011 of demand creation community activities results. An impact evaluation of the community health workers pilot will be completed by March 2013. Any new family planning and nutrition programme that is approved will incorporate an impact evaluation.
- Future support to address water and sanitation access will also include an evaluation (likely to be linked to nutrition).
- The overall proportion of our spend that is currently planned to be covered by an **independent evaluation stands at 42%** for the period of this plan. The figure for 2011/12 stands at 61%, falling to 31% in 2014/15. Figures for later years will rise as more of the programmes are designed in detail and plans for their evaluation are made more concrete.

### Building the tools and skills of partners

DFID Zambia is working with the Ministry of Finance and National Planning to support the development of the national monitoring and evaluation frameworks. We also plan to develop national ability to produce quality statistics needed for national planning and policy processes. Our support to the Zambia Institute for Policy Analysis and Research will also support the development of skills for research and use of evidence in economic policy making and planning processes.

There is limited capacity across partners to conduct evaluations and demand in Government is weak – we will proactively seek opportunities to develop demand and skills.



## 7) Transparency

**Transparency is one of the top priorities for the UK Government. We will ensure that we continue to meet our commitments under the UK Aid Transparency Guarantee including publishing detailed information about DFID projects, including programme documents. and we will provide opportunities for those directly affected by our projects to provide feedback**

Transparency is a key priority for DFID Zambia and we will implement a number of measures to meet our commitments under the UK Aid Transparency Guarantee.

We will ensure that the information we publish is of high quality and in plain English. A success criteria in performance management objectives, particularly for those staff involved in making payments and drafting project documents will be introduced to monitor this. We will also continue to employ good information management practices within the office, such as using clear naming conventions in our ARIES computer system, so that there is consistency across DFID Zambia projects and that this information can be easily understood by members of the public accessing the projects database.

We will increase the amount of information we share with our partners and members of the public by making communications materials such as programme fact sheets, case studies and core briefs more readily accessible in the reception area of our office and on our country website pages. This will help to demonstrate more clearly our objectives in Zambia and the results that are being achieved. This Operational Plan will be published to ensure that Zambians are able to understand our work and the results we are aiming for. It will only be published in English, rather than any of the seven major local languages, as English is the official national language and none of the local languages is spoken by a majority of the population.

Much of our work in building accountability will be geared towards building a climate of more disclosure of information by other public institutions and using this for more debate and challenge around public policy (e.g. via our economic advocacy programme). This will include working with Government to streamline and simplify public dissemination of the national budget as well as working to build the skills of Zambian civil society so that they can better use information to hold decision makers to account. We will also continue to work with our partners to be more transparent themselves in accounting to their constituencies on their decisions, results and use of resources.

We will continue to involve beneficiaries in the design, monitoring and evaluation of our programmes as this will provide useful feedback on what has and has not been successful. Specifically in the health sector, we will provide support to civil society to conduct “voices of the poor” user surveys to assess whether health services are meeting the needs of beneficiaries on the ground and to help us and other donors ascertain whether our central support to health is effective.

Our bilateral and multilateral partners are moving in the direction of greater openness and transparency and we will, through the Joint Assistance Strategy for Zambia, continue to work together to ensure that comprehensive and timely aid information is made available. We will also continue to support the Ministry of Finance to further develop its own Aid Information Management System so that information, particularly on aid flows, can be made more publicly accessible.



## 8) UK Human Rights Assessment

The UK recognises that the realisation of all human rights underpins sustainable development. Through its development programmes, the UK aims to support civil society and governments to build open economies and open societies in which citizens have freedom, dignity, choice and control over their lives, and institutions are accountable, inclusive and responsive.

### Human Rights Context

- **Economic and social rights:** Zambia ranks 163rd out of 187 countries in the 2012 Human Development Index. Zambia is on-track to meet the education, under-five mortality and HIV MDGs but is seriously off track on MDG 1 (Poverty): 60.5% of Zambians are below the national poverty line and 42.3% live in extreme poverty. Zambia is extremely unequal, with a consumption gini coefficient of 0.55, amongst the highest in the world. Only 13.2% of Zambians are unemployed (LCMS 2010) although 70% of Zambians are under employed (Labour Force Survey 2008).
- **Non-discrimination:** Zambia was placed 136 out of 148 in the 2012 Gender Inequality Index. Women and girls face high levels of domestic and sexual violence: 53% of girls in school experience some form of sexual harassment (DHS 2007); half of women feel that wife beating is justified under certain conditions (DHS 2007). While the Constitution protects the equal rights of men and women, it also allows the application of customary laws and cultural norms which are heavily biased towards men. Religious expression is largely respected. The law criminalises same sex sexual activity. Poverty is concentrated in rural areas where the proportion of people living under \$1 a day is 78%, in urban areas this is 27.5%.
- **Civil and political rights:** Zambia is rated 'partly free' by Freedom House. Civil and political rights are largely respected. Successful elections in 2011 produced a change of government. Freedom of assembly, expression and movement were respected. Excessive force by the police when arresting suspects and when policing protest remains a challenge and prolonged pre-trial detention is widespread (US Department of State 2011 human rights report). Prisons hold 16,670 inmates, far in excess of the 5,500 inmates they were designed to hold (Zambia Prisons Service 2011). The Universal Periodic Review reported in December 2012 and the Government accepted 91 of the 124 recommendations put forward, but rejected 33. Implementation of recommendations will be reviewed at the next UPR process (date to be confirmed).

### Direction of Travel:

- **Economic and social rights:** Progress on human and social development has been mixed. Zambia has seen some improvement in social and economic rights with net enrolment in primary education at around 93.7% in 2010, up from 70% in 1999. Incidence of malaria has fallen sharply to under 10%; HIV prevalence is now at 14%. Yet poverty remains stubbornly high: 42% are unable to meet even basic food needs (LCMS 2010).
- **Inequalities and women and girls' human rights:** There has been a lack of progress on empowering women, with violence against women persisting while girls and women's participation in decision-making remains low for instance the proportion of women in Parliament fell in the 2011 election.
- **Civil and political rights:** According to Freedom House (2013), respect for civil liberties has remained broadly constant since 1993, political rights have not changed since 2006. While there have been some recent police infringements on the right of political assembly, these have been successfully challenged in the courts. A new Constitution, including an updated Bill of Rights, is currently in draft and subject to consultation-

### DFID's Approach:

- The UK will continue to work closely with the Government, non-governmental organisations and international development partners to promote and safeguard human rights, including placing a strong focus on respecting human rights in the underlying principles governing aid to the Government.
- The UK along with other EU Member States, will continue biannual Article 8 dialogue with the government under the Cotonou Agreement.
- We target social and economic rights through our work to empower adolescent girls to have more control over decisions affecting them and to prevent gender based violence. Economic rights are targeted through programmes to strengthen rural markets and provide access to finance and social cash transfers. We will work with civil society, media houses and community radio stations to ensure that marginalised and rural citizens are given a platform for their voices to be heard. We will continue to work with Parliament to ensure that citizens' rights are captured in policy debates.



# Annex A: Revisions to Operational Plan 2013/14

Updates have been made to the Plan to ensure the accuracy of our programme spending numbers, operating costs and staffing figures. Financial Years 10/11 and 11/12 figures have been updated to show final outturn position, 12/13 to show provisional outturn, and 13/14 and 14/15 updated to show most recent plans set out in our departments' resource allocation round.

The Gender Annex has been re-drafted to reflect the new DFID-Z gender strategy.

The new Human Rights Assessment slide has been added..

We have updated results, and included the results progress annex. There are a number of changes to the OP headline results. Changes to expected targets are:

- Access to financial services has increased from 170,000 to 183,300 people
- Number of children under 5 and pregnant women reached through nutrition programmes has decreased from 2.1 to 1.9 million
- Number of people who vote in elections supported by DFID has decreased from 3.3 to 2.75 million
- PEFA (governance) score target still expects 6 indicators to improve, but now excludes the phrase 'and no indicator declines'.

An education indicator has been added to reflect our active status and the shift in funding from PRBS to Education Sector Budget Support.



## Annex B: Results Progress

Pillar/ Strategic Priority	Indicator	Baseline (include year)	Progress towards results (include year)	Expected Results (include year)
Wealth Creation	Number of men and women with access to regulated financial services (attributed to DFID support)	0 (2010)	Main program implementation just begun. 1,000 people provided with access to finance in 2012/13.	174,000 - of which 110,000 women (2014/15)
MDG (health)	Number of pregnant women and children under 5 sleeping under an insecticide treated bed net	0 (2010)	380,000 people sleeping under insecticide treated bed nets in 2012, due to DFID support	890,700 - of which 529,500 are women or girls (2014/15)
MDG (Health)	Number of additional women using modern methods of family planning through DFID support	0 (2010)	16,000 women access modern methods of contraception through DFID support (2012)	200,000 (2014/15)
MDG (poverty & hunger)	Number of people receiving DFID supported social cash transfers	8,300 (2009)	40,000 received social cash transfers - 30,000 women (2012)	57,400 - 47,600 women (2014/15)
MDG (Poverty & hunger)	Number of children under 5 and pregnant women reached by DFID's nutrition relevant programs	1.4 million (2010)	1.9 million people reached by DFID's nutrition relevant programs (2012)	2.1 million – of which 1.05 million girls (2012)
MDG (water and sanitation)	Number of additional people with sustainable access to improved sanitation facilities attributed to DFID	0 (2010)	320,000 provided with improved access to sanitation (2012)	3 million – of which 1.53 million women (2014/15)
Governance	Performance of public expenditure and financial accountability scores	N/A	3 scores improved, some declined (2012)	At least 6 scores improve
Governance	Number of people who vote in elections supported by DFID	1.79 million (2008)	2.8 million people voted in the 2011 elections	3.3 million (2011) of which 1.683 million women
MDG (Education)	Number of children supported by DFID in primary school	44,160 (2010)	30,000 children in primary school (2012)	75,400 – 37,700 girls (2013)

\* These results may not be directly aggregated with other country results due to different measurement methodologies





# Annex C: DFID Zambia Gender Strategy

## Context

Zambia ranked 136 out of 148 countries on the 2012 Gender Inequality Index with a score of 0.623. Gender discrimination and inequality affect all aspects of women's lives. Women and girls have lower social and economic status than men and are less likely to participate in national and local politics and decision making. This reflects limited educational and employment opportunities, access to productive resources and assets, autonomy and voice.

## Approach

DFID Zambia is committed to transforming the lives of women and girls. In order to assist us in achieving this, we will ensure that adolescent girls and women are at the heart of our strategies and interventions. As part of our commitment to gender, in 2011, we commissioned a Joint National Gender Sector Analysis with Irish Aid on behalf of the Cooperating Partner Group on Gender.. This identified:

the strategic issues facing women and girls in Zambia and recommended interventions to address the key constraints to gender equality.  
how we could work better with government and donors to develop a more effective response to address women and girls' empowerment.  
How we could help build the assets of women and girls, reduce gender based violence and improve health outcomes.

We also undertook a Gender Audit of DFID Zambia programmes and in 2012, we developed a Gender Strategy and commissioned a Cross-Programme Gender Evaluation of all our programmes. These efforts are helping us to refine our programme portfolio to make more efficient use of our programming resources to deliver positive and transformative change for women and girls.

We will achieve our objectives by working more closely with government, donors, international partners and civil society. In line with DFID Zambia's Gender Strategy, we will also work more closely with traditional leadership and community structures to help address the negative underlying social norms which prevent women and girls from claiming their rights and fully engaging in all levels of society.

Next slide: how DFID is Zambia demonstrating its commitment to improving development outcomes for women and girls:



## Annex C: DFID Zambia Gender Strategy (continued)

### Improving health outcomes for women and girls through

Reducing maternal mortality from 591 to 443 deaths in every 100,000 births

Providing 33,000 pregnant women with skilled birth attendants to help them deliver their babies

Doubling the number of pregnant women sleeping under treated mosquito nets (from 43% to 85%)

### Directly reducing poverty, hunger and vulnerability among women and girls through

Providing over 48,800 women with social cash transfers

Providing 100,000 pregnant women with iron-folic supplements in DFID programme areas

Reaching at least 215,000 pregnant & lactating women with nutrition interventions

### Giving women and girls greater control over their reproductive rights and assisting them to delay first pregnancy through:

Providing 200,000 women with access to modern contraceptives

Reaching out to adolescent girls with quality sexual and reproductive health services

Increasing the Contraception Prevalence Rate in our programme areas among women and girls from 20% to 29%

Scaling up voluntary couples HIV and family planning counselling services (this will avert an estimated 11,600 adult and 2,300 infant HIV infections)

Creating Zambia's first large scale network of safe spaces for 10,000 adolescent girls which will build their social networks, increase basic financial and health education, and provide them with access to formal savings accounts.

### Increasing the assets of women and girls through

Increasing access to finance to 195,000 women (by end of 2017)

Providing improved agricultural inputs and advice to 75,000 women

Creating an additional 16,000 full time jobs for women (by end of 2018)

Ensuring that 30% of land is allocated to women

Increasing the number of girls transitioning from primary to junior secondary and junior to senior secondary school from 60% to 90%

### Increasing leadership and decision-making potential of women and girls through:

Ensuring that 30% of councillors in nine districts in Zambia are women.

Ensuring that 30% of local associations' executive positions are held by women in nine target districts

Directly supporting 50 female candidates through a dedicated fund

### Supporting an anti – Gender Based Violence programme (STOP GBV). DFID contribution will result in:

3 new Co-ordinated Response Centres established enabling 7000 survivors of GBV to access integrated support services.

1,600 community and traditional leaders and 250 men trained as agents of change on GBV

1.6 million men women and children sensitised on GBV through radio

Supporting the Ministry of Gender and Child Development to implement gender-responsive policies, planning and budgeting