



Department  
for International  
Development

# **Operational Plan 2011-2016**

## **DFID Zambia**

Updated December 2014



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# Introduction

In 2013 the UK became the first G7 country to meet the United Nations target of spending 0.7% of gross national income on international development. The Department for International Development (DFID) uses that investment to help countries to lift themselves out of poverty and leave poverty behind. Operational plans set out to the public how we plan to deliver results across policy areas and for every country we work in. These plans clearly explain why, and how, DFID is targeting its resources and what we expect to achieve; covering the period up until March 2016.

DFID is focused on spending in the right ways, on the right things, in the right places. The portfolio of our projects is already shifting to deliver a more coherent, focused and ambitious approach to economic development. We are helping to build strong and investable business environments in developing countries and improving access to finance for entrepreneurs.

Improving the prospects for girls and women in developing countries is a priority. Investing in girls and women is the smart thing to do, as well as the right thing to do. By unleashing their potential, we see returns for girls and women themselves, their families and communities, and for their economies and countries. No country can successfully develop if it leaves half its population behind.

Life-saving humanitarian assistance remains one of DFID's most fundamental responsibilities. When disaster strikes or conflict erupts we are first on the ground to support the most vulnerable people. We are also increasing our efforts to help those countries that are at higher risk of natural disasters to become more resilient in the first place.

DFID continues to drive value for money in everything we do on behalf of the British taxpayer. We have improved our procurement and programme management, increased our internal audit oversight and we are ensuring that staff have the skills to deliver the Department's priorities.

On the international stage we are working hard to agree a new set of global development goals to replace the Millennium Development Goals when they expire next year. We are determined to secure a clear and inspiring set of goals for the post 2015 development framework that leave no one behind.

Increasingly we will take new and innovative approaches and we will work with new partners. This will include businesses who are increasingly major development players. During Secretary of State's time as co-chair of the Global Partnership for Effective Development Cooperation, DFID played a key role in encouraging different development actors to work together and use internationally agreed principles for aid and development effectiveness.

As our operational plans set out, our approach to international development is ambitious and innovative. We are determined to ensure that every pound DFID spends has the biggest possible impact on the ground. Ultimately by investing in developing countries, we can end aid dependency for good and build a better, more prosperous world for us all.

## Context

Zambia suffered 30 years of decline from the 1970s-1990s due to a collapse in copper prices, regional conflict, a one-party state and wholesale economic nationalisation. The 1990s brought multi-party democracy and painful structural adjustment which, along with intense donor support and debt relief, created the platform for a decade of 6% annual growth since the mid-2000s. Zambia has long been relatively stable and peaceful, with twenty years of elections that have been free and generally fair. Now Zambia's challenge is to translate growth and increased revenues into better development outcomes without losing the macro-economic discipline that has attracted \$1bn+ of investment annually into its \$24bn economy.

How has it fared in meeting this challenge? Urban poverty is down from 40% in 1996 to 26% in 2010. But 60% of Zambians live in rural areas, three quarters of them still in poverty. Access to basic services has expanded rapidly but a population half under 16 years and growing at 3% annually stretches demand and so service quality remains mediocre. Rural areas are expensive to reach and years of neglect will take time to fix. Thus Zambia ranks only 141 of 187 countries on the UN Human Development Index.

Why has Zambia's growth not benefitted most of the population? Growth is largely in sectors that are capital - not job - intensive, whilst most people still depend on subsistence agriculture. Many women and girls are trapped by social norms in poverty and inequality. Political authority is highly centralised and focused on the presidency. Multi-party elections have made rural voters more important, but until now they have been settled by populist patronage rather than better services. Corruption, and the risk of the misuse of government funds, remains significant. The government seems committed to tackling this and has brought some cases to court. State institutions for accountability are developing and civil society organisations are active but unfocused on holding the government to account.

What does the future hold? Growth prospects are good if Zambia makes the right choices. It can continue in a "low level equilibrium" with reasonable but not spectacular GDP growth of 6% per annum, and a growing gap between the poor and better off. Or it can achieve real poverty reduction with accelerated growth and the right policies. For the first time in a generation the government has significant discretionary (non-wage) development funds available. It now needs to deliver better value for money and be more accountable and responsive to its citizens. And it needs to rely less heavily on extractives and develop a sounder investment climate, a lower cost of doing business, better labour productivity and greater regional integration.

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 94% in 2012, up from 70% in 1999. The trend in children under five sleeping under a bed-net has sustainably increased from 7% in 2002 to 57% in 2014, while HIV prevalence is estimated at 13% in 2013. However, Zambia is seriously off track on MDG 1 (poverty): in 2010 around 60% of Zambians still lived in poverty with 42% unable to meet even basic food needs. Inequality remains very high. In 2014 only a quarter of children under two have a minimum acceptable diet and 40% of children under five are stunted, meaning that they are chronically undernourished. In recent years maternal and child mortality have improved with maternal mortality falling from 591 per 100,000 live births in 2007 to 398 in 2014<sup>1</sup>, while under-five child mortality has fallen from 197 per 1,000 live births in 1996 to 75 in 2014<sup>2</sup>. Zambia is off-track on MDG 7 (Environmental Sustainability); under half of rural Zambians have access to safe water and just over a quarter of households have access to adequate sanitation. There has been a lack of progress in empowering women: violence against women persists, and women and girls have little participation in decision-making. Women's rights to access and control of productive assets are limited, and the impacts of poverty on girls and women remain poorly understood and poorly captured in official statistics.

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<sup>1</sup> 2007 and preliminary 2013/14 DHS results

<sup>2</sup> 1996 and preliminary 2013/14 DHS results

## 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 improve the lives of the majority. With the right support and policy choices, Zambia can deliver real poverty reduction and achieve its vision to become a '*prosperous middle-income country by 2030*'. Zambian leaders are facing increased demands for change from a young, more educated population; an active civil society; and a growing private sector, in the context of competitive multi-party politics.

In response DFID is working with **the government of Zambia to improve its policies, systems and skills**, enabling Zambia to increase its tax take and use its resources to deliver better services. This includes **tackling corruption** and increasing government's **transparency and accountability** to its citizens.

Jobs and productivity are key binding constraints to Zambia's transition beyond aid and we have developed programmes to **remove the barriers to wealth creation and investment** to create a sustainable future. DFID is working with the government of Zambia and other donors to **empower girls and women** in order to make growth more inclusive and tackle inequality.

DFID also works directly to make progress towards **the most off-track MDGs**, including extreme poverty, gender, maternal mortality, sanitation and hygiene.

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

As the Zambian government's revenue has grown, we have moved out of general budget support and into more targeted support assisting specific reforms that will improve delivery in key sectors of the government and economy.

### Alignment to DFID and wider UK Government priorities

DFID Zambia has responded to HMG priorities of economic development, women and girls, and climate resilience. On economic development we are pulling in private sector investment and innovation to increase poor farmers' access to agricultural inputs; expanding access to finance; improving skills training and education; and using technical assistance and discussion with the government to improve the investment climate.

**Improving the lives of girls and women is central to our poverty reduction strategy:** we are helping to: deliver a 15-20% reduction in maternal deaths; increase family planning choices; provide better social protection and choice through cash transfers and a big push on nutrition; improve health and dignity through better sanitation; improve the quality of education, especially enabling more girls to access lower secondary education; and empower people 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** by reducing the vulnerability of the poor to shocks. Zambia is also the recipient of large-scale international climate change funding through the multilateral Pilot Programme for Climate Resilience and UN forestry facilities.

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. Zambia is generally aligned with UK foreign policy priorities and has played a progressive role in international peace keeping and trade negotiations.

## Results 2011/12-2015/16

**Headline results** (those with a \* directly attributable to DFID. In all other cases, DFID is contributing to the results)

Pillar/Strategic	Indicator	Baseline	Progress towards results (including year)	Expected (end year included)
Economic Development	Number of people with access to financial services as a result of DFID support*	0 (2010/11)	28,000 – of which 12,000 are women (2013/14)	174,000 – of which 110,000 are women (2014/15) 200,000 – of which 120,000 are women (2015/16)
Health	Number of pregnant women and children under five sleeping under an insecticide-treated bednet attributed to DFID*	0 (2010/11)	735,000 – of which 437,000 are women (2013/14)	890,700 – of which 529,500 are women or girls (2014/15) 575,000 – of which 325,000 are women or girls (2015/16)
	Number of additional women using modern methods of family planning through DFID support*	0 (2010/11)	No results as yet (still awaiting publication of the latest Demographic Health Survey)	200,000 (2014/15) 50,000 (2015/16)
Poverty and Hunger	Number of people receiving DFID-supported cash transfers (including public works employment)*	8,300 – of which 5,000 were women (2009/10)	35,000 – of which 29,000 were women (2013/14)	57,400 – of which 47,600 are women (2014/15) 55,000 – of which 45,000 are women (2015/16)
	Number of children under five and pregnant women reached through DFID's nutrition-relevant programmes*	1.4 million – of which 400,000 were girls (2010/11)	1.9 million – of which 964,000 were girls (2012/13)	2.1 million – of which 1.05 are girls (2012/13) 350,000 – of which 200,000 are girls (2015/16)
Water and Sanitation	Number of additional people with sustainable access to improved sanitation facilities attributed to DFID*	0 (2010/11)	549,000 – of which 1.683 million 278,172 are women (2013/14)	3.3 million – of which 1.53 million are women (2014/15) 1 million – of which 500,000 are women (2015/16)

Pillar/Strategic	Indicator	Baseline	Progress towards results (including year)	Expected (end year included)
Governance/Golden Thread	Performance of Public Expenditure and Financial Accountability (PEFA) scores	2008 PEFA assessment	4 indicators improved and 5 declined (2012/13)	At least six indicators improve (2012/13)
	Number of people who vote in elections supported by DFID	1.79 million (2008)	2.75 million – <i>of which 1.3 million are women</i> (2011/12)	3.3 million – <i>of which 1.683 million are women</i> (2011/12)
Education	Number of children supported by DFID in primary education*	55,000 (2010/11)	44,000 – <i>of which 22,000 are girls</i> (2011/12)	75,400 – <i>of which 37,700 are girls</i> (2014/15)  30,000 – <i>of which 14,000 are girls</i> (2015/16)
Women & Girls	Number of gender-based-violence survivors accessing appropriate support services	0 (2012/13)	4,000 women (2013/14)	13,000 women (2014/15)  15,000 women (2015/16)



## 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**, so 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 based on 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. Good information is available on poverty levels and the nutritional status of children in Zambia, and also strong evidence of the impact of cash transfers on poverty and nutrition from pilot programmes both within Zambia and regionally.
- There is relatively strong evidence on service-delivery improvement, 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 promote democracy, political rights, voice and accountability, and corruption. The government collects potentially useful data on perceptions of good governance but has been challenged 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 demonstrate the benefits for women and girls. A national M&E system, which should help fill this gap, is under development.

### Value for Money (VfM) rationale

- **VfM assessments will be made for each programme using cost-benefit and cost-effectiveness analyses.** Priority will be given to the programmes where VfM is best. Where there is limited evidence of 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 for ensuring robust appraisals and pilot phases, and for investing in strong monitoring and evaluation before launching in full. We are developing a VfM Assessment and Strategy to guide all of our VfM efforts. By mid-2015 all 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. The 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.

# Delivery and Resources

The 2014 Operational Plans include budget updates for financial years 2104/15 and 2015/16. In-country allocations have been determined based on the current context, and to reflect lessons learned and individual programme performance.

## Instruments of delivery

- We are using a mix of technical assistance, financial aid and policy dialogue, ensuring that each tool used is the best fit for the results we want to achieve. We will be **flexible, adjusting the way in which we work in the light of new evidence**. We closely monitor VfM from our partners and insist on complete accountability and fiduciary assurance.
- Our current portfolio consists of 24 programmes,. We will closely monitor the quality scores of our portfolio and maintain overall high performance by balancing smaller, riskier and more innovative work with larger, low-risk programmes.
- We are supporting a sustainable transition from aid, increasing the targeting of our financial support to government with greater technical assistance and policy dialogue. We will end our **General Budget Support** operations to government in 2014. General budget support has been an important tool, which has driven improvements in government services and accountability in the health, education, agriculture, water and infrastructure sectors. However, the doubling of government revenues in the last decade means we can now make a greater difference by supporting specific reforms in key areas such as education, health and PFM. We will maintain policy dialogue with the government around important issues: macro-economic management, PFM, human rights, accountability and service delivery.
- From 2013/14 to 2015/16 we are providing £37.5m of Sector Budget Support to education, with a focus on improving the quality of learning in schools, using the influence bought by our support.
- HMG experience can help open doors to dialogue with the government, building on our “trusted partner” status, long history of support and ability to work in the political sphere. Though the PEFA assessment in 2008 registered improvements in the majority of 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 the government’s PFM reform programme, which should further build confidence in its 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)
  - Aid delivered through **other bilateral donors** (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)
  - Non-Budget Support **financial 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)
  - 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 the government, other major donors and relevant NGOs and civil society organisations.

## **Multilateral Organisations**

- The bulk of our funding through multilaterals has gone 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 are mitigated by close engagement to expedite programming.
- We will collaborate with the relevant divisions in DFID headquarters to work for the 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.

## Planned Programme Spend

Pillar/Strategic	2011/12		2012/13		2013/14		2014/15		2015/16 (provisional*)
	Resource £'000	Capital £'000	Resource £'000	Capital £'000	Resource £'000	Capital £'000	Resource £'000	Capital £'000	Total Resource and Capital £000
Climate Change	197		209		81				
Education	3,250		5,548		17,247		11,480		
Global partnerships	5		187		493				
Governance and security	7,535		5,936		8,639		9,900		
Multiple Pillars	399		143		162				
Poverty, hunger and vulnerability	5,359		8,040		6,953		5,070		
Water and Sanitation	2,047		3,114		4,063		4,950		
Wealth Creation	3,582		6,607		7,260		9,620		
Health	20,953		24,031		21,725		18,580		
<b>Grand Totals</b>	<b>43,325</b>		<b>53,814</b>		<b>66,622</b>		<b>59,600</b>		<b>51,000</b>

\*Expenditure figures for 2015/16 are indicative. DFID works in a variety of challenging environments, including fragile and conflict affected areas. Humanitarian work is often reactive and can be scaled up or down. An element of flexibility within funding allocations is necessary to ensure that we can balance the need for long term planning alongside the ability to respond where necessary to changing requirements

## Planned Operating Costs

	2011/12	2012/13	2013/14	2014/15	2015/16 (provisional*)
	£'000	£'000	£'000	£'000	£'000
Frontline Delivery Costs - Pay	1,434	1,715	1,662	2,015	
Frontline Delivery Costs - Non Pay	422	441	727	520	
Administrative Costs - Pay	286	399	426	490	
Administrative Costs - Non Pay	118	-31	-15	10	
<b>Grand Totals</b>	<b>2,260</b>	<b>2,525</b>	<b>2,799</b>	<b>3,035</b>	<b>2,883</b>

\*Expenditure figures for 2015/16 are indicative. DFID works in a variety of challenging environments, including fragile and conflict affected areas. Humanitarian work is often reactive and can be scaled up or down. An element of flexibility within funding allocations is necessary to ensure that we can balance the need for long term planning alongside the ability to respond where necessary to changing requirements

\* We have increased value for money in corporate services through consolidation across DFID and FCO at post to avoid duplication; this has saved an estimated £383,000. We have also outsourced estates functions where possible, reduced the number of rented residential properties, consolidated telephone contracts and reduced the size of the vehicle fleet.

# Delivering Value for Money

Achieving value for money (VfM) is central to DFID Zambia's whole project cycle. The office has delivered on its Operational Plan 2011-2015 commitments to improve our approach to measuring and delivering VfM throughout the project cycle.

We have continued to ensure that a rigorous economic appraisal, including a cost-benefit analysis, is carried out for every project during its design phase. This means we fully understand the expected returns of the project compared to alternative uses of the funds. In annual reviews, where possible, we have returned to this model, and reassessed the project's VfM. In several cases this has drawn on the results of independent evaluations of the results achieved by the project. For example, for the annual review of the social cash transfer grant we drew on a full independent evaluation carried out by the American Institutes for Research to reassess the project's VfM – and found it to be very effective.

We have also improved our approach to VfM during delivery. Over the past year, the office's guidance on VfM in projects has been updated, and training made available to all programme staff. This guidance has been used as the basis for re-assessing the approach to VfM in all projects at the time of their annual reviews. In many cases this has led to improvements. For example, our Musika (agricultural markets) programme has reviewed its whole approach to VfM and developed a new set of indicators, which are included in its performance indicators. An economist in the office provides input to all annual reviews, to ensure that proposed VfM indicators are appropriate. All new programmes require VfM indicators to form part of performance-measurement systems.

Our VfM approach during delivery is showing results. For example, staff were able to negotiate significant cuts in the administrative budgets of the Stop Gender-Based Violence and Public Sector Performance programmes respectively. In the case of Stop Gender-Based Violence, these savings were sufficient to extend the programme into an extra district, and help many more affected women.

A range of our programmes are being delivered by contractors. For these contracts, we are now able to draw on a regionally-based DFID commercial adviser. During contract negotiation this has supported us to secure the best possible deal. During delivery, we are moving towards output-based contracts – where contractors are paid for delivery, rather than inputs. Contractors delivering our Private Enterprise Programmes and Financial Sector Development Programmes are both paid entirely on the basis of delivery. This aligns the incentives of the contractors to those of the people whom the programmes are intended to serve.

All annual reviews in DFID Zambia are presented to all programme staff. This ensures that the lessons from programmes are shared across the programme, and ideas from one project can be used for others.

We will continue to refine our approach to VfM, including by:

- Sharing lessons and learn about what is working in terms of delivering, through presenting all VfM assessments in annual reviews to programme staff across the office;
- Ensuring that all VfM sections in annual reviews are assessed by an economist;
- Running refresher training to ensure that staff have the skills to continuously drive VfM improvements. This will include developing procurement skills through internal peer review, and being given development support from the regional commercial adviser;
- Further developing our approaches to output-based contracting for complex programmes, to ensure they provide the correct incentives for delivery to service providers;
- Demanding 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, and;
- Ensuring that all partners (GRZ, NGOs, CSOs) use DFID funds appropriately and meet our administrative criteria (e.g. using economy-class travel only).

# 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 and will have an agreed clear delivery plan. Team work-plans and programme-risk matrices are reviewed three times a year to ensure progress is on track and risks are acceptable.
- The Corporate Services team will conduct internal monitoring of service delivery to DFID staff and will provide data on key performance indicators quarterly.

## Evaluation

- DFID Zambia has an active evaluation portfolio with evaluations (often innovative) covering over a third of our portfolio.
- Our Poverty Reduction Budget Support was evaluated as part of a major joint donor evaluation in 2011/12. This provided useful evidence for an area of major spend over the past decade. An additional evaluation of our Education Sector Budget Support is planned.
- In the human development field we have major evaluations planned in the areas of social protection, nutrition, educational skills improvement and human resources for health. The mid-term results from our social protection evaluation in 2013/14 clearly demonstrated the value for money of cash transfers in terms of nutrition, child well-being and poverty reduction. Based upon this evidence, the government of Zambia has committed to an 800% up-scaling of cash transfers across the country.
- On economic development, we are planning two evaluations: one on our Musika programme which is focused on helping agricultural markets work for the poor; and a second focusing on the work of AgDevCo which is focused on promoting agricultural extension (including for smallholders). This will ensure our enhanced economic development work-stream will have an improved evidence base.
- Evaluations will also take place for key areas of our governance portfolio, looking at issues such as accountability (including the effectiveness of social contracts), PFM and public sector performance. In addition, an evaluation is also planned on our work to empower adolescent girls in Zambia.

## Building capacity of partners

- DFID Zambia is working with the Ministry of Finance and National Planning and Cabinet Office to support improved Management Information Systems across six key-sector ministries. This work will improve the government of Zambia's ability to produce quality data needed for national planning and monitoring of service delivery and policy processes. We have also funded the development of Management Information Systems for the government's social cash transfers scheme. Our support to Zambian think-tanks 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 seek opportunities to develop demand and skills.

# Transparency

Transparency is one of the top priorities for the UK government. It helps people see where money is going and for what purpose. It helps improve value for money and makes governments everywhere more accountable to their citizens. DFID is a world leader in aid transparency and has an ambitious vision for both DFID and its partners. We will ensure that we play our part in continuing to work towards that vision – set out in a suite of commitments the Aid Transparency Guarantee (ATG), Aid Transparency Challenge (ATC) and DFID's Open Data Strategy.

## Actions to ensure DFID meets its commitments in the UK Aid Transparency Guarantee

We will take the following steps to meet our commitments under the UK Aid Transparency Guarantee.

### Publication of information

- We will ensure that all project documentation is published on the Development Tracker (<http://devtracker.dfid.gov.uk/search?query=Zambia>).
- We will ensure that all information in the public domain is comprehensive, accessible, accurate, timely and written in plain English.
- We will publish a summary of this Operational Plan and all project summaries.
- We will map our programmes so that we can visualise where our support is targeted.

### Supporting transparency in our work

- We will increase opportunities for those directly affected by our projects to provide feedback. We will ensure that the information we publish is of high quality and in plain English. We will also continue to employ good information management practices within the office, such as using clear naming conventions, so that there is consistency across DFID Zambia projects and 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.
- 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. 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 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.



## Annex A: Changes to Operational Plan

Page Number	Change made to operational Plan	Reason for change
3	New Headline Result added.	To capture DFID Zambia programming that specifically targets girls.
5	Context section updated	Updated in line with DFID analysis
6	Vision section updated	Updated in line with DFID analysis
7	Additional headline result on gender-based violence	Increased focus on women and girls
10	Evidence supporting results updated	General update especially on VfM
13	Delivery and resources updated	Updated to reflect ending of PRBS
15	Evaluation section updated	To reflect our full current portfolio of evaluations

# Annex B: Human Rights Assessment

## Human Rights Context

**Economic and social rights:** Zambia ranks 141 out of 187 countries in the 2014 UN Human Development Index. Zambia is on track to meet the education, under-five mortality and HIV Millennium Development Goals (MDGs), but is seriously off track on MDG 1 (Poverty). Sixty percent of Zambia's 13.2 million people (2010) live in poverty. Zambia is failing to achieve its health MDGs, partly because of the challenges of serving a geographically-dispersed population. The central challenge is to ensure that poor people benefit from Zambia's strong growth. Inequality is high and on current trends it will take until 2073 to reduce poverty to 15%.

**Non-discrimination:** Zambia was placed 135 out of 152 in the 2013 Gender Inequality Index. Women and girls face high levels of domestic and sexual violence: 53% of girls in school experience sexual harassment (DHS 2007) and 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. Zambia has never revised its colonial-era legislation on homosexuality. As a result, male gay sex is illegal, although lesbian sex is not directly criminalised. LGBT rights have become more of an issue in recent years, including several high-profile legal cases. Prior to his election, President Sata was vilified for a comment in which he appeared to be less reactionary on homosexuality than most politicians. The government has shown some commitment to improving the situation for the disabled. This has included ratifying the United Nations Convention on the Rights of Persons with Disabilities (UNCRPD), and passing into domestic law elements of the Convention in legislation on disability in 2012. It has recently significantly increased access to social protection to children living with disability. However, it could do more with disabled people who are facing discrimination across a range of services as well as social stigma. A 2014 study conducted by Human Rights Watch found that the disabled community faces significant barriers to HIV prevention, testing and treatment; and that few support programmes are accessible to them. The new draft Constitution, released by the government in October, would make most forms of discrimination unconstitutional (within a very broad definition that includes disability).

**Civil and political rights:** Zambia is rated 'partly free' by Freedom House. Civil and political rights are largely respected. 2011 elections led to a largely peaceful change of government. The Zambian government receives some internal criticism for restricting freedom of speech and assembly, but its actions have not been serious enough to stifle the active political debate, and the courts generally offer an effective check. Excessive force by the police when arresting suspects and when policing demonstrations remains a challenge, and prolonged pre-trial detention is widespread (US Department of State 2013 Human Rights Report). Overcrowding in prisons remains a serious problem although the Zambian Human Rights Commission has noted (2013) that the government is trying to address this through new prison infrastructure. Government and civil society engaged in the 2<sup>nd</sup> UN Universal Periodic Review in late 2012: major issues raised included measures to address violence against women, the rights of prisoners, minority rights and access to services. 93 recommendations were accepted, including on prison conditions, rights to health and education, and freedom of information; 33 were rejected, including on marital rape, same-sex relationships and the death penalty. While the death penalty remains on the statute books, no execution has been carried out since 1997.

## 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, particularly education and some health issues. Net enrolment in primary education was around 93.6% in 2011, up from 70% in 1999. The incidence of malaria has fallen sharply to under 10% and HIV prevalence is down to 14%. However, poverty remains stubbornly high: 42% are unable to meet even basic food needs (Living Conditions Monitoring Survey 2010).

**Inequalities and women and girls' human rights:** There has been little progress in empowering women. Levels of violence against women remain high, while girls and women's participation in decision-making remains low - the proportion of women in Parliament fell to only 17 out of 150 seats at the 2011 election.

**Civil and political rights:** Zambia was downgraded to 'Not Free' by Freedom House in its 2014 report on the state of the media globally. Justification for this included increased government harassment of independent news outlets and journalists, blocking of opposition websites (since ceased), and politicised decisions on broadcast licences. However, the increasing number of community radio stations (which dwarf newspapers in

terms of reach) and the continued growth of social media are providing a growing diversity of content and news. While there continue to be police infringements on the right of political assembly, these are regularly 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**

We will continue to engage in dialogue with government around human rights. The UK, along with other EU Member States, will undertake 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 through our programme 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 minorities, marginalised and rural citizens are given a platform from which their voices can be heard. We will look to support consultation on the new draft Constitution and, should its progressive approach be retained, the process for its adoption and implementation. We continue to work with Parliament and the media to ensure that citizens' rights are captured in policy debates and new legislation.





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