

**UNITED NATIONS DEVELOPMENT PROGRAMME/
UNITED NATIONS CAPITAL DEVELOPMENT FUND**

**DISTRICT DEVELOPMENT PLANNING AND IMPLEMENTATION PROJECT
(DDP) IN EASTERN PROVINCE OF ZAMBIA**

**JOINT
MID-TERM EVALUATION**

FINAL REPORT

AUGUST 2000

LIST OF ABBREVIATIONS

ADC	AREA DEVELOPMENT COMMITTEE
CBO	COMMUNITY BASED ORGANISATION
CMU	CONTRACT MANAGEMENT UNIT
CPPA	COMMUNITY PARTICIPATORY PLANNING ADVISOR
CRP	CHIEF REGIONAL PLANNER
CS	COUNCIL SECRETARY
DA	DISTRICT ADMINISTRATOR
DC	DISTRICT COUNCIL
DDCC	DISTRICT DEVELOPMENT COORDINATING COMMITTEE
DDF	DISTRICT DEVELOPMENT FUND
DDP	DISTRICT DEVELOPMENT PLANNING AND IMPLEMENTATION PROJECT
DISS	DEPARTMENT OF INFRASTRUCTURE AND SUPPORT SERVICES
DoW	DIRECTOR OF WORKS
DPIA	DISTRICT PLANNING AND IMPLEMENTATION ADVISOR
DPO	DISTRICT PLANNING OFFICER
DPPH	DEPARTMENT OF PHYSICAL PLANNING AND HOUSING
FMA	FINANCIAL MANAGEMENT ADVISOR
FRP	FEEDER ROADS PROJECT
GRZ	GOVERNMENT OF THE REPUBLIC OF ZAMBIA
GTZ	DEUTSCHE GESELLSCHAFT FUR TECHNISCHE ZUSAMMENARBEIT
IPF	INDICATIVE PLANNING FIGURES
LA	LOCAL AUTHORITY
LDF	LOCAL DEVELOPMENT FUND
LOGOSP	LOCAL GOVERNMENT SUPPORT PROJECT
MC	MINIMUM CONDITIONS
MLGH	MINISTRY OF LOCAL GOVERNMENT AND HOUSING
MMD	MOVEMENT FOR MULTIPARTY DEMOCRACY
MTE	MID TERM EVALUATION
NCC	NATIONAL CONSULTATIVE COMMITTEE
NGO	NON GOVERNMENTAL ORGANISATION
NRE	NATIONAL ROADS ENGINEER
PAC	PROVINCIAL ASSESSMENT COMMITTEE
PDCC	PROVINCIAL DEVELOPMENT COORDINATION COMMITTEE
PI	PERFORMANCE INDICATORS
PLGFA	PROVINCIAL LOCAL GOVERNMENT FINANCIAL ADVISOR
PLGO	PROVINCIAL LOCAL GOVERNMENT OFFICER
PM	PROJECT MANAGER
PPM	PROJECT PLANNING MATRIX
PPS	PROVINCIAL PERMANENT SECRETARY
PPU	PROVINCIAL PLANNING UNIT
PS	PERMANENT SECRETARY
PSD	PROGRAMME SUPPORT DOCUMENT
PSRP	PUBLIC SECTOR REFORM PROGRAMME
PSU	PROJECT SUPPORT UNIT
RTA	REGIONAL TECHNICAL ADVISOR
SNV	NETHERLANDS DEVELOPMENT ORGANISATION
TA	TECHNICAL ADVISOR
TC	TOWN CLERK
TO	TECHNICAL OFFICER
UNCDF	UNITED NATIONS CAPITAL DEVELOPMENT FUND
UNDP	UNITED NATIONS DEVELOPMENT PROGRAMME
VNG	ASSOCIATION OF NETHERLANDS MUNICIPALITIES
ZAMSIF	ZAMBIA SOCIAL INVESTMENT FUND

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UNITED NATIONS CAPITAL DEVELOPMENT FUND

MID-TERM EVALUATION

I. Basic Project Data:

<u>Country:</u> Zambia	<u>Total Project Cost:</u>	US\$ 5,324,090
<u>Project Number:</u> (UNDP) ZAM/93/005 (UNCDF) ZAM/93/C01	<u>Financing: (At time of Project Agreement)</u>	
	Government:	US\$ 250,000
	UNDP:	US\$ 1,710,000
	UNCDF:	US\$ 2,764,090
	VNG :	US\$ 600,000
<u>Project Title:</u> District Development Planning and Implementation in Eastern Province	<u>Financing (Revised):</u>	
	Government:	US\$ 250,000
	UNDP:	US\$ 1,483,701
	UNCDF:	US\$ 2,880,838
	VNG:	US\$ 375,000
<u>Sector:</u> Development Strategies, Policies and Planning (0210)	<u>Actual disbursements:</u>	
	GRZ	US\$ 125,000
	UNDP	US\$ 697,353
	UNCDF	US\$ 1,050,337
	VNG	US\$
<u>Sub-sector:</u> Integrated Rural Development	<u>Approval Date:</u>	21.11.95
	<u>Starting Date:</u>	1995
<u>Government Executing Agency:</u> Ministry of Local Government and Housing	<u>Completion Date:</u>	2001
	<u>Evaluation Date:</u>	2000
<u>United Nations Cooperating Agency:</u>		

I FACTUAL PRESENTATION OF INFORMATION NECESSARY FOR PROJECT EVALUATION

SECTION A: DETAILED PRESENTATION OF PROJECT AS ORIGINALLY DESIGNED

1.0 Evaluation Tasks pertaining to the original Project Design

1.1 The country and the sector, including a summary of the pre-project situation in the project area;

Zambia is a landlocked country in Central Africa that shares borders with eight countries: Zimbabwe, Botswana and Namibia to the south and south east, Tanzania and Malawi to the north east and east, Mozambique to the south east and Democratic Republic of Congo to the north and Angola to the west. It has a total land area of 752,614 square kilometres half of which are covered with forests. Zambia has a population of 9.7 million and an average annual growth rate of 2.6 per cent. The country is divided into nine (9) provinces, each province has a majority population that is rural. The country has a high dependency ratio with nearly 50 percent of the population below 15 years of age.

By the signing of the District Development Planning and Implementation project (DDP) in 1995, the Zambian economy had slowed down after improvements from 1991 up to 1993. Agriculture and manufacturing were the two largest economic sectors with mining a distant third. The country's per capita income declined by 55 percent from US\$650 in 1980 to US\$250 in 1993 and increased to US\$330 in 1998. GDP growth rate has been a result of deliberate policies of the new MMD government to usher in market reforms and significant changes in rural development policies inclusive of decentralisation and private sector promotion. The latter was considered as the engine of economic growth. Throughout the 1990s government has promoted public service reform programmes that aim to reduce the role of government in service delivery to locally elected governments. Zambia is relatively urbanised (44percent) compared to the average for Sub-Saharan Africa (33 percent). Life expectancy is 43 years with an infant mortality rate as high as 113 deaths per 1000 live births. Poverty levels are high with sixty-eight per cent of its population living below the national poverty line.

Prior to 1980, there were four types of local authorities, city and municipal councils, township councils and rural councils. On the Central Government side, there was district administration headed by the District Governor as political head of the district. There were also line Ministries. The District Governor assisted by a civil servant, the District Secretary, was responsible for the co-ordination of the functions of all ministries.

The reforms of 1980 established an integrated system of local administration. This entailed the abolition of the posts of Town Clerk, Council Secretary and the creation instead of the post of District Executive Secretary to be the head of the council administration. The posts of mayor or council chairman were abolished. The District Executive Secretary became a public servant appointed by the Public Service Commission and in charge of all council staff and staff formerly under the District Secretary. He took over the functions of the former District Secretary and supervised all government institutions and parastatals in the district.

All councils regardless of status were restructured and called District Councils. These comprised, among others, of elected councillors as ward chairmen and political leaders of the only political party (UNIP), Members of Parliament, Defence and Security Chiefs at the district level, Trade Union Leaders, and a number of political leaders. The District Governor chaired the council. There was also a policy committee called the District Committee. It discussed issues and recommended decisions to council. The operation of the council was much the same as before; Council committee, Sub committee meetings dealing with policy and execution by officials. This arrangement was highly politicised, inefficient, under-funded and generally unfocused.

In 1991 new reforms followed the election to power of a new MMD government. The Local Government Act of 1991 was passed establishing a structure of the council similar to that existing prior to 1980 (See Table 2 below). At the council level, members of parliament continued to sit on council. Cabinet passed the Public Service Reform Programme (PSRP) in March 1993, with a part on local government focusing on:

- Greater authority to local authorities,
- Democracy, governance and accountability,
- Revised functions of the MLGH to focus on policy guidance and co-ordination.
- Strengthening the office of the Provincial Local Government Officer, to support local authorities,
- New district based planning and management system for more efficient government, accounting and budgeting procedures, and
- Strengthening local government training institutions.

A Cabinet Office circular of January 1995 established at the district, provincial and national levels co-ordination mechanisms of the District Development Co-ordination Committee (DDCC), the Provincial Development Co-ordination Committee (PDCC) and the National Development Co-ordination Committee (NDCC). The Town Clerk or Council Secretary chaired the DDCC at the district level. Its function was to consider proposals from technical officers from line ministries, NGOs and the local authority itself.

The Eastern Province is one of the nine provinces in the country. It holds approximately 10 percent of Zambia's land area and 12.5 percent of its population. The province has eight administrative districts. The province has a Provincial Permanent Secretary (PPS) heading the provincial administration who chairs the PDCC. The Ministry of Local Government is headed by a PLGO with the main function to supervise local authorities in the province.

1.2 The main components of the project design,

The project had two main components: capacity building component and the district development fund. The capacity building component had two main sub-components. The first sub-component involved the capacity building of the Provincial Planning Unit (PPU) in three areas: provincial level development planning, district level development planning, and community level participatory planning. The PPU would in turn be able to achieve the following activities:

- a) Provide information and guidance to district planners;
- b) Assess and prepare inventory of existing infrastructures and their use;
- c) Formulate long and medium term development plans;
- d) Ensure the application of project selection criteria based on local needs, the policies of sectoral ministries and donor priorities;
- e) Train district planning staff and monitor district planning activities; and
- f) Advising PPS and PLGO on planning matters.

The second sub component of the capacity building component involved the capacity building of district councils (DC). This would be achieved through the training of key personnel and through work in the field. The training involved District Planning Officers (DPOs) and Directors of Engineering (DoW), town clerk and council secretaries and treasurers. The latter would be capacitated through an agreement with the Association of Netherlands Authorities (VNG). Key personnel of major NGOs and CBOs involved with community projects. The sub component also involved community participatory planning and the execution of development projects by communities.

The second component of the DDP included the District Development Fund (DDF) which made available funds to the 3 then 8 Councils for their own projects and for their communities. Two million dollars were made available under this facility. Forty percent of these funds were for council projects that had a potential to generate revenue for the council. The other sixty percent was earmarked for community identified projects. An elaborate planning, project selection criteria and implementation were laid out in the project document. The Provincial Development Co-ordinating Committee (PDCC) was tasked with responsibility to determine allocation criteria among the recipient districts, how much

would each district get. The District Development Co-ordinating Committees (DDCCs) were assigned the responsibility to advise the District and municipal Councils.

1.3 The project rationale;

The underlying rationale of the project is sustainable human development through the strengthening of the technical capacity of local governments and through providing them with much needed financial resources. Such an objective could be achieved through greater decentralisation of key line ministries and the strengthening of local governments. The implementation of the DDP would help government in achieving that goal. The Eastern Province DDP would pilot for the GRZ the feasibility and potential of building the capacity of local authorities to plan and implement development programmes.

1.4 The project's development and immediate objectives;

Development Objective

The broad development objective of the DDP is to improve the living conditions of the population in rural parts of Eastern Province. This objective would be achieved by increasing the availability of and access to social infrastructure and services such as health, education, water and sanitation and by increasing productive potential through improvement of economic infrastructure such as access roads, crop storage and marketing facilities. The project was designed to assist MLGH in achieving its aims for decentralisation under the PSRP, by training staff at provincial and district levels, helping to develop systems of participatory planning and increase the capacity of districts to implement development projects and raise their own revenue to sustain their efforts.

Immediate objectives:

The specific and immediate original objectives of the DDP were as follows:

- a) Provide training to all PPU staff to be able to assist districts in participatory planning techniques;
- b) Provide training to PPU staff on decentralised planning and through field exercises to produce medium term plans
- c) Carry out baseline surveys of social and economic conditions and inventory work of existing infrastructure
- d) Provide training to all DPOs and DoWs in order to strengthen the capacity of District Councils to manage local development processes;
- e) Introduce participatory planning to all districts
- f) Involve communities in participatory planning process and provide training on participatory planning to NGOs and CBOs
- g) Set up DDF for financing small scale infrastructure projects in Lundazi, Chipata, and Petauke districts

1.5 Project inputs

Project inputs were to be provided by four main players excluding the local authorities themselves and their communities. Inputs included mainly financial resources, technical assistance, equipment and materials.

The four key players were the Government of the Republic of Zambia (GRZ), UNDP, UNCDF and Association of Netherlands Authorities (VNG).

The GRZ was expected to provide US\$250,000 mainly pertaining to the costs of government personnel and supporting staff, office premises, housing for supporting staff, salaries for District Planning Officers (initially for 3 districts, Petauke, Chipata and Lundazi), 3 Directors of Works for the three councils. These figures were later revised to include the other five districts.

UNDP support was for funding the technical assistance and training costs.. In the original project documents, only two Technical Assistance personnel, the District Planning and Implementation Advisor (DPIA) and Community Participatory Planning Advisor (CPPA) and support staff (two drivers, Finance Administrative Assistant and secretary were planned for.

UNCDF would provide capital assistance for the procurement of all equipment and to cover the cost of DDF.

A separate agreement was signed between the GRZ and VNG that bound UNCDF through UNDP to pay honoraria expert services to VNG on a cost-sharing basis. VNG assistance would be provided at the request of GRZ. VNG would provide technical assistance to strengthen the capacity of the Treasury Departments and to increase the competence of the District Council Administration. VNG would pay for internship training in the Netherlands of Eastern Province Council personnel. VNG input would focus on Treasury Departments with attention on :

- Budgeting and costing
- Production of financial management information
- Means to collect and raise revenue
- Control of income and expenditure against estimated targets
- Drafting realistic revenue forecasts and production of financial reports
- Policy issues in particular relating to loss making public enterprises.

In general administration, VNG inputs would focus on

- Local government laws and regulations
- Contracts management
- District council organisation and committee system
- Council standing orders, by-laws and public relations.

1.6 Activities

Project activities were in two main groups. The first involved those activities at the provincial level by the DPIA, CPPA and the PPU. These activities included training, planning and disbursement of funds as well as monitoring and evaluation of the project. At the district level, the activities included training, planning, implementation, monitoring and evaluation.

1.7 Expected outputs

The expected outputs of the project included the following:

- a) Adequately trained PPU staff including CRP, Principal Regional Planner, Senior Regional Planners (2), Regional Planners(2) familiar with decentralised and participatory development planning;
- b) Adequately trained DPOs(8), and DoWs (8);
- c) Adequately trained NGOs and CBOs in all districts
- d) Adequately trained treasurers (8) and supporting staff;
- e) One provincial and seven district development plans;
- f) A functioning District Development Fund;
- g) Approximately 120 community identified micro projects, rehabilitated or newly constructed in Lundazi, Chipata and Petauke Districts at US\$10,000 each for a total cost of US\$1,2 million (This was later changed to all the eight districts but amounts did not change).
- h) Approximately 25 district identified micro projects in the same districts at US\$30,000 each for a total of US\$800,000.

1.8 Implementation Arrangements

The MLGH would be the Government of Zambia's Executing Agency, the designated authority representing the government with the responsibility for the project. The PPU and the staff of the District Councils would bear responsibilities for implementation of project activities. The Provincial Local Government Officer (PLGO) would be the executing agency on behalf of MLGH in the Eastern Province. The DPIA and CPPA would be located in the PPU office but accountable to the PLGO and PPU. The DPIA and the CPPA would be accountable to the UNDP country office in Lusaka. The PPU would be responsible for the appropriate use of the GRZ funds contribution. The UNDP would be accountable for contracting personnel and make payments of the UNDP and UNCDF contributions. UNCDF would field regular monitoring and technical review missions.

Technical assistance by VNG would be extended to Treasury Departments in all the districts in the province. One treasurer and several support staff would be the target for training. The support would be triggered by government requests and would be used in provision of short term advisory missions.

1.9 Costs and Financing

Funding for the project would be through four main sources. The Government of the Republic of Zambia would be responsible for local costs of the project through government personnel and supporting staff, office premises and the appointment and running costs for DoW and DPOs of councils. This would total an amount of US\$250,000. The Technical Assistance and training costs would be borne by the UNDP to the tune of US\$1,71 million much of which would be spent for the technical assistance and support staff. The DDF would be provided by the UNCDF totalling US \$2.0 million. In addition UNCDF funding would also be used for capital equipment i.e. vehicles for the Technical Assistance and for the local authorities, computer equipment and for running costs. VNG would contribute a total of US\$600,000.

Problem areas

The role of the MLGH at the national level was not clearly stipulated. There was an assumption that the management of the project lay with the PLGO. The project document did not identify linkages with the Feeder Road Programme also funded by UNCDF and ILO. The assumption was that the DPIA and CPPA were expatriates who were directly accountable to the UNDP office.

The summarised financing plan was as follows:

Source	Foreign Exchange	Local Currency	Total	Share (%)
GRZ	0	250,000	250,000	4.7
VNG	600,000	0	600,000	11.3
UNDP	1,710,000	0	1,710,000	32.1
UNCDF	2,764,090	0	2,764,090	51.9
Total	5,324,090	250,000	5,324,090	100.0

1.10 Plan Of Operations

The DDP would be completed within a period of five years and training was to be commenced soon after the signing of the agreement in November 1995. Procurement was scheduled to commence immediately before the appointment of technical assistance personnel, the District Planning and Implementation Advisor (DPIA), and the Community Participatory Planning Advisor (CPPA), in order to facilitate their commencement of work. These two together with the PPU would promote participatory and decentralised planning and the concept of the DDF in close partnership with other agencies already operating in the Eastern Province. Training of DPOs, DoWs, NGOs and CBOs would then follow with field exercises to ensure good practice. Specialists from the Association of Netherlands Municipalities (VNG) would carry out training of the treasurers and support staff. It was expected that during the first year the first group of DDF projects would be approved for implementation. The DPIA and CPPA would prepare an action plan. The Provincial Development

Co-ordinating Committee was tasked with the responsibility to approve fund allocation for district level public projects and the DDCC would approve both district level and community level projects.

1.11 Monitoring and Evaluation plan

Monitoring of the project was scheduled to be through the following mechanisms:

- a) Internal reports;
- b) Annual tripartite reviews (UNDP, GRZ and UNCDF);
- c) Periodical technical review missions
- d) Independent evaluations.

Successful evaluations would only succeed if there were proper baseline surveys indicating existing infrastructures and inventory work. Impact indicators would be integrated in project reporting and in all monitoring and evaluation activities.

1.12 Risks identified at the design stage.

A number of risks were identified at the design stage of the project.

1. Risks regarding community interests
 - 1.1. The interest of the communities to continue to participate was dependent on the perceived benefits they will gain and the efficiency in project implementation
 - 1.2. Delays in training and identifying appraising and approving micro projects will discourage the active participation of the communities and therefore should be avoided as much as possible.
2. Successful implementation of decentralised decision making is very much dependent on local government organisation being adequate in terms of human and financial resources to co-ordinate and support development activities and provide services and infrastructure. Continuous commitment to decentralisation process from central government not only political but also financial commitment is of critical importance.
 - 2.1. Transfer of financial resources from central to local government levels for operation and maintenance of certain facilities and equipment will be needed for staff, personnel for projects.
3. Sustainability of project benefits including those of community generated micro projects will to a large extent depend on the operation and maintenance arrangements of those projects. User groups in place and aware of their responsibilities.
4. The effort to monitor and update development progress needs to be strengthened otherwise the development process will become a stop-and-go process and fragmented

SECTION B: PRESENT STATUS OF DEFINITION OF OBJECTIVES

1) Project Objectives and Project Documents

1.1 Status

This evaluation was given the task to conduct a mid term evaluation for project for the UNCDF/UNDP District Development Planning and Implementation in Eastern Province (UNDP ZAM/93/005 UNCDF ZAM/93/001). In the context of this evaluation the MT Evaluation Team began with an assessment of the current status of the project document objectives. When reviewed it was discovered that, in fact, the project was no longer operating strictly under the original project objectives.

The operational objectives currently being followed by the project are from the UNDP Program Support Document (ZAM/97/012/A/01/98). The project conducted a planning meeting in December 1999 to consolidate their direction and selected the PSD Eight Interventions as the guiding direction for the project. There is now a Project Management Matrix outlining the eight interventions and outputs for 1999-2001 (Annex 10).

1.2 Assessment of Project Implementation and Findings

1993 project document were clearly defined and established. (See table below). At the same time, since the project has been in operation since 1996, much has changed in Zambia and in the project situation. Working in the context of a pilot activity, the project staff therefore continually assessed their working environment and modified their direction based on that. Consequently, the objectives changed over time.

Some of the environment/condition changes included:

- Removal of the PPU, the project counterpart institution, from the province to the MLGH
- Lack of the anticipated decentralisation policy
- Change in project staff

Some of these lessons that required revision of the project direction included:

- Need for a community based planning and decision making body.
- Need for greater accountability and responsibility of the councils in planning and financial management
- Need for greater emphasis on up streaming the lessons being learned so that policy could be more effectively informed.

Consequently, the project objectives were revised in March 1999 and as reflected in column two of Table 1. Unfortunately, the change of objectives was not accompanied by any additional funds to support the revised direction. The project is de facto operating under the unsigned Project Document (1999) objectives without resources to match. Column three of Table 1 shows the objectives as per signed UNDP PSD of 1998 that should complement the unsigned document for the collaborative efforts.

The resulting confusion was based on the absence of a clear, signed, legal mandate to support the second phase of the UNCDF efforts. There is a document, there are objectives, but the document has not been signed. Without the necessary signatures and legal mandate, no funds have been released, thus preventing the project staff from implementing any of the objectives outlined in the re-formulated project. (Column 2 of Table 1).

The staff, without clear direction from UNCDF and recognising the changing environment, reverted to the UNDP Program Support Document which included a separate set of directives which can be

found in column three of the table below. The project staff felt that these objectives more adequately reflected their needs and vision and they came up with the following seven interventions.

1. The provision of Financial and Material Resources to the Local Authorities, the Private sector and the communities
2. Building the Capacities of the local authorities, the private sector and the communities for improved service delivery.
3. Establishing and strengthening institutions that promote good governance, accountability and transparency at both the district and sub-district levels.
4. Institutionalisation of local government systems, practices and procedures.
5. Development and promotion of local labour –based contractors
6. Development and promotion of a communication system that is sensitive to the needs of the, Project, the Local Authorities and the communities.
7. Development and implementation of an effective financial management systems in local authorities which are responsive to the needs of the communities.

With careful review, it is obvious that the basic direction of the project never changed. The focus remained on poverty alleviation in Eastern Province. The immediate objectives were altered to reflect altered circumstances.

The project objectives have gone through many mutations due to the changing circumstances, conditions around the project, staff and documentation. At the same time, the staff however does not seem to be using the project objectives as a clear road map and tool for monitoring and evaluation. As the manager pointed out, “a large part of the DDP was not designed but evolved”.

This realisation left the MTE mission with a dilemma – which set of objectives to reviewed! In the end, it was decided that the evaluation would focus on the key elements of the combined objectives. This would allow for a thorough review of the most important factors and the critical issues - affecting the development objectives.

The key areas selected included:

Section A: Project Implementation Performance and Potential Impact

1. Decentralisation policy and Policy Environment
2. Increased Capacity to Support Decentralisation
3. Establishment of Inclusive Decentralised Planning System
4. Increased Capability for Financial Management and Accountability

Section B: Critical Issues

5. Sustainability, Exit Strategy and Replicability
6. Technical Backstopping
7. Gender
8. The Communication Strategy
9. Monitoring and Evaluation
10. Project Management and Reporting

Section C: Project Preparation and Design

Section D: Relevance and Effectiveness

Section E: Overall Recommendations and Conclusions

A. Table 1: Objectives and Documents in the DDP

<p>UNDP ZAM/93/005 and UNCDF ZAM/93/001 District Development Planning and Implementation in Eastern Province</p>	<p>ZAM/99/C01: Support to Decentralisation and Local Government in Zambia ZAM/99/C01</p>	<p>UNDP PSD: Governance: Public Sector restructuring, Decentralisation and Local Governance executing agency, Ministry of Legal Affairs, ZAM/97/012/A/01/98</p>
<p>Development Objective: Improve the living conditions and welfare of the population in rural parts of Easter Province</p>	<p>Development Objective: Poverty Alleviation through national decentralised development</p>	<p>Development Objective Promotion of sustainable human development and poverty eradication</p>
<p>Immediate Objectives:</p> <ol style="list-style-type: none"> 1. Provide training to all Provincial Planning Unit (PPU) staff so that they can assist the district in introducing and implementing participatory planning techniques 2. Provide training to PPU staff on decentralised planning and through field exercises, produce a medium term provincial development plan 3. Carry out baseline surveys of social and economic conditions and inventory work of existing infrastructures in order to provide bases for both provincial and district planning and for monitoring and evaluation of project impact 4. Provide training to all DPOs and DoWs to strengthen capacity of DCs and enable them to manage the local development process 5. Introduce participatory planning to all districts and produce district development plans through training and field exercises. 6. Involve communities in participatory planning process and provide training on participatory planning to NGOs and CBOs 7. Set up DDF for financing small scale infrastructure projects in Lundazi, Chipata and Petauke. <p>Outputs</p> <ol style="list-style-type: none"> 1. Adequately trained PPU staff: CRP, PRP, SRP(2), RP(2) familiar with participatory decentralised development planning 2. Adequately trained DPOs, and DoWs 3. Adequately trained NGOs and CBOs 4. Adequately trained treasurers and supporting staff in all districts 5. One provincial and seven district plans 6. A functioning DDF 7. Approximately 120 community identified micro projects in Lundazi, Chipata, and Petauke 8. Approximately 25 district identified micro projects in each of the same districts (US\$30000 each) 	<p>Immediate Objectives</p> <ol style="list-style-type: none"> 1. Contribution to the development of the national decentralisation policy and implementation process. 2. Capacity of district councils developed to produce sustainable infrastructure using decentralised fiscal transfers of discretionary and conditional grants, participatory development planning and localised production arrangement in Eastern Province. <p>Outputs</p> <ol style="list-style-type: none"> 1. Capacity of the eight District Councils in Eastern Province developed through more efficient transparent and accountable management and administration, human resource management, revenue mobilisation, financial management and fiscal decentralisation, leadership and democratic accountability and partnerships between councils and private sector/NGOs for the effective mobilisation of the district resources. 2. Institutionalisation of Inclusive Local Government Planning System in eight DCs of EP 3. Operational capacity developed for the localised production of district and community based infrastructure using labour-based technology where possible. 4. Effective policy influence and advocacy for local government 	<p>Interventions</p> <ol style="list-style-type: none"> 1. Support establishment of a Decentralisation Secretariat at Cabinet Office and Ministry of Local Government and Housing. 2. Restructuring and rationalising Local Government structures and systems. 3. Developing and implementing an inclusive local planning process in Local Government. 4. Developing and implementing inter-government fiscal policies (local government financial systems) 5. Development and implementing an improved district and local capacity for service delivery 6. Support the development of democratic structure through enhancing awareness of the local leadership on the rights and responsibilities resulting from implementing the decentralisation policy 7. Creation of an environment for the dissemination of lessons and experiences resulting from decentralisation policy. <p>Outputs</p> <ol style="list-style-type: none"> 1. An established and functioning Decentralisation secretariat 2. Structured and rationalised local authorities in the Eastern Province with effective management systems, able to manage council resources, able to contract out council work. 3. Developed planning and implementation process of councils inclusive of stakeholders 4. Developed and implemented local government financial systems for all councils 5. Improved capacity for service delivery by councils, private sector and NGOs in private –public sector partnerships 6. An aware leadership on rights and responsibilities resulting from decentralisation policy 7. Lessons of experience from Eastern Province project documented and disseminated to local authorities and national authorities and bodies and reviewing of policies by national bodies

The pilot status of the project allowed the project team considerable flexibility in reassessing their objectives based on the reality of circumstances and lessons learned. As institutions changed, the decentralisation policy was delayed, new staff were added, the staff felt capable of reassessing their objectives in a current operational context.

The problem, though, is not with the operational objectives per se, but with a clear monitoring and evaluation system to regularly monitor those objectives. The objectives and output plan exists, but there is not a clear and consistent monitoring system that utilises these objectives. The formulation of the Matrix was a good exercise, but not one that has been institutionalised and followed by project staff. The MT Evaluation Team expected to see well-used copies of the PPM being used as the project 'bible', rather there was only one copy available. Though the first presentation to the MT Evaluation Team used the PPM as the basis for a status report, it did not appear that this was a regular exercise of the project.

1.3 Recommendations

It is recommended that the UNCDF/GRZ and Project Team synthesise the varied objectives which have led the project through a review of the unsigned Project Document and use these objectives as a consistent tool for monitoring and evaluation and project reporting. The systematic use of objectives will assist project staff and stakeholders to fully assess the project outputs and impact. Funding arrangements by the collaborators can then be finalised between UNDP/UNCDF and GRZ.

II ASSESSMENT OF STATUS AND RESULTS ACHIEVED UNDER PROJECT OBJECTIVES

SECTION A: PROJECT IMPLEMENTATION PERFORMANCE AND POTENTIAL IMPACT

1. Decentralisation Policy and Policy Environment

1.1 Background and Status

To understand the problems besetting the decentralisation policy in Zambia, one has to have an appreciation of the history and content of local government and how practice tends to repeat itself over time. The importance of politics in this area should never be underestimated.

According to the Governance Document,

“The ultimate purpose of decentralisation is to place decision making into the hands of the people through representation which is closer and more directly accountable, thereby promoting democracy and good governance. Decentralisation enhances equitable development through mobilisation of local resources, increased efficiency and effectiveness of local authorities. The objective is to ensure policy development that addresses the political will to decentralise and delineate the types of decentralisation suitable for the Zambian circumstances. Such policy should specify the necessary financial legal and institutional and organisation changes to effect decentralisation. It should also restructure the relative responsibility and authority between central and local government.”(Governance Page 23).

Decentralisation is therefore the delegation of responsibilities authority, functions, as well as power and appropriate resources to provincial, district and community levels and can take the following forms:

- i) Deconcentration is the transfer of functions and resources to local level units of the same administration systems while power remains at the centre.
- ii) Devolution is the transfer by legal or constitutional provision of authority, functions, resources and power to local authorities and communities.
- iii) Delegation is the transfer of functions and resources to statutory or corporate bodies.
- iv) Privatisation is the transfer of state enterprises and service provision to the private sector and non government sectors (NGOs).

Local authorities in Zambia have gone through a number of changes that cover all the different forms. This section highlights trends from independence to year 2000. Table 2 illustrates the situation under four headings:-

- a) Legal framework – that is the law governing local authorities at the time.
- b) Local authority status– the situation regarding local authorities.
- c) District Administration, and
- d) Co-ordination – who performed the co-ordinating role.

The Local Government Act 1965 was passed soon after independence resulting in the re-organisation of Local Government in Zambia. Three types of councils were established; City and Municipal Councils, Township and Rural Councils. City and Municipal Councils had Mayors as chairpersons and Town Clerks as Chief Executives. Rural councils had council chairman and council secretaries. On the central government side, District Administration was headed initially by the District Secretary who was responsible for co-ordinating government ministries at the district level and discharging certain functions such as, being a Magistrate, custodian of fire arms,

registration of births and deaths, and registration of clubs. As time went on, the role of the District Secretary became less important as his functions were taken away and assigned to other officers. Later in 1969, the Government introduced the post of District Governor who became the political head of the district with the District Secretary working under him. This arrangement went on until 1980 when further reforms were ushered in.

The Local Administration Act (LAA) of 1980 established an integrated system of local administration. The posts of Mayor or Council Chairman, Town Clerk and Council Secretary were abolished and replaced instead by the District Executive Secretary as head of the council administration. The District Executive Secretary became a public servant appointed by the Public Service Commission and in charge of all council staff and staff formerly under the District Secretary. He took over the functions of the former District Secretary and supervised all government institutions and parastatal organisations in the district. At the council level, the council was restructured. All councils regardless of status were called District Councils. The comprised, among others, of elected councillors (Ward Chairmen, who were political leaders of the only political party) Members of Parliament, Defence and Security Chiefs at the district level, Trade Union Leaders, and a number of political leaders. The District Governor chaired the council. There was also a policy committee called District Committee. It discussed issues and recommended decisions to council.

The operation of the council was much the same as before; Council committee, Sub committee meetings dealing with policy and execution by officials. This arrangement was not good because councils were politicised and they became inefficient, under-funded and lost focus.

Present Institutional Arrangements

This arrangement went on until 1991. The Local Government Act of 1991 established a structure at the council level similar to that existing before 1980 i.e. Mayors, Town Clerks, Council Chairmen and Council Secretaries. The main difference was that the council continued to discharge the functions taken over from the District Secretary in 1980. At the council level, members of parliament continued to sit on council. In terms of the law, local authorities in Zambia are creatures of statute and can only do what the law permits. Anything else is "*Ultra Vires*" i.e. beyond their powers. However, through the Local Government Association of Zambia, it is possible for councils to influence policy by making representations to Government through the Ministry of Local Government and Housing. The association has been consulted on a number of legislative proposals and was consulted prior to the enactment of the Local Government Act 1991.

Introduction Of Public Service Reform

Following the introduction of the Public Service Reform Programme (PSRP), a circular of January 1995 was issued by Cabinet Office. This circular established at the district, provincial and national levels a co-ordinating committees at the three levels: District Development Co-ordinating Committee (DDCC) at district level; Provincial Development Co-ordinating Committee (PDCC); and the National Development Co-ordinating Committee (NDCC). The function of the DDCC is to consider among others proposals by technical officers from the council, line ministries, NGOs for development and make recommendations to the local authority for policy decisions. The DDCC was chaired by the Town Clerk or District Secretary.

The MTE mission was informed that in some districts, Council Secretaries in the Eastern Province were not accepted as appropriate heads of districts who should chair the committee. Consequently, some heads of Government Ministries shunned DDCC meetings. Sometimes meetings were postponed due to the lack of a quorum. Recently, Government has introduced the post of District Administrator (DA). The District Administrator has been assigned a number of duties. His/ Her overall function is the co-ordination of Central Government functions, fund all development activities and harmonise them with those of local authorities to ensure effective

implementation of development programmes in the district. Details relating to the role and function of the District Administrator are contained in the attached DA guidelines..

The District Administrator will chair the DDCC. Apart from his administrative responsibilities, the District Administrator will deal with political issues on which he will report to the Deputy Minister of the province or at times directly to the president. It is too early to comment on the effectiveness of this office especially in absence of policy on decentralisation to establish a legal framework within which the office will function.

Table 2 Decentralisation Framework in Zambia over Twenty year Period 1980 to 2000

Elements	Pre - 1980	1980	1991	Current 2000
Legal Framework	Local Government Act of 1965	Local Administration Act of 1980	Local Government Act of 1991	Local Government Amendments: No. 19 Of 1992, No. 30 of 1993, No 30 of 1995,
Local Authority	<ul style="list-style-type: none"> • Popularly elected councillors • Mayor/Council Chairman • Town Clerk/Council Secretary 	<ul style="list-style-type: none"> • Party elected councillors • Mayor and Council chairman abolished • District Governor: Chairman of Council • District Executive Secretary: Chief Executive 	<ul style="list-style-type: none"> • Popularly elected Councillors • Mayor/Council Chairman • Town Clerk/Council Secretary 	<ul style="list-style-type: none"> • Popularly elected Councillors • Mayor/Council Chairman • Town Clerk/Council Secretary
District Administration	<ul style="list-style-type: none"> • District Governor: Political Head of the District • District Secretary: Head of District Administration 	None	None	District Administrator, Head of the District
Co-ordination	Difficult because there was No recognised co-ordinating authority	Functions of the District Governor and District Executive Secretary were not clearly delineated. There was confusion and clashes because both apparently had the same function	Council Secretary and Town Clerks had clear co-ordination roles as chair of the DDCC. But heads of departments often did not respect the role of the Local Authority over sectoral decision making	DA should now provide co-ordination over heads of departments, but roles and responsibilities also include political responsibilities. It is not clear how the relationship between the DA and LA will work in reality.

1.2 Assessment and Findings

The policy of decentralisation is presently being hampered by a number of constraints – political, administrative and practical.

Political:

There appears to be insufficient political will to implement a Decentralisation Policy. Though several versions have been produced since 1995 the Policy continues to be revised and debated. The current version had to be re-written to include the new position of District Administrators – the newly created deconcentrated element of the policy.

Administrative:

Local authorities face many problems, which prevent them from effectively carrying out their functions. The fiscal capacities of councils were significantly weakened during the pre-1991 period. Over the 1985-1990 period for example, the budgeted revenue and expenditure levels declined by an annual average rate of 18 percent in real terms. For instance, at constant 1985 prices, the aggregate level of revenue (budgeted) for all district councils declined from K269.3 million in 1985 to only K90.7 million in 1990.

The local councils' fiscal difficulties must also be looked at in the context of the suppression of their revenue sources as a result of policy interventions by the central government. This has led to a severe decline in central government grants and council's structural and institutional weakness to generate in a sustainable way commercial ventures that could bring in needed development resources. The position of local authorities has been further weakened through the removal of revenue generating resources (sale of houses), non-payment of operational grants, appointment of district administrators as overall co-ordinators of development in districts. It is not possible to implement a decentralisation programme that depends on strong and vibrant local authorities.

Practical:

The current policy version is waiting for comments from the Ministry of Local Government, the Ministry that is supposed to support and develop the Policy and comments from the president. After these comments are made, the Cabinet intends to produce a 'green paper on decentralisation', which would introduce the Policy into public debate and consultation. After public consultation a 'white paper' would be produced and then finally the Decentralisation Policy will be presented to Cabinet. This will no doubt take a long time. Though consultation is a good idea that should be encouraged, it is not anticipated that this consultation will do much to change the policy that will be presented.

Although the inception report of 1997 stated that the decentralisation policy would be passed at the end of that year, at the time of the mid-term review, May 2000, the policy has not been passed. There appears to be no strong political commitment to shed power and responsibilities to local authorities and no clear understanding of how this should be done especially on the delineation between Central Ministries and local authorities. Although component three of the Public Service Reform Programme aims to strengthen local government, since its launch in 1993, rather than strengthen local authorities, in fact councils have been weakened. The appointment of the District Administrator and vesting a lot of power in him / her shows lack of confidence in the elected institution of the council and is a shift from the intentions expressed in component three of PSRP. The appointment of the District Administrator has caused uncertainty especially at the district level as to relationships with existing institutions despite the guidelines issued (Annex 4). This will be so as long as there is no policy to show the broader picture.

The DDP has as a major objective to influence and inform higher authority on decentralisation policy. The Project Manager has been the main up-streaming mechanism to the MLGH and even Cabinet office. This role included the following:

1. Briefing the Permanent Secretary for Local Government and Housing on project progress.
2. Representing the MLGH at Cabinet Office briefings and Government policy formulation meetings
3. Representing project at international fora on local government reform.

There has however been a failure on the part of MLGH to have a consistent follow up and driving mechanism for the policy debate. Despite being discussed for a long time, the decentralisation policy has yet to be realised. This has led to uncertainty in the districts. The appointment of the District Administrator has compounded the matter.

1.3 Potential Impact

Project Impact on decentralisation was expected to emerge through three primary routes. First, there was supposed to be a Tripartite Review meeting (GRZ, UNDP, UNCDF) once a year to monitor progress and extract lessons of experience for replication. The second route was through the six month and yearly reports to inform executing agencies on progress on key outputs. The third, focused on technical review missions by UNCDF together with UNDP and VNG. These would be focused and would lead to identification of areas for progress. The tripartite review never took place and no half yearly or annual reports were produced. A National Consultative Meeting held quarterly in Chipata and supposed to be attended by UNDP Representatives, GRZ MLGH directors and the Council Secretaries from the DCs was formed. It played an important role in monitoring implementation but not in up-streaming. Technical review missions assisted in moving project forward but did not help in the decentralisation debate.

The project impact on decentralisation is hampered by the following factors:

1. The National Consultative Committee is fully informed of the project process and should up stream lessons learnt to central ministries and the cabinet office. The problem, according to people interviewed and our own observation is that there is no place to up stream to as the Ministry of Local Government and Housing is uncoordinated and weak.
2. The appointment of the District Administrator who will now chair the DDCC will result in the project re-arranging their priorities e.g. need for a seminar for District Administrator. The fact that the District Administrator has also a political role may tend to politicise his role as District Co-ordinator.

There is scope for improvement in up streaming lessons from the project based on a reorganised and capacitated MLGH at the national level.

1.4 Recommendations

It is recommended that:

- a) The project through the Project Manager, the DPIA, CPPA and FMA should collectively play a greater advocacy role for decentralisation and effectiveness of DCs.
- b) It is necessary in the interim for the MLGH to demonstrate effective commitment and willingness to support local authorities and thereby devolution through increased funding and active monitoring of the project.
- c) MLGH and President's Office should expedite the development and release of the decentralisation policy.
- d) Until the policy is released, the relationship between the District Administrator and other institutions at district level should continue to be carefully monitored. The monitoring system should at best be the setting up of consultative meetings and seminars between the DPIA, Council Secretaries, PLGO and the respective DAs and occasionally the Provincial Permanent Secretary.

2 Increased Capacity to Support Decentralisation

2.1 Background and Status

The development objective of the District Development Project (DDP), as defined in the original project document, is **to improve the living conditions and welfare of the population in the rural parts of Eastern Province**. To achieve this objective, the DDP has the following two components;

- Capacity building component: improving decentralised planning at provincial level and implementation of development plans and infrastructure rehabilitation and maintenance at the district level;
- District Development Fund (DDF) component: extra-budgetary capital resources for DC's to strengthen their infra-structural base and promote participatory project planning and implementation among communities.

The main thrust of the project in relation to component one was to strengthen the capacity of the Provincial Planning Unit to apply decentralised planning methods at provincial level and to improve development project implementation and financial management and monitoring at district level.

Under component two, the capacity building effort emphasises financing revenue generating infra-structural projects for DC's and community projects which are generated through bottom-up participatory planning.

Specifically, the project' support to capacity building in Local Authorities is intended to;

- Strengthen the planning capacity of the PPU in order to support the MLG&H in achieving its aims for decentralisation within the framework of the PSRP
- Improve the capacity of DC's to develop and implement systems of participatory planning and implement development projects
- Support DC's in stimulating private enterprises by encouraging the use of local contractors and providing relevant training to them in contract management
- Contribute to broadening and strengthening the revenue bases of Local Authority by providing financing for revenue generating micro infrastructure projects.

The project has supported capacity building in local authorities through varied methods including training and provision of equipment such as motor vehicles and computers.

Training

Several workshops have been held as shown in table below;

ACTIVITY	YEAR	Number Trained
1. Municipal Management Training	1996	10
2. Financial Management for Treasurers	1996	7
3. Managers Orientation for PM, NRE's, in Delft, Netherlands	1997	
4. DPO Technical Review workshop	1997	7
5. Management Seminar for PLGO, CS's, Treasurers	1997	16
6. Programme Development Workshop for LA's	1998	
7. Consensus workshop for MC/PI	1998	
8. Consensus workshop on governance	1998	
9. DPOs' workshop on way forward for ADC's	1999	
10. ADC orientation training workshop	1999	
11. ADC workshop on contract management	1999	
12. Finance management workshop	1999	
13. Commercial project design & appraisal workshop	1999	
14. Councillors Southern Province study tour	2000	

Apart from the training and other initiatives for improving the management of the DC's, the project has also provided assistance in the form of office equipment, such as computers, and motor vehicles to all districts. All councils were provided with a vehicle and computer printer and software each for the DPO's use. Furniture for the DPOs was also provided by the project. A photocopier was provided for each council. This support is intended to contribute to improved management of the councils.

District Development Fund

In the UNCDF budget, a total of two million dollars (US\$2 million) is provided for DDF. Out of this amount, 40% (US\$800,000) is accessible by councils for revenue generating projects while 60% (US\$1,200,000) is intended to be used for funding community based projects. Annexes 3 and 4 provide a breakdown of funds allocated to council and community projects per district and the total transfers of this fund to each district

2.2 Assessment

A significant amount of the capacity building effort in the project is focused on providing training to staff in the district councils. Almost all of the project's immediate objectives have in them a training element. However, although training is a key element in the process of building capacity in Local Authorities, there is no evidence of any systematic needs assessment on which the training provided is based.

This suggests a flaw because in the project design it is not suggested that all the training in the project process should be based on systematically identified needs. The position descriptions of both DPIA and CPPA, do not include the conduct of periodic training needs assessments as one of their key responsibilities and as a result there is little commitment to this activity.

Much of the training that has been provided can be considered to be good as it appears to have addressed some of the needs, such as financial management, which were considered to be pressing and therefore needed urgent attention. However, the lack of a comprehensive and systematic training needs assessment implies that training provided by the project is ad hoc and only provides 'quick fix' solutions to training related performance problems of the councils.

Similarly, there is no evidence to show that a formal baseline study was done to assess the situational demands in the councils regarding transport and office equipment. Such a study would be useful in determining the extent to which this support has contributed to overall capacity building in council operations.

Generally, the project is making some contributions to capacity building in District Councils especially with regard to training. Although it is observed that no training needs assessments have been done, the training that has been provided appears to have contributed to raised capacity in the councils and communities. As an example, the concept of participatory process is widely understood and accepted, among project staff and communities, as a useful approach to planning and implementing development projects at district and sub-district levels.

2.3 Project Impact

Overall capacity has been raised and is being raised among Local Authorities' staff. The MTE was able to interact with more than six Eastern Province DC staff. The DC personnel in many cases were able to present council problems and programmes and could justify decisions made in the context of district development, and exhibited the significantly improved level of appreciation of participatory development planning. There are however significant differences between councils with the best examples shown in Petauke.

However, there has been no impact assessment to determine the extent to which training has contributed to capacity building or whether this raised capacity is entirely an outcome of the training provided by the project or in combination with other factors. Similarly, no assessment has been made to establish the contribution that equipment assistance has made in raising the capacity of councils.

With regard to training on contract management, the project has made a considerable impact as all councils are now capacitated to prepare contract documents, effectively supervise contractors, and even bid for projects that are funded by central government. To a large extent, this is a spin-off from the training that was initially provided by the Feeder Roads Project (FRP) to road contractors and has been replicated in the DDP to train contractors for community projects.

2.5 Recommendations

However, for a more focused demand driven capacity building support it is recommended that the following should be done;

- Based on DDP objectives, project staff should clearly define overall capacity building objectives of the project stating precisely what capacity should be built, in which areas, using what resources and the expected outputs of the process.
- On the basis of these objectives the project should conduct a comprehensive needs assessment.
- There is need to develop a training plan that is linked to the DDP's quarterly and annual planning framework
- The DDP should perform quarterly impact assessments reporting progress on issues related to capacity building in training and equipment use.
- Semi-annual joint technical reviews of the FRP and DDP projects should be conducted by Project Support Staff to capture and document lessons for subsequent use in training. Lessons learnt from the FRP such as tender procedures and contract management should then be fed to community project contractors under the DDP. In order to guarantee objectivity, external consultants should facilitate these reviews.

3 Establishment of Inclusive Decentralised Planning System

3.1 Status:

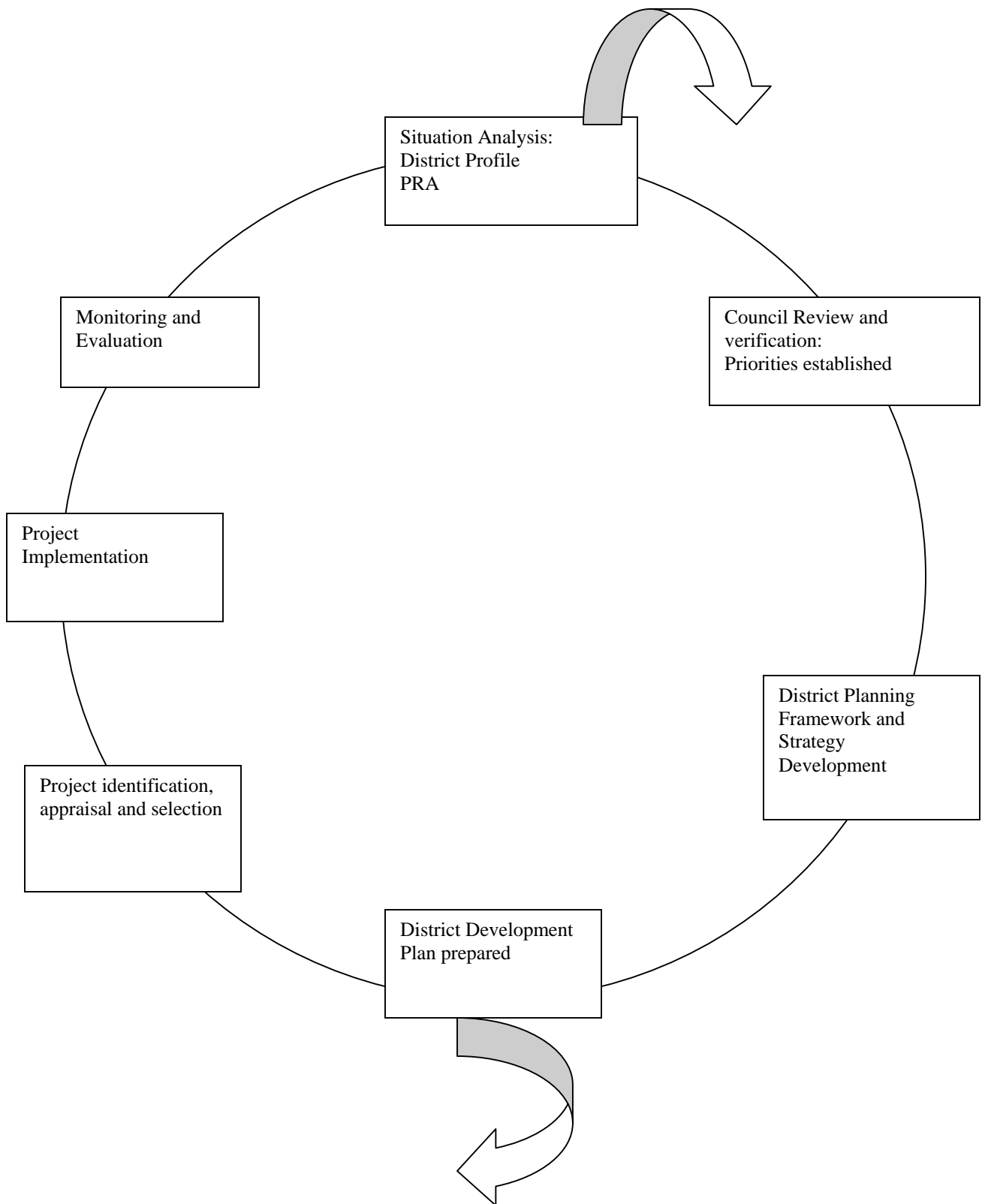
The Inclusive Decentralised Planning System used in the context of the DDP was originally established in Zambia under the Local Government Support Project (LOGOSP). It was introduced through several training activities given to DPOs throughout the country prior to the initiation of the DDP project. The first workshop in November of 1996 was aimed at bringing together the DPOs for the first time to discuss the roles and functions of the DPO, to define a model job description and specification, and to develop national guidelines to assist other councils to recruit DPOs. The workshop also considered the DPOs training needs. The second workshop held in March 1997 focused on the theme of Gender Analysis in development planning. It aimed at providing DPOs with the awareness and analytical skills to undertake gender-sensitive development planning. The third workshop funded by UNDP was conducted with the theme of Participation. DPOs identified this as a training need. The workshop emphasised the institutional arrangement for participatory planning rather than techniques. The concept of Area Development Committees was first introduced during this workshop. The final workshop under LOGOSP in 1997 focused on a technical review of the responsibilities of the DPO.

Consequently, the DPOs who were part of this training process should be familiar with the District Planning System that was initiated through LOGOSP. More recently recruited DPOs receive their orientation through the project staff. The project approach to Inclusive Decentralised Planning initially followed this system and built on the work done previously through LOGOSP. The basic planning approach has not changed significantly since the initiation of the project and includes the following planning stages:

- Information gathering
- Strategy development
- Project identification
- Project appraisal
- Project selection
- Project implementation

The model below illustrates the basic elements of the Inclusive Decentralised Planning System being implemented through the project. It should be noted that although monitoring and evaluation is included in the model below, it is not yet a significant feature. Though monitoring and evaluation is not included in the current project design, it is included in the illustration.

STRATEGIC PLANNING



All eight districts have completed some form of needs assessment/information gathering towards planning with the completion of District Profiles. Currently all districts are involved in the analysis of this information collected in 1998 and developing district strategies. According to responses during the MT Evaluation, all districts anticipate completing their District Development Plans no later than July 2000

As part of the effort to establish an inclusive and accountable District Planning System, the DDP focuses on the establishment of Area Development Committees as community institutions closest to the people. The ADC formulation began in earnest in 1999 with the appointment of the Community Participation Planning Advisor. Working with the DPOs he organised training activities and a process for ADC establishment. Three ADCs have been established in each district except for Chadiza.

To ensure accountability the DDP established Minimum Conditions and Performance Measures for accessing DDF funding. A Performance Assessment Committee made up of government staff, project, NGOs and the private sector was established to assess each district's capacity.

The nine minimum conditions include:

- DDF Account Established
- Financially sound plans for Council projects including privatisation of management
- Minimum technical capacity to fulfil responsibilities for planning and engineering services
- Agreement of Councils to comply with the Memorandum of Understanding with the DDP
- Annual Development Estimates approved by Council
- Demonstrated capacity for participatory local planning process
- Minimum capacity in place for financial management and accountability
- Functioning Council and District Development Co-ordinating Committee

During the first assessment in February 1999 none of the eight District Councils in Eastern Province met all of the nine minimum conditions. This created tremendous incentive for the District Councils to comply and develop all the systems required. Five of the councils, Petauke, Katete, Lundazi, Chipata and Mambwe met the MC during the next performance assessment in May 1999. All Districts met the Minimum Conditions during the most recent Performance Assessment in December 1999 – January 2000. Performance Measures are assessed every six months to determine accessibility to continuing DDF allocations.

3.2 Assessment of the Planning System and Findings

Information Gathering:

The information gathering at the district level has been done through the development of Socio Economic Profiles, a one-time study completed in 1998 which describes the situation in each district. DPOs initially compiled data using secondary data available at the district from the national statistics office. The project then hired a consultant to complete the profiles for all the districts. There is however no mechanism or system to upgrade the information on a regular basis. Most districts admit that the current profiles are already outdated.

Strategy Development

Developing a District Strategy can be the most difficult and complicated element of a District Plan. To create overall objectives and a district framework requires extensive co-operation and co-ordination of sectors. Without this, a District Plan becomes a sector based plan with no strategic direction or vision.

A workshop on preparing a District Development Strategic Plan was held for all DPOs during the second quarter of 1998. The purpose of the workshop was to increase capacity in strategic planning at the district level and included a presentation on the process of strategic planning. The materials presented were thorough and useful to the DPOs as a theoretical basis for strategic planning. These materials were consolidated into a report "Consensus Building Workshop Training Materials for all 8 Local Authorities, Eastern Province." Though the DPOs appreciated the workshop and record of the training materials as a starting point in the development of the strategic plan, they have had some difficulty in translating the theory to practice. They strongly requested to the MTE Mission additional assistance and regular mentoring / coaching in the actual development of the District Strategic Plans. Currently, the strategy development is done differently in every district. Some DPOs are attempting to analyse data, develop trends and establish broad strategies for development. Others are using the District Profile data and creating sector based strategies. There is no apparent consistency of approach being supported through the project on the actual District Plan development. To date, none of the districts have completed their strategy development.

Another issue that will have to be carefully monitored with regard to Strategic Planning is the current Government of the Republic of Zambia focus on a Sector Strategy. The essence of this strategy is to strengthen the capacity of sectors to create coherent programs that are supported by co-operating partners, rather than introducing disparate donor funded programs into ministries. The theory is positive in that sectors are developing their own strategic plans, but the impact on district integrated planning could be extremely negative.

Sector programs work vertically; strategic planning at the district must work horizontally with integrated, issue and theme based programs and projects. If sectors can only respond to their own programming objectives, it will be difficult to create district-focused strategies. The preparation of the current District Plans should provide considerable insight into the viability of creating integrated strategic district plans in the context of a national sector approach.

Project Identification, Appraisal and Selection

Currently, project identification, appraisal and selection are being done without the benefit of a strategic plan as a guide. Because there are no district strategies, projects are currently selected based on ad hoc criteria established by each district council. Most districts work in wards/areas that were least developed based on the data from the socio-economic profiles. Councils select projects recommended by DPOs. There have been no objective criteria established by the DPOs or the councils for project selection. Most districts staff interviewed said that the least developed areas in each district were selected for project implementation. The MT Evaluation Team could not assess whether or not this was actually the case because current district profiles have not been disaggregated by areas/wards. Some districts are planning to create ward/area profiles in the future. This is encouraged as it would assist in objectifying the current subjective project identification/appraisal and selection criteria at the district level.

In locations where Area Development Committees are operational, projects are first identified in zones; these zonal requests are then presented to the ADCs for review and consideration. Again, there have been no objective criteria established for project selection. ADCs have long and detailed consensus building discussions in order to select projects for funding. As the ADCs are closely familiar with the needs, concerns and issues in their area, there is apparently widespread support and acceptance of the projects that have been selected.

Monitoring and Evaluation

The monitoring and evaluation system within the planning system has not yet been fully outlined, established or described. There is one document currently available that outlines the current District Planning System. As earlier noted, it is a report of a planning workshop held in 1998 for DPOs on Strategic Planning. The document provides a thorough review of the workshop.

(Lupenga, R and Siyunyi, F, Consensus Building Workshop Training Materials for all Local Authorities, Eastern Province, 1999). There are no other planning guidelines available.

Inclusive Planning: Institutions for Community Participation in District Planning: The Area Development Committees

In an attempt to bring the planning system closer to the people various provinces have established institutional frameworks at a level one step below the districts. The project has worked toward creating planning institutions that are closer to the people – the Area Development Committees (ADCs). Though some say the ADCs are fully compatible with already existing government institutions – the Ward Development Committee, the project would prefer to see the ADCs as innovative structures that do not have the political connotation of a Ward Development Committee. The argument becomes mute during discussions with ADC members. The majority view the committee as a direct function of the DDP/DDF and do not connect it with either government or politics or other development activities.

Twenty-two ADCs have been established in all eight districts i.e. an average of 3 ADCs in each district. There were varied versions of the formulation system that were reported to us:

1. Some report that consultations with councillors on how to most effectively encourage planning at a level that is closer to the people than the districts were facilitated by the DPOs. Other districts were not familiar with this consultation.
2. A DPO Workshop was held at which the ADC structure, roles and responsibilities were formulated by the DPOs. This took place in April 1999.
3. The model/approach created by the DPOs was presented to the District Councils for consideration and approval. In all cases the DCs approved the ADC structure and system.

This process resulted in a uniform ADC model being used in all of the districts except Mambwe and Lundazi. The ADCs in Mambwe and Lundazi follow the boundary criteria of chiefdoms and in some cases have chiefs as chairpersons. The DPOs felt that this seriously compromised the decision making process of communities, and recommended that these organisations be re-modelled into more democratic and participatory ADCS.

Through an analysis of the pros and cons of varied approaches to community participation in planning, the DPOs refined the ADC framework to include the following membership, objectives and functions:

Membership:

- Elected members from the local community: one man, one woman
- A chief's representative
- Officials from Government departments i.e. health, education, agriculture, etc.
- Officials from local non-governmental organisations (NGOs) or from church organisation
- A Ward Councillor – ex officio.

Objectives:

- To facilitate the development of social and economic infrastructure in the local community.
- To ensure that there is balanced development in the local community
- To serve as 'The Voice' of the local community members
- To provide checks and balances in development process management

Functions:

- To mobilise and sensitise local people on development issues
- To provide leadership in development projects

- To prioritise local community development projects in the interests of the whole local community
- To serve as a link between the local community and the District Development Co-ordinating committee
- To serve as a 'voice' of the local community.

The guidelines for ADC are presented in the following table. These were created by the DPOs. The first three columns: Aspects, Features, and Remarks are found in columns one to three. The comments of the MT Evaluation Team on these guidelines are noted in column four.

ADC DEVELOPMENT AND FEATURES

ASPECTS		FEATURES	PROJECT REMARKS	M-T EVALUATION REMARKS
1.	Boundary	<ul style="list-style-type: none"> • Wards that will be zoned-not less than 3 and not more than 5 per ward 	<ul style="list-style-type: none"> • Exist already • Elicit greater participation • Country wide coverage 	<ul style="list-style-type: none"> • Potential for greater participation related to boundaries is questionable.
2.	Composition	<ul style="list-style-type: none"> • Gender sensitive • Traditional leaders • Councillor • Government Officers • Zone representatives 	<ul style="list-style-type: none"> • Through elections for zone representatives out of whom the Executive will be elected 	<ul style="list-style-type: none"> • Good cross section of the population • ADC participants themselves were not consulted on membership. They were given the criteria
3.	Formation	<ul style="list-style-type: none"> • One ADC per ward • 3 pilot ADCs per district • Councillors will select pilot ADCs 	<ul style="list-style-type: none"> • Facilitation will be done by the Council through the DDCC 	<ul style="list-style-type: none"> • No selection criteria were established in districts. Generally, Councils chose what they considered the poorest wards; there was no objective verification for this. • ADCs connect formation with ability to receive DDF funds – not with overall development of their areas.
4.	Role of ADC	<ul style="list-style-type: none"> • Co-ordinate development process at Ward level • Link Ward/sub district units to District level structures 	<ul style="list-style-type: none"> • Quality facilitation required by the Councils 	<ul style="list-style-type: none"> • Councils require considerable support and coaching to achieve this. • Project team should support Councils with follow up visits to each ADC to review roles and responsibilities in the context of area development.
5.	ADC Training	<ul style="list-style-type: none"> • PRA • Project Management • Community Mobilisation 	<ul style="list-style-type: none"> • Responsibility of Councils • Use DDCC facilitation team • Produce training materials 	<ul style="list-style-type: none"> • Councils generally do not have these skills • DDP will need to provide follow-up mentoring and coaching.
6.	ADC Experiment on DDF	<ul style="list-style-type: none"> • Process project proposals from communities • Will help in forming project committees • Will monitor project implementation and evaluate project • Will not directly implement projects 	<ul style="list-style-type: none"> • Key ADC facilitator is the Council 	<ul style="list-style-type: none"> • Since the Council did not introduce the concept of ADC, DDP has responsibility to support Councils with mentoring, coaching and further training support, as required by each Council. A needs assessment should be conducted to determine each Council's requirements
7.	Envisioned for the future	<ul style="list-style-type: none"> • Greater ADC input in allocations and selections 	<ul style="list-style-type: none"> • Largely depend on the quality of facilitation of the Councils 	<ul style="list-style-type: none"> • Since ADC concept is a DDP idea / innovation, DDP has substantial responsibility to support Councils with follow up mentoring. Sustainability of the ADC currently depends on the DDP. Systems should be put into place to ensure self-reliance of this important community planning institution.

Though the ADC structure is consistent with an Inclusive District Planning System, in reality the ADC structure is more directly connected to the project than to the Local Government System. All ADCs interviewed believed that the ADCs were formulated for the sole purpose of receiving DDF funding. In fact, one ADC chairperson specifically asked if they could request funds from other sources using the ADC structure. The objectives and functions do not refer to the DDF; this should be reinforced during formulation of ADCs.

Minimum Conditions and Performance Measures

The Minimum Conditions and Performance Measures were developed through a consensus workshop held in the third quarter of 1998.

The purpose of the MC/PI were:

1. To identify councils meeting minimum conditions: To critically examine the status of the eight councils in Eastern Province and identify the districts that have met the minimum conditions and are therefore eligible for the DDF
2. Council Capacity Assessment: To provide PSU with relevant data and information regarding the capabilities of each of the Councils to utilise and manage the DDF. This involved determining areas that required urgent technical support for the districts especially those that will have failed to meet the minimum conditions to access the DDF.
3. On-the-spot support: Provide on the spot support to the Councils in order to reduce operational deficiencies and improve performance.

Minimum Conditions and Performance Measures Assessment Methodology:

1. Project Assessment Committee (PAC) formulation: A PAC comprising nine members drawn from public institutions, private and NGO sectors was constituted to carryout Council assessments. Experience considered included: contracting and tendering, financial management and accounting, local government procedures, community participation and planning and allocation experiences with the private sector.
2. PAC Orientation: The PSU provided the PAC an orientation to the DDP project formulation, objectives and current activities.
3. Development of the Checklist: the PAC discussed and interpreted the minimum conditions and developed a final checklist. Two in-built validation mechanisms were incorporated. Questions were generalised and some questions were intentionally repeated and asked to different individuals to compare results.

The Nine Minimum Conditions established during this consensus-building workshop included:

- i. DDF Account established
 - ii. Agreement of the District Councils to comply with an Memorandum of Understanding with the Project Support Unit
 - iii. District Development Plan written and endorsed by the Council
 - iv. Annual Development Estimates approved by the Council
 - v. Demonstrated capacity for participatory local planning procedures
 - vi. Financially sound plans for District projects including privatisation of management.
 - vii. Minimum Capacity in financial management and accountability
 - viii. Functioning Council and DDF
 - ix. Capacity for planning and engineering services.
4. Notify Councils of Assessments: The checklists along with letters of notification were sent to districts in advance of the MC reviews.
 5. Introductory meetings with Councils to give background, explain the process and create rapport with the Councils
 6. Two groups assessed the councils: One group focused on financial management interviewing staff from finance, accounts and audit departments; the second group dealt

- with planning, budgeting and management issues, interviewing staff from planning, engineering and management departments.
7. PAC met daily to review findings, discuss and make inferences. This allowed for return to certain areas where questions remained.

The Minimum Conditions and Performance Measures/Indicators are providing Councils will clear, direct and measurable indicators of performance. In all cases, Councils understand the rationale behind the MC/PI and respect the process. The only problem is that the process is currently, primarily connected to a Council's ability to receive the DDF, not to normal government procedures. Though the MC/PI criteria were established from government requirements, Councils and management still see the process as part of DDP not part of government.

Overall Findings

The Inclusive Decentralised Planning System is more focused on results than process, sometimes excluding key stakeholders like council participants and ADC participants. Participants connect the DDP with production of a plan or formation of an ADC as requirements; they do not fully understand the importance and significance of the inclusive, decentralised, participatory process connected with these outputs.

Information Systems: The current District Profiles are already out of date and there is no mechanism to review, update and revise these important documents.

Strategic Planning There is no clear understanding of the concept of Strategic Planning. Most districts are following a project cycle model, collecting information and then creating a list of disparate projects to support specific sectors. Integrated planning is not being implemented.

Support to Districts on Planning System implementation:

Support to the Districts is provided mainly in the form of workshops and training events. Less emphasis is placed on facilitation, coaching or mentoring. The districts have no guidelines to follow in support of inclusive decentralised planning.

The ADC Structure:

The ADC structure has the potential to be a participatory planning institution at the community level, encouraging greater community participation in the district planning process. However, its formulation is currently being directly connected to receiving funding from the DDP.

The Minimum Conditions and Performance Measures/Indicators are an excellent tool for planning and accountability. The current system is well designed and based on Local Government rules, regulations and structures. Though based on government structures, participants connect the conditions and performance indicators solely with the DDP, thus limiting the potential for sustainability.

3.3 Project Impact on Inclusive Decentralised Planning at the District Level

The project has made a positive impact on introducing inclusive decentralised planning system in Eastern Province. Awareness has increased on the importance of inclusive, decentralised planning for development. Skills have been increased in the area of project planning and implementation.

Impact on capacity of the local government and their accountability.

Overall, it can be said that the project has had a positive impact on the capacity of local government to plan and manage development. Through training activities, participation in

development of project procedures, activation of the minimum conditions and performance measures, councils are more able to make development related decisions.

There are remaining needs, especially in the area of management for council staff. All council staff received a three-day orientation in 1999 covering:

- The structure of Central Government
- Practice and Procedures of Council Meetings
- Capacity Building Human Resource Development
- Introduction to Development
- Human Development
- Decentralisation and Participatory Planning
- How to Prepare a District Plan
- Financing a Development Plan
- Why should the government give grants
- Land Development and Settlement Planning
- Public Relations in Local Government

This ambitious content was appreciated by council participants, but not fully understood or assimilated because of the short time frame to present so much information. It was impossible to be participatory given the sheer number of topics in such a short period of time. Though the training had some minimal impact, it was no adequate to fully enhance the capacity of councillors or council management.

The project has had a substantial impact on accountability through the introduction of minimum conditions and performance indicators related to the DDF. MC/PI require the councils to be accountable in the areas of management, finances and planning. All of the eight councils in the district have improved performance in these areas as a result of the initiation of the MC/PI process. Sustainability of the process remains questionable because of its direct connection to the DDF. It is recommended that the system be institutionalised and more directly connected to government laws and regulations rather than to the DDF.

Impact on the level of participation of community stakeholders in the district planning process.

Through the initiation of the ADCs the level of community participation in district planning has increased. ADCs were formulated to encourage direct community participation in the planning process. The appropriateness of these ADCs was questioned given already existing community institutions (PTAs, Health groups) and traditional decision making institutions (chiefs and headmen). However, respondents consistently supported the concept of the ADC as a decision making body responsive to community needs and requirements. ADCs' co-ordination role and potential of the many groups involved in development was also appreciated.

The main issue, which arose around the ADC, was its relevance to development activities other than the ADC. Some ADC members were not clear that their planning process initiated through the ADC was applicable to all development activities in the Area. They thought that the ADC was formulated specifically for the DDF funding. It is strongly recommended therefore, that all ADC formulation activities diminish reference to the DDF as an element of ADC formulation and make it very clear that formulation of an ADC is not a quid pro quo for DDF allocations to an ADC.

Impact on institutionalisation of planning system methodologies:

The planning and financial methodologies are part of normal government procedures. The project has attempted to enhance the capacity of districts to follow these procedures more efficiently, effectively and comprehensively. There remains some confusion at the district and community level on where the project stops and the government begins. Very often community

and district stakeholders think that they are fulfilling requirements in order to receive funding through the project. It is not clear to them that the process is fully part of government procedures. This is a crucial connection that must be fully explained and discussed. It is important in every aspect of the project to fully integrate its activities with accepted and ongoing government programs and responsibilities in order to discourage the attitudes that surround donor dependency. If the project synthesises itself fully with the established government planning and financial management systems – and tries to eliminate as much as possible references to DDP when talking about procedures or funding - institutionalisation is automatic.

Impact on Capacity Building in Planning Methodologies:

The impact of the project could have been greater had Planning Guidelines been developed from the onset of project implementation. Without guidelines, the districts floundered and required considerably more support than they would have with clear direction. The MT Evaluation Team is of the opinion that guidelines are necessary. With a flexible set of guidelines that could be reviewed and revised, the DCs especially, DPOs, would have had more solid support.

The approach to capacity building in the area of District Planning was to use workshops to share information and train. There was no adequate follow-up to these workshops to give the DPOs the kind of support they needed to internalise what was learned in a workshop setting. A coaching or mentoring approach would have increased impact substantially. The DPOs required and requested consistent and demand driven support in the implementation of the District Planning System. Impact was also hampered in some cases by the approach to support. Some districts reported a critical and negative approach to follow-up and support.

3.4 Recommendations on the Inclusive Decentralised Planning System:

- The Project Staff must place more emphasis on the process of inclusive decentralised planning incorporating participatory procedures that encourage decision making by all stakeholders. Rather than presenting something to the Council and/or ADC that they must comply with in the context of the DDP, an effort should be made to include them in a decision making process. Greater emphasis on process and not on product will result in a more sustainable planning system.
- The DPIAs should consult the Malawi Local Government and Development Management Project on the District Planning Data Base System that has recently been established to ensure that planning data can be updated as required.
- The DPIA and CPPA should prepare Guidelines for Strategic Planning should be developed based on the content of the 1998 strategic planning working. This should be done as soon as possible. District staff should provide regular mentoring to DPOs on the strategic planning process, the most difficult aspect of any District Development Plan
- The Project must prepare and distribute clear and consistent District Planning System Guidelines. This should be done as soon as possible, since many of the DPOs are in the middle of preparing their district plans and require much more support and guidance.
- The DPIAs and CPPA must provide consistent and comprehensive mentoring and coaching to the DPOs on the Inclusive Participatory Planning System. One workshop and sporadic follow-on visits are not adequate to fully support the DPOs in their district planning process. All DPOs interviewed stated that they require much more mentoring and coaching and hands-one support from the planning unit in order to complete their District Development Plans.
- The PLGO and the MLGH should prepare, as soon as possible, a directory of donors/funding agencies/NGOs operating in the Districts so that Councils and communities have access to

funding information that will make them more self-reliant. The Southern Province DDP project has developed this type of directory; it could be used as a model.

- The ADC structure should be disconnected from the DDP project, per se. All reference to the DDP project should be removed so that the ADC structure becomes fully connected only with the Local Government System, as a planning unit closest to the people. The DDP should provide Councils with adequate support in ADC formulation, training and implementation. The DDF funds should be used to ensure that all Areas/Wards establish an ADC as soon as possible so that all communities have access to the DDF funds. The communities are ready and very interested in becoming part of the planning system and accessing the funds.
- The project must remove all references to DDP from the MC/PI criteria and make them more generalisable to local government procedures and requirements so that the MC/PI process could be applied to any district in Zambia.

4. Increased Capability for Financial Management and Accountability

Introduction

Capacity building in financial management is in three parts: (a) capacity to raise revenue; (b) capacity to manage revenue raised and to manage expenditure; and (c) capacity to manage in particular the DDF. This section examines the financial management function and how it has performed, its status, performance to date, design issues, impacts, findings and recommendations. The task to implement this sub component was assigned to the Association of Netherlands Municipalities (VNG) with whom the Government of the Republic of Zambia signed an agreement in 1995. The UNCDF who provide a total of US\$140,000 towards the activity never formally signed an agreement with VNG.

4.1 Status of the sub-component

Since 1995 VNG provided technical assistance from municipal financial experts and financial departments from Dutch municipalities to the 7 and later 8 District councils in the Eastern Province of Zambia to strengthen the capacity of Treasury Departments and to increase the competence of the District Councils. These activities were organised and implemented in the framework of the Netherlands Inter-Municipal Development Co-operation Program (NIDCP).

The original framework in the agreement was for VNG to provide two advisory missions through advisory missions or internships of Eastern Province officials in the Netherlands municipalities each year with each taking about 5 weeks at a time. The agreement also stipulated an internship course for 10 Eastern Province council officials in the Netherlands for a period of four weeks a year. This component has been achieved for the first two years of the project but the form and mode of contacts and internships has been revised.

Five activities were executed in 1996-97. These included the following:

- ❑ Municipal training of all the DC Treasurers in 1996 on Municipal Management Training Program.
- ❑ There was an advisory mission by financial experts from different municipalities to Chipata, Lundazi and Petauke, the districts in the original three for DDF concluded by a two day workshop for the Treasurers of all the councils in 1996.
- ❑ Municipal Management Training Programme in the Netherlands by the PLGO and all Council Secretaries in 1997.
- ❑ Advisory mission by Dutch municipal experts to all local authorities in 1997.

- ❑ Three day seminar on management for PLGO, Council Secretaries/Town Clerk and Treasurers of all councils.

These arrangements were found to be less effective. The support from VNG was found to be too far in between and by municipal officers from a different culture and with little expertise let alone the language. A review of the DDP financial management component in December 1998 resulted in the following recommendations for the remainder of the project:

- ❑ A Financial Management Advisor (FMA) was recommended to manage and to take a leading role in the implementation of the training programme;
- ❑ A Provincial Local Government Finance Advisor (PLGA) to be appointed by MLGH and to work in close collaboration with the FMA;
- ❑ A municipal finance Advisor Training Support (TS) allocated by VNG to support and advise the FMA and PLGFA providing technical backstopping;
- ❑ Technical experts (TE) from VNG to carry out short time missions based on the training needs identified by TS and FMA.
- ❑ Once-a-year activity e.g. south-south exchange visits, workshops;

The new approach is very effective as the FMA is very experienced and brings in a hands on support to Treasurers and their departments. The programme is detailed with clear outputs over the three year period allowing for some flexibility and demand responsiveness. A Financial Management Advisor was recruited in July 1999 and a Provincial Local Government Advisor was allocated to the project by the MLGH.

The status of the activity is that it has followed the 1998 recommendations. The 1999 and 2000 activities have been fulfilled as defined in the programme. The new approach has resulted in a systematic approach that includes benchmarking. The expected results from the 3 year training programme are:

- The District Development Funds are used for their intended purpose
- Realistic financial plans
- Maximum benefits gained from resources available
- Self generated income sources expanded
- Allocation of DDF in the eight District Councils in Eastern Province
- Improved financial control and management of the District Council staff and councillors
- Programme overview and Indicative timing.

4.2 Assessment and Findings

The Financial Management component has been redesigned after the initial two years where VNG was sending missions and DC staff went to the Netherlands. In discussions with the DC staff and councillors, it was clear that visits to the Netherlands by staff were not as productive since the differences between the two types of municipalities were too big for lessons to be learnt. In response to that, the redesign has proposed to minimise those visits and limit them to say two council staff carefully selected and likely to benefit. The twice a year missions from VNG were also considered inadequate and were replaced by a more structured training plan. The plan included the employment of a local Financial Management Advisor, backstopping support from a TS who is scheduled to visit the Eastern Province every four months backstopping the FMA, benchmarking for monitoring and evaluation purposes, and the provision of expert support for specific and demand driven aspects from VNG. There is a clear sense of institutionalisation as the FMA works closely with a Provincial Local Government Financial Advisor.

The financial management and accountability support is generally supported and appreciated by the District Councils especially the treasurers and councillors. Compared to the other capacity building sub-components, the financial management input is ranked as the best aspect. The FMA and PLGFA are reported to regularly visit districts and to actually sit and discuss issues with

a variety of council personnel rather than one specific officer in a department. The benchmarks are a crucial measurement tool and in view of the Minimum Conditions and Performance Indicators, many councils find the financial management advice reinforcing those requirements,

The financial management sub component is a strong, effective and appreciated sub sector of the DDP. It had its teething problems but adjusted through consultations. Baseline surveys were done to establish needs. A training program is in place and active. During the recent mission in April 2000, it was agreed that the format of VNG involvement should be more responsive and better address issues of sustainability and exit strategies. The Financial Management component exhibits sustainability as it is institutionalised in the PLGO's office. There is close collaboration between the FMA and PLGFA, and between the FMA, VNG and the PLGO. It is a good model of a demand driven approach. It's approach should be used in the programme's capacity building aspects.

All councils are delayed in paying salaries and cannot afford to pay retrenchment packages. One weak point not addressed is the fact that many council officials responsible for managing council finances are themselves poorly and irregularly paid.

There is however poor absorptive capacity by District Councils and communities of the DDF. Utilisation of the 40 percent of the DDF for district council projects is delayed by cumbersome tender requirements. Thresholds are set for district, provincial, Ministry and central

Table 4.1 Allocation of DDF in District and Community Projects

DISTRICT	DISTRICT PROJECTS	COSTS	COMMUNITY PROJECTS	COSTS
1. Petauke	a) Construction of Pilot Market Project toilet and demarcation of market stalls b) Alteration of council shop into office block c) Alteration of existing council Tavern into Bar and restaurant and Rest House	K182,590,229 K19,749,317	a) Rehabilitation of Mankhungwa Primary School and drilling of borehole b) Drilling and equipping of Borehole at Mwabezi Primary School c) Completion of 1No. 1x2 Classroom block (CRB) at Mtema Primary School d) Completion of 1 No. 1x3 CRB at Ching'ombe Primary School e) Reconstruction of 1No. 1x3 CRB at Chibale Primary School f) Completion of corridor at Nyanje Hospital	K37,633,875 12,900,000 17,216,103 28,661.613 31,960,000 13.469,000
2. Lundazi	a) Construction of Aqua Privy toilet block at the township market b) Construction of Market shelters/stalls c) Construction of Guest House	62,354,608	a) Construction of 2 No. ED 14 staff houses at Kambeteka Primary School b) Construction of 1 No. 314 staff houses at Kanele Middle Basic School c) Construction of 1No. 1x3 CRB at Kakumba Middle Basic School d) Rehabilitation of 1No. 1x3 CRB and 2No. staff houses at Mapala Middle Basic School e) Construction of 1No. ED14 staff houses at Kapili Primary School	88,000,000 44,000,000 44,000,000 44,000,000 44,000,000
3. Chipata	a) Construction of 2 No. Toilet blocks at Chipata Saturday Market b) Refurbishment of Chipata Motel c) Rehabilitation of Kapata Hall	163,146,618 120,000,000 67,695,250	a) Construction of Msekera Bridge b) Completion of Maziatuwa Clinic at Chipamgali c) Completion of Chizenje Rural Health Centre at Mboza d) Rehabilitation of Selemani Road at Kazimule e) Drilling and equipping 4 No. borehole in Kazimule	28,867,542 113,000,000 113,000,000 36,000,000
4. Katete	a) Alteration of Council Tavern into Office Block		a) Drilling and equipping of 3 No. boreholes Mphangwe ADC b) Construction of new Health Post at Chimsimbe village c) Rehabilitation of 2 No. 1x3 CRB and 2 No. staff houses at Mung'omba Primary School	35,700,000 47,000,000
5. Chadiza	a) Alteration of existing council Tavern into Rest House			
6. Mambwe	a) Renovation of existing market into Guest House and construction of ablution block		a) Completion of 1 No. 1x3 CRB at Nyakatokoli Primary School b) Construction of 1 No. 1x3 CRB at Nsefu Primary School	
Total	12 Projects	K615,536,023	21 Projects	K779,408,135

At time of MTE, the mission established that only four districts had spent funds on community projects, i.e. Lundazi, Chipata, Petauke, and Katete. The last is the only one of the additional districts from the original three that had spent any funds on community projects. Petauke, Chipata and Lundazi had spent any money on council projects and this accounted for 44 percent of all the DDF expenditures to date. Katete, Chadiza and Mambwe have plans for council projects but these are still being designed.

Ratio of Expenditure in Kwacha per Category



It is clear from Diagram above that the ratio on poverty alleviation versus council projects is low. Money generated by DCs from council projects is not ploughed to poverty alleviation efforts but used to sustain council activities in terms of salaries and wages and other running costs.

The Project Document envisioned the strengthening of the capabilities of District Councils through technical assistance and their capacity to generate revenue would be increased through 'revenue generating public projects'. A sum amounting to 40 per cent of the DDF was 'tentatively' designated to this type of project. Examples given in the project document included stores for leasing to traders, offices for leasing too, housing etc. These projects were required to be included in the district development plans. One question would be whether the DCs would have planned for these projects without the DDF. Is the availability of money not distorting the priorities of the District Councils? In some cases the DC are renovating hotels, bars or restaurants which were dilapidated due to poor management and lack of maintenance. Will similar fate befall the renovated buildings?

District Projects

- a) Markets and market stalls and infrastructure(Lundazi, Petauke, Chipata)
- b) Office blocks (Katete, Petauke)
- c) Guest houses (Petauke, Chadiza, Mambwe, Lundazi)
- d) Hotel/Bar/Rest House (Petauke, Chipata)

These projects are being implemented in a liberalised economy where there is private sector competition. DCs have poor record of managing commercial activities. The money tends to be used in paying for other council activities such as salaries and transport costs. There is no guarantee that the projects will generate profits. Will there be return on investment rather than view them as grant aided projects.

The inclusive planning system required participatory methodologies from the ADC to councils. Preparing project plans for public projects in a rural setting required specific expertise on the part of council staff and the management of the enterprises so produced was also another area generally outside DC capacity. It would have been an idea at design stage to make available loan money at concessionary rates of interest for private sector to put up the infrastructure and

facilities, rent them out for council to levy rates and user charges in their traditional domain. The requirement that 40 percent be earmarked for district projects was a condition and not a priority by the local authorities and local communities. It was therefore a constraint in the sense that this was planning outside community knowledge and use of the funds is not known to residents. Some priorities of the communities are left out as funds are tied up in district projects.

Local authorities raise revenue through a number of sources:

1. Central government transfers from the fiscus
2. Rates from rate payers
3. Licences and fees
4. User charges for water, roads, sewerage reticulation, school levies, clinic fees, land tax, other levies e.g. crop levies, livestock levies, royalties

In Eastern Province, 20 percent of local authorities' revenue is from central government transfers for council operations. An additional Road Board allocation amounts to 5 percent. The councils themselves generate an average of 36 percent from the other income sources. District Councils differ in their capacity to raise revenue locally. In year 2000, the DDF is expected to contribute 35 percent of the council revenue. About 64 percent of council revenues are from outside the district. However these figures do not factor in local contributions in kind especially for community projects.

It is the MTE Mission view that local authority revenues need to be clarified with central government including the MLGH and Ministry of Finance. There is need through the Decentralisation Policy to determine the standards of service to which every Zambian is entitled to be achieved by each local authority. Each LA would then require basic personnel and staff to deliver such service levels. The National Standards of Service must also determine the sources of funding. Central government should therefore ensure that each Zambian receives their share through funding local authorities for those basic services. The second tier or level should be where there is partnership in contribution between the LA and central government. The third tier can be funded wholly by the LA with community inputs where necessary. This arrangement could clarify the inputs from the LA and their revenue raising will be focused on specific service provision. A major problem is that revenue currently raised by local authorities is not seen to be going to the core business of local authorities i.e. service delivery. Many District Councils have bloated staff establishments whom they cannot retrench because they have no money to pay severance packages. Much of the revenue raised is spent on maintaining council staff and their operations especially in view of the fact that some councils range from 3 to 11 months in arrears in paying staff salaries. Many councils survive on collecting revenue through standard means, rates, user charges, levies, licenses. Central government transfers are erratic.

There are occasionally delayed disbursements of project funds. Some delays in the release funds are due to problems between the MLGH and UNDP. For the whole of 1999, no counterpart funds have been received from GRZ. Local costs are responsible for paying needs of the DPOs such as replacement costs for vehicle tyres.

Funds for the DDF are well managed and accounted for through the FMA/PLGFA and the minimum conditions and the subsequent performance indicators. MC/PI are excellent, but may not be sustainable. There is a cost involved in the exercise that may not be supported by government. The MC/PI are also more directly related to the DDF than to the government. This perception needs to change.

4.3 Project Impact

The financial management aspect has had positive impact on the project since August 1999 with the appointment of the Financial Management Advisor under a new arrangement with VNG. There has been consistent and productive backstopping from VNG. The FMA has previous experience under LOGOSP and some of the approaches follow experience from that phase. All

councils in the Eastern Province submitted their budgets before the deadline in December 1999. They however only received official approval of the budgets by the Minister in April and May 2000. The PLGO was impressed that the project had an impact on the DDF funds. The DDF allocations were also incorporated into council budgets.

4.4 Recommendations

The MLGH problems of tender thresholds need to be looked at and the programme should assist councils in getting these increased. There is need to increase liaison between MLGH, Ministry of Finance and UNDP.

The MC and PI are serious measures of accountability for the DDF. These should be institutionalised to support all funding systems at the local authorities. The disbursement system needs improvement as very little has been received from UNDP and the project expenditures and work schedules reflect delayed disbursements. The delays are in part caused by the bureaucratic system. Bids come from the districts to the Project staff who compile requirements. These are sent to the MLGH for verification and signatures before submission to UNDP for payment to Project Account. Sometimes the MLGH delays signing the requests or sometimes they are signed only to be returned by UNDP due to inaccuracies etc. The whole process is started again.

In the opinion of the MTE Mission, the 40 percent allocation to district projects needs to be reviewed in three ways. First, the sort of infrastructure should be left to private sector agencies who can receive these soft loans to put up infrastructure and rent them out or utilise these. The councils can generate revenue through rates and levies without distorting their limited technical resources, i.e. engineers and planners who should ideally spend their time on the core business of the council. Second, the amounts devoted to district projects do not necessarily address poverty alleviation issues. No profits are ever ploughed back into poverty focused efforts. The MTE mission received complaints that revenue from these activities tended to subsidise council operations as they offered ready cash that passed through mostly the imprest account. Thirdly, the planning system tends to be focused on district projects compared to community projects. Council projects are big, easy to monitor, council staff derive immediate benefits and are close to town and visible. Community projects that address poverty issues are distant, time consuming, not very visible and council staff derive very little direct benefit. The fourth aspect is that the councils do not improve legitimacy and credibility from district projects that do not benefit communities directly. A common question asked from a remote village is: "Should a council improve a hotel when there is no school or clinic in another area? Whose priority is being addressed in that planning system?"

SECTION B: CRITICAL ISSUES

5. Sustainability, Exit Strategy and Replicability

5.1 Status

The sustainability of project outputs i.e. both the process and the physical infrastructure is determined by the measure of institutionalisation of the process and clear-cut exit strategy by the project. As a pilot project, the replicability of the processes is therefore a crucial element. This section looks at these critical elements in the project sustainability. As a pilot, the DDP had as a major objective to test greater decentralisation and capacity building of local government structures and community systems.

The project was introduced to address the following gaps:

- Absence of a decentralised planning system;
- Inadequate capacity in the Provincial Planning Unit (PPU);
- Inadequate capacity in District Councils;
- Shortage of financial resources; and
- Lack and poor condition of infrastructure

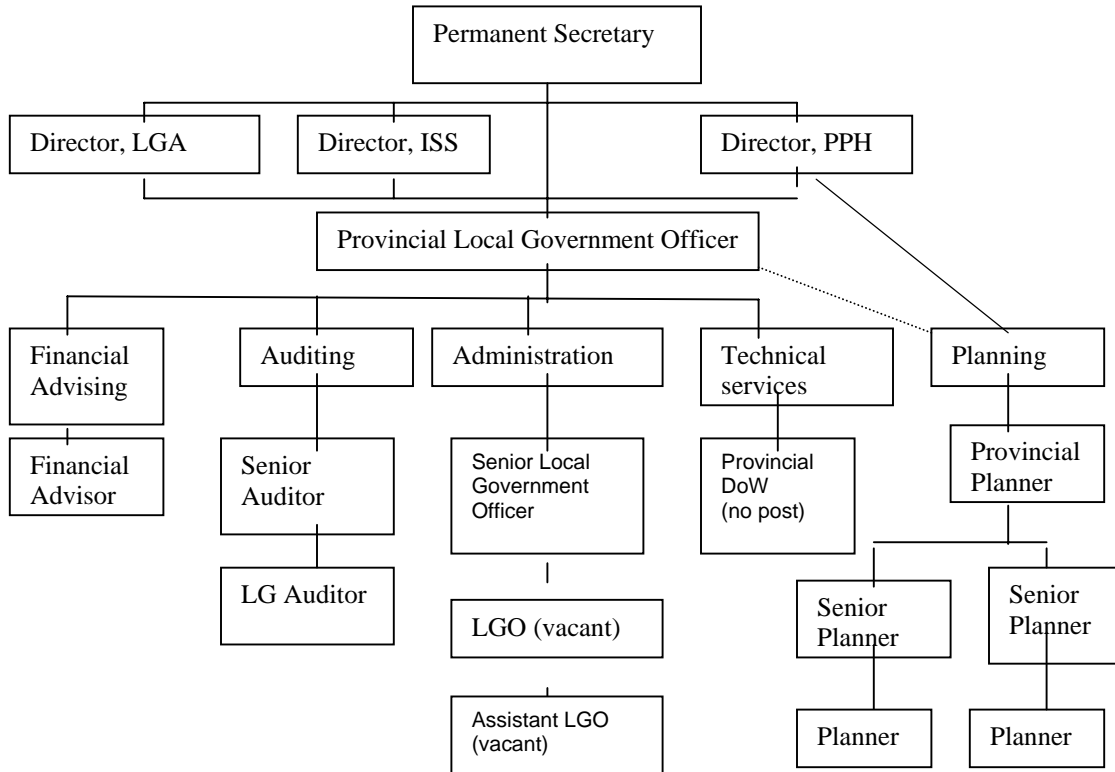
The 1995 Project Document had an in-built exit strategy. This included the institutionalisation of the project processes to provincial local government structures and local authorities. This was to be achieved through project staff working closely with provincial government officials, training district staff both central government and council officials. In the original document, there were two advisors, the District Planning and Implementation Advisor (DPIA), and the Community Participatory Planning Advisor (CPPA) both of whom were supposed to be expatriate staff. The two personnel would be “physically” located in PPU and work closely with the Provincial Local Government Officer (PLGO) and also advise the Provincial Permanent Secretary (PPS). The DPIA's major function would be to improve PPU's capacity in its major planning and advisory functions to local authorities. Specifically the DPIA was to advise the Provincial Permanent Secretary and PLGO on planning matters. Two British funded Local Government Support Project (LOGOSP) personnel would complement the DPIA and CPPA. The two, one financial management advisor and the other management and training advisor for local authorities would also be stationed in the province within the PLGO's offices. The focus of all four personnel would be the provincial level central government staff in their role to support local authorities in the province.

Three things then happened that had a bearing on the direction of the project. First, between 1996 and 1998, the status of the PPU was in limbo as first the NCDP was abolished and their position was unclear within government and to which Ministry they belonged. The department's transfer to the Ministry of Local Government was never effected conclusively. Second, the LOGOSP funded by the British was abruptly terminated in August 1997 without the planned second phase due to in part unfulfilled conditions and probably due to change of government in the United Kingdom. Personal problems between the PPU and the project exacerbated the situation as well. Third, the post of CPPA remained unfilled due to misunderstanding on recruitment procedures between the GRZ and UNDP. Instead of expatriate technical advisor, the GRZ expressed interest in having local personnel in the key posts. Within a year the expatriate DPIA terminated his contract.

Institutionalisation at Provincial Level

The project has therefore shifted from the original design. As a nationally managed project, a project manager situated in the PLGO's office was appointed (September 1996) to manage a team of advisors on the DDP and two others on the Feeder Road Programme (FRP). From that time on one agrees with the assertion that the DDP was no longer following the design, but simply evolving.

The project has tended to duplicate the functions of the PLGO with advisors who carry out these functions. The functional structure of the PLGO's office as illustrated in organogram below. Granted the Provincial Planning Officer does not fall directly under the PLGO but the latter is the senior local government official at the provincial level.



The Provincial Physical Planning and Housing section (now to include regional planning functions as well), does not fall directly under the PLGO but is a MLGH department at the provincial level. The PLGO's office has the following other sections: the provincial auditors, provincial financial advisor, local government administration and management of local authorities. The PLGO and the project have requested the posting of a Provincial technical section to be headed by a Provincial Director of Works. It is clear that there is scope for institutionalisation of the project at the provincial level if the office were strengthened and resources made available for supporting the PLGO's office operations. The office of the PLGO remained weak in terms of staff, equipment and financial resources to effectively supervise and monitor activities of the local authorities.

The organogram of the project shows the nature of linkages between the project and the rest the MLGH starting with the PLGO and the head office of the Ministry. It is evident that there is limited linkage between the Project Advisors and the MLGH officers at the provincial level due in part to two issues. The PLGO's office is poorly staffed to benefit from linkages with the project staff. Secondly, the structure of the project has not focused on the PLGO and some of his staff save for the Provincial Local Government Financial Advisor (PLGFA) working closely with the Financial Management Advisor (FMA).

At the provincial level, the project has facilitated the creation of a Provincial Assessment Committee (PAC) made up of provincial officials including the private sector to assess district councils and municipal councils on the nine minimum conditions (MC) for access to the District Development Fund. After access has been assured, the PAC follows up on performance indicators (PI) that assesses how councils are performing. Both the MC and PI are not new. They are included in statutes that govern local authorities. The only major point is that these MCs and PIs tend to be viewed more as requirements for access to DDF and the PAC visits to local

authorities are funded by the project. The PLGO therefore needs resources to continue the process in the event of that process being institutionalised.

Institutionalisation at National Level MLGH

Sustainability of the outputs of the process and activities to a large extent depend on the MLGH at head office or national level. MLGH is headed by the Permanent Secretary and deputised by Directors. The ones shown on the organograms directly involved in the project are the Director of Local Government Administration, Director of Infrastructure and Support Service, and the Director of Physical Planning and Housing. Additionally there are also the Directors for Special Projects Human Resources (responsible for HRD for the Ministry personnel and for local authorities as well).

The importance of the Ministry is in being the owner and implementor of the project and they are responsible for:

1. Giving account or reports on project progress.
2. Supervising and ensuring grant funding for all local authorities in the country.
3. The performance of the PLGO.
4. Taking the lessons of experience from the project (and other projects) nationally and for replication of successful lessons.
5. Portfolio for ensuring the decentralisation policy through Cabinet.

The MTE mission findings are that there is very limited efforts on the part of the Ministry to institutionalise processes and to ensure that the lessons from the project are taken up for replication by other provinces. Attendance at the NCC meetings by the Ministry is erratic to say the least. The project team and local authorities are confused by the non-attendance of local government officials at the quarterly meetings. There are no apparent reasons for limited action by the Ministry.

Institutionalisation at District Level

The status of sustainability rests with the capacity of local authorities themselves to remain viable entities. Local authorities have a very weak revenue base. All are in arrears with payment of staff salaries. They have bloated staff establishments and transfers from local government are inconsistent.

The DDP has focused on training council staff in particular the District Planning Officers (DPO), the Directors of Works, (and the two sections have also been equipped with computers, drawing equipment and vehicles, and the treasurers and their support staff.

Up streaming and replication

Achievements by the project in up streaming:

- The project manager is on the Policy development committee
- The project manager has been involved in the development of ZAMSIF and the replication of the project activities.
- The Permanent Secretary of the Ministry of Local Government and Housing is has some involvement in the project in Eastern Province. He is in regular contact with the project manager

5.2 Assessment and Findings of project implementation and sustainability

Sustainability is weak as the PPU's, the form of institutionalisation were abolished. The termination of the Local Government Support Project (LOGOSP) also led to re-focus by the project. The DDP has been operating without a clear exit strategy and sustainability aspects are

not as clear. There is an acceptance by the project team and by local authorities themselves that sustainability of project outputs and processes learnt cannot be sustained unless a deliberate effort is taken to institutionalise the processes. There is a strong feeling in many quarters that the Provincial level is not really necessary and should therefore not be strengthened, as it is weak and superfluous. While this arguments has its own merits, the central government still considers this level as crucial to national cohesion to such a large country as Zambia. The presence of the Deputy Minister, Provincial Permanent Secretary and other provincial level departments are indicators of that importance. The project has therefore set up a parallel structure that is in actual fact carrying out the functions of the PLGO. The fact that the project manager is a MLGH official gives a false image of institutionalisation.

The MTE Mission established that there is within current operations of the project no exit strategy. The project is not institutionalised at province and national levels. Some elements of the project process however feature some direction towards institutionalisation i.e. MC and PI and the PAC. The project has done much to strengthen capacity of local authorities in the Eastern Province to plan with communities and to provide and maintain infrastructure, to manage finances and ensure accountability. However, the sustainability of that enhanced capacity is in doubt in the absence of clear and deliberate mechanisms for institutionalisation.

The project suffers from lack of sustainability in part due to the environment of unclear division of functions between the central agencies and local authorities, e.g. District Agricultural Committee, Health Boards.

Funding mechanisms for local authorities are precarious. Their revenue bases are poor and sometimes undermined by the actions of central government. There are however some positive lessons from the project in financial management and revenue generation.

Linkages between the project and the MLGH are weak, unclear, and there are limited absorption mechanisms for lessons learned.

The findings on the level and scope of up-streaming are as follows:

- The project manager is the key liaison person in/with the MLGH. The director of Local Government Administration has not been involved, so the sustainability of up streaming remains in question.
- Absence of a steering committee. Though there is a National Consultative Committee, it does not reflect a wide spread decision-making power.

Except for the Project Manager who is a civil servant, the MLGH knows little about the project, its objective, expected outputs or activities. There is little potential for up streaming with an uninterested MLGH.

5.3 Project impact

There is very weak evidence of institutionalisation of project processes and systems. However some of the few institutionalisation mechanisms have been adopted or about to be adopted by other agencies for replication. The replication has been a result of direct contact between Eastern Province and other provinces and not from the efforts of the implementing MLGH, who have to date played a very passive promotion role. The DDF concept has been adopted and adapted by GTZ in the District Development Project southern province (DDP SP). GTZ provides a very small grant for capital development to communities. The DDP-Southern Province advise and facilitate community capacity to source for funding from various sources through the provision of a database of potential funding agencies and their requirements.

The ZAMSIF project by the World Bank incorporates the Minimum Conditions (MC) for access to the DDF by local authorities and the subsequent Performance Indicators (PI), and the idea of Memorandum of Understanding (MoU) from the DDP. Districts in the Eastern Province will benefit from the ZAMSIF because the DDP has performed well in MC and PI.

5.4 Recommendations

It is recommended that the Project Staff develop an exit strategy for the project to ensure sustainability of outputs and process. One mechanism is through the spread and replication of lessons learnt as they feed into practice and policy.

It is recommended that the MLGH review institutional arrangements in relation to the project to facilitate its take up of lessons from project practice. A functional review by the MLGH of the Ministry vis a vis the project and project objectives is essential and the process will necessarily determine a way forward. MLGH can carry out this review by itself or with the assistance from UNDP/UNCDF.

The MLGH should establish together with the project and PLGO ways of institutionalising the project in the provincial structures so that capacity building efforts and use of the performance indicators continue beyond the project period.

Technical capacity established in the districts through the projects should be sustained by adequate backstopping arrangements by the MLGH.

The MLGH need to clearly define revenue sharing between the centre and local authorities.

The MLGH needs to implement comprehensive reforms in the local authority management structures.

Develop and implement an appropriately supportive decentralization policy

The MLGH should establish an inter-departmental steering committee which would be responsible for integrating project lessons learned into the national dialogue.

The capacity of the MLGH to support, supervise and set standards for local governments needs to be enhanced through the project. UNDP and UNCDF must offer assistance in that role.

Encourage increased participation by the MLGH in the project activities, especially the Director of Local Government Administration

6. Technical Backstopping

6.1 Status

Technical backstopping to the project is the responsibility of UNDP, UNCDF, VNG and GRZ. While backstopping from VNG primarily focuses on strengthening the capacity of the Treasury departments and increasing the competence of administration in the District Councils, the other agencies provide backstopping on overall policy matters related to project implementation and strategy. Specifically UNDP, UNCDF, and GRZ backstopping is intended to provide guidance to project implementation and monitoring progress.

To date, UNCDF and UNDP have provided backstopping to the project through Technical Review Missions and provision of technical support in specifically identified areas such as the establishment of minimum conditions and performance indicators. VNG backstopping has involved mainly working with the Financial Management Advisor (FMA) and the Provincial Local Government Financial Advisor (PLGFA) to facilitate short-term advisory missions, individual internships and general activities by Dutch municipalities.

6.2 Assessment and Findings

Prior to 1998 UNCDF and UNDP backstopping support was very poor. Being a non-concentration country in UNCDF's categorisation, there has been no established programme for backstopping the DDP. Efforts by the RTA in Uganda very appreciated and assisted in transforming the project. However, following the arrival of the new Programme Manager in 1999, there has been a considerable increase in backstopping activities by the two agencies. During the last half of 1999 alone there were three backstopping missions as follows;

August 16-20, 1999: UNCDF Support Mission to Zambia:

- Undertook an institutional an institutional analysis as part of the finalisation of the CDF input to the PSD on Public Sector Restructuring, decentralisation and local governance
- Participated in the MLGH/donor co-ordination meeting on local governance
- Consulted with GRZ and the World Bank on the Social Recovery Project and related programmes in UNCDF
- Briefed UNDP on the outcome of the UNCDF evaluation and recent policy developments at UNCDF

ii. October 18-30, 1999: UNCDF Technical Support Mission to:

- Reviewed progress with the implementation of the first round of District LDF investment projects
- Reviewed the results of the recently completed district assessments of compliance with access conditions; suggest adjustments to conditions and indicators as relevant
- Reviewed and advised on proposed arrangements for sub district allocation, planning and production arrangements
- Assist PSU staff to prepare a common work plan for the period November 1999 to end June 2000
- Review, update and finalise the logframe for the new programme document, with special emphasis on the eastern province portion of the PD
- Review 1998 proposals for communication M & E and update for inclusion into the relevant into the PD
- Review the overall state of decentralization and government commitment to it at the district, provincial and national levels

iii. 29 October to 8 November, 1999: Technical Mission to;

- Provide technical support to the eastern province programme (LDF and FRP)
- Advise and update the programme document ZAM/99/CO1
- Recommend 'way forward' on when and under what circumstances this PD should be submitted for appraisal and approval.

From the terms of reference of these missions, it can be observed that there has been an up scaling in the backstopping support to the project from both UNCDF and UNDP.

VNG started out poorly with infrequent and unfocused visits. This led to the proposal to hire a full time Financial Management Advisor (FMA) so that there would be increased continuity in the financial management sector. With the placement of a full time FMA, VNG's support became focused, directed and more relevant to council requirements.

Overall, VNG backstopping to the project is now programmed and to a large extent based on identified needs as evidenced by the November/December 1999 Technical Evaluation, which was given the responsibility of conducting a benchmark study of financial management as a process.

This baseline study was an excellent exercise that is now leading the project process. As part of this backstopping programme, Dutch municipalities provided various forms of backstopping support to eastern province district councils during 1995 to 1997. The support activities involved the following:

- Municipal Management Training Programme for Treasurers of all districts (1996)
- Advisory missions by financial experts from different municipalities to Chipata, Lundazi, and Petauke. This was concluded by a two day workshop for Treasurers of all Districts (1996)
- Municipal Management Training Programme in the Netherlands attended by the Provincial Local Government Officer and all District Secretaries (1997)
- Advisory mission by Dutch municipal experts to all districts (1997)
- Three days seminar on management attended by PLGO and all District Treasurers (1997)

As part of the 1999 to 2001 VNG support to the capacity building programme, two Technical Support missions were carried out during the period August to December 1999.

While the backstopping by UNCDF and UNDP is good when it is provided, it is usually not based on needs-assessments and is sometimes poorly timed. Moreover, it does not involve follow-up, coaching or mentoring activities. This backstopping support is also not demand-driven as councils have not made specific requests for such support from UNCDF and UNDP.

UNCDF and UNDP should plan annual review missions and backstopping plans with council staff. Councils should be proactive by ensuring that backstopping from these agencies meets their needs.

MLGH should play a greater role in co-ordinating backstopping activities to ensure that this support is government driven while the UNDP and UNCDF should provide the technical support as demanded by the project and councils.

VNG backstopping to the project is now better programmed and to a large extent based on identified needs as evidenced by the November/December 1999 TE mission which was given the responsibility of conducting a benchmark study of financial management as a process.

However, most of the personnel who went through short-term internship in the Netherlands have expressed a common concern that municipal councils in that country are so highly advanced that they do not provide a basis for comparison with councils in Zambia, in general, and eastern province in particular. These internships therefore do not offer adequate learning opportunities for participants from eastern province, as the relatively rural setting in this province is significantly different from the highly developed environment in which Dutch municipal councils operate. The differences in environments make it difficult for the participants to bring home lessons from the Netherlands that could apply in eastern province district councils.

6.3 Project Impact

Initially, backstopping by all players was inconsistent. Although there has been remarkable improvement in this support, it remains largely supply driven and not based on needs assessment. For example, the backstopping support that was provided by the UNCDF RTA was not programmed and only provided as and when an opportunity arose. Without this much-needed technical support, the project's capacity to contribute to the strengthening of Local Authorities was limited.

Overall, the backstopping that has been provided by VNG has been very useful in assisting all councils to qualify for DDF. Through the training provided and the additional Technical Assistance missions, the councils have been able to improve their financial management capacity to a level where they meet the requirements of the minimum conditions.

In addition, VNG's continued provision of backstopping support to the project under the 1999 – 2001 capacity building programme has been instrumental in ensuring that councils continue to improve their financial control and management standards by maintaining their focus on performance indicators. An added benefit of this technical support is that all councils are now able to timely submit their financial reports to the PLGO's office.

6.4 Recommendations

The technical backstopping must be demand driven, targeted and monitored.

The GRZ should co-ordinate the backstopping by the other agencies: UNDP, UNCDF and VNG in addition to their own efforts.

VNG must ensure that their technical support is demand driven, and not necessarily driven by the budget allocation, and that when unnecessary it is reduced. In order to maximise the learning opportunities for participants, it is recommended that these internships should be in countries that offer success stories in municipal management while at the same time, share some developing world characteristics with Zambia.

7. Gender

7.1 Status

“The Government acknowledges that Zambia's culture and tradition has hindered female participation and advance while enhancing male dominance in access to means of production, control, decision making and power. Although the women of Zambia constitute 52% of the population, they are amongst the poorest in society.” **(National Capacity Building Programme for Good Governance in Zambia, March 2000)**

In this context, Zambia's current commitment to gender issues are found in the following actions:

- In 1985 it signed the Convention on All Forms of Discrimination Against Women (CEDAW).
- Stakeholders who participated in the Beijing Platform of Action formulated a Draft National Gender Policy in 1996 that was signed in early 2000. The content of the policy is not widely known.
- Zambia signed the Southern Africa Development Community (SADC) Gender and Development Declaration in 1997.
- Established a Gender in Development Division in Cabinet Office in the Office of the President, headed by a Permanent Secretary
- Changed school curriculum to gender neutral language
- Pursues a policy of Affirmative action by giving low cut off points/pass marks for girls in grades 7-9.

In order to gain gender equity and integrate gender issues into all spheres of development much more needs to be done. The DDP, working with decision-makers at community, district, provincial and national level has an excellent opportunity to spearhead gender development in Eastern Province. Unfortunately, this has not occurred at time of mid term evaluation.

There is currently no Gender Strategy for the project. Though efforts have been made to incorporate gender balance into the project activities, the only successful levels can be found at the ADC level and through the Feeder Roads Project.

All of the project staff are men; all of the decision makers related to the project at the Provincial and District level are men. Though the project has no responsibility or influence on gender

equity amongst councillors, Table 7.1 fairly illustrates the gender balance in most districts councils.

Table 7.1 Gender Balance in Councils

District	Total Councillors	Men Councillors	Women Councillors
Chadiza	24	22	2 (one MP)
Chipata	20	17	3 (one MP)
Katate	27	25	2
Mambwe	13	12	1
Nyimba	11	10	1
Petauke	20	19	1

The situation, as noted, is quite different at the ADC level. The criteria for selection of elected members of the ADC include the selection of one man and one woman from each zone in the Area. This has resulted in comparably different gender balance in all of the current ADCs. The higher percentage of men in the trainings noted below is a result of all the appointed ADC members – chief's representatives, headmen, and extension staff – most of whom are men.

Table 7.2 ADC Training by Gender

No.	Dates	Month	District	Type of Training	No. ADCs Trained	Participants	
						Male	Female
1.	28 - 2	Sep – Oct '99	Petauke	ADCs Orientation	3	17	12
2.	4 - 9	October '99	Lundazi	ADCs Orientation	3	18	15
3.	19 - 23	October '99	Chipata	ADCs Orientation	3	29	10
4.	26 - 29	October '99	Katete	ADCs Orientation	3	25	17
5.	9 - 11	February 2000	Mambwe	C Gs Orientation	3	28	14
6.	23 - 27	February 2000	Nyimba	ADCs Orientation	3	23	10
7.	28 - 1	Mar – Apr 2000	Chama	ADCs Orientation	4	45	7
TOTALS					22	185	85
PERCENTAGE COMPARISON						68.5 %	31.4 %
GRAND TOTAL						270	

With regard to the feeder road project, strong emphasis was placed on creating gender balance at the outset of the project, making an equal representation in project activities more likely. It is commendable that women participate equally with men in all the feeder road project labour based activities, earning the same salary and have equal opportunity to become supervisors. To date there are no female contractors.

7.2 Assessment and Findings

The Feeder Roads Project provides a good model for creating gender equity in a project in terms of its labour-based characteristics. Since it incorporated a gender strategy from the beginning the potential for success increased as the project proceeded. There was a conscious effort in all activities to ensure equal participation of men and women. The same gender equity support was instituted in the ADC formulation process, requiring that all elected zone representatives be one man and one woman. Because the initial criteria included gender balance, it became an accepted part of the process.

This is not the case above the ADC level in the councils, among district staff or in the project. As the table above illustrates, there are few women who are elected councillors; the MT Evaluation Team met no women decision-makers in council management units and there are no women in the current project staff roster. Though project management has made a concerted effort to recruit women to create a better gender balance there has been no success to date. When the MT Evaluation asked why this type of imbalance exists on so many levels and that without affirmative action, it is unlikely that women would even be considered in the decision making process, the response was:

- It is cultural: women do not participate in development work at the council or office levels.
- It is difficult to hire women because they must follow their husbands to his work place/location
- Women are afraid of interviews, or don't know how to participate in interviews.
- Qualified women are simply not available for the positions that are opened.

These responses are common when discussing the potential for gender equity. A concerted effort could be made by the project management and team to assess why these arguments exist and what the project can do to assist people with gender analysis. Getting to the root causes, discussing them and analysing the issues are the only ways to change a situation.

Though efforts have been made to create gender balance in the project through the ADC criteria and attempts to hire female project staff, there has been little success in incorporating gender awareness or strategies into the DDP. There has been no effort to date to create and establish a gender strategy in the project.

7.3 Project Impact

The absence of a gender strategy and gender balance has a strong influence on the project. All project activities; decisions and results are seen through the eyes of one gender, often affecting the potential to plan activities that should have both genders considered.

The existence of gender equity at the ADC level has had some positive impact on creating further awareness on the capacity of both genders to contribute to the process of development. A difficulty does arise though in encouraging the active participation of women in the ADCs. Though there is gender balance, there may not be a balance of participation. In discussions with ADC members during the Mid Term Evaluation Review, it was difficult to receive the opinions of women unless they were directly asked to participate. Men dominated all of the discussions. When the women did speak, they had useful points to offer. When asked about their own participation most women responded that they try to influence decision making during project selection, but are often ignored. In a small but interesting sample of four ADCs visited during the MT Evaluation, all women said they would prefer to have income generating activities funded by the DDC as a first step in village development. They said that with the income generated from such projects as the purchase of sewing machines or hammer mills, they would be able to use the money to support other social service activities. This analysis is consistent with the findings

of the Southern Province DDP project which focuses on income generating activities as a first step to development in the communities.

7.4 Recommendations

In order to ensure inclusive participation in all areas and levels of the DDP, the UNDP and Project Manager should facilitate the integration of gender issues in the DDP as soon as possible. This attention may involve if necessary the services of a specialist with the responsibility of facilitating a gender strategy for the project team, councils and ADCs. The gender strategy should be prepared in the context of the current National Gender Policy.

8. Communication Strategy

Background

According to the project strategy, the communications strategy has three broad purposes;

- a) To ensure adequate, reliable and timely information to support project execution and implementation decisions including local planning and allocation processes.
- b) To ensure linkages are established and maintained between central agencies responsible for defining national policy and procedures for decentralised planning and financing and the project. District and provincial authorities implementing the project.
- c) To ensure transparency and accountability in the allocation and use of District Development Fund (DDF), during the implementation phase, the achievement of these objectives requires well-developed communication arrangements among the major stakeholders.

8.1 Status

In pursuance of these objectives, the project carried out a number of programmes and activities including:

- a. Identifying stakeholders in various districts.
- b. Carrying out district profiles to facilitate district planning.
- c. Using the radio (Radio Maria) a catholic radio station to explain the project to various stakeholders. Using newspapers to sell the project, attending district agricultural shows to explain the aims and objectives of the project and how it affects various stakeholders.
- d. Establishment of the National Consultative Committee. This committee comprising of international (ILO, UNDP, UNCDF), national, provincial and district representatives, representation of NGOs and other organisations interested in the project has since inception on 26th March 1997 met quarterly to review the project. As at 3rd February 2000, the committee had met thirteen times. Since inception, the committee dealt with the establishment of the project, staff, office space, project vehicles, motor vehicles for councils for project work, generally other matters relating to the District Development Project and feeder roads project.
- e. Facilitation of networking between councils in the Eastern Province, and with councils and officials in other provinces.

8.2 Assessment and Findings

The foregoing initiatives by the project have facilitated the publicising of the project to its stakeholders, an important pre-requisite for a good start up for the project. It should be stated that the communication strategy has been undermined by the late arrival of various advisors at the project as follows:

Table 8.1 Personnel in Posts within the Project and their recruitment

Project Manager District Planning implementation Advisor (Expatriate)	3 rd quarter of 1996
District planning and implementation Advisor (1 st Local)	3 rd quarter of 1997
Community participation planning Advisor District Planning and Implementation Advisor (2 nd Local)	1 st quarter of 1999
Communications Officer	3 rd quarter of 1999

It can be concluded that had these officers been in post from inception, a better communication strategy would have been instituted. As it was, the strategy implemented lacked essential ingredients; establishment of linkages between the various stakeholders at the district level between the district and the provincial level and the national level for ensuring smooth and timely information flow and for facilitating up streaming for the purpose of influencing policy.

While initiatives such as publicity through electronic and print media and networking with other stakeholders and with institutions with similar missions have made their contribution, the communication strategy has had limited success in informing higher levels of government. The National Consultative Committee as a tool of Up streaming has not been very successful because of lack of an institutional framework. Because of lack of policy on decentralisation and lack of co-ordination at the Ministry of Local Government and Housing, whatever information emanating from the committee has no influence on the development of policy.

The project has been communicated locally by radio, newspapers and through agricultural shows as well as through networking between councils within the Eastern Province.

The National Consultative Committee as an up streaming tool has had limited success because the Ministry of Local Government and Housing, the major conduit of such up-streaming has not been very receptive to the lessons coming from the project.

The Project Manager is in touch with MLGH and this forms the main channel for up-streaming for the project apart from the NCC meetings. The PM is a MLGH official obviously pegged according to the Ministry's hierarchical structure. It is difficult for up-streaming in a very bureaucratic structures. This mechanism for up-streaming needs to be re-examined for a less bureaucratic one. The project has however benefited from the close linkage and trust between the PM and Permanent Secretary.

8.3 Project Impact

In looking at the impact of communications strategy, we are looking at how effective this strategy has been not only at the local level but more importantly at the higher levels of government i.e. provincial and National level. It should be an important function of this strategy not only to convey progress on the project but also lessons being learnt from project implementation that will influence policy. In that sense, this strategy has had no impact. As stated, in the absence of the decentralisation policy, communication lines are not clear and there is no structure at the centre to receive the information to foster the policy.

8.4 Recommendations

The DPIA, CPPA, FMA, and from the FRP, NRE 1 must in addition to the Project Manager have access to national level personnel in order to influence policy at the Head Office within their areas of speciality. The paper presented by the FMA at the National Symposium on Financing Local Government in Zambia January 2000 showed clearly the level of input the advisors can give to national policy debates. The NRE 1 should mobilise DISS, DPIAs with the DPPH, and Financial Management Adviser with finance departments and DLGA and even Ministry of Finance.

In addition, up-streaming so essential to the passing of lessons from the project, it is recommended that:

- a) The Ministry of Local Government and Housing though its Directors should be more actively involved in project implementation. The problems raised at National Consultative Committee meetings in Chipata concerning the project must be addressed and resolved by the MLGH expeditiously. Directors from MLGH must attend some of these meeting to facilitate up streaming and replication.

9. Monitoring and Evaluation

The Project Document clearly stated the monitoring and evaluation systems for the project. Monitoring and assessment of project impact (evaluation) would be done based on three things:

- Internal project reports and work plans by the DPIA and CPPA, FMA, TO and CO,
- Annual tripartite reviews by GRZ, UNDP, and “if possible” UNCDF,
- Periodic technical review missions
- Independent evaluations

The Government of Zambia, the UNDP and UNCDF are jointly responsible for monitoring of the progress of the project. Internal project reports are crucial to ensure that the progress of implementation is monitored, problems detected in time and necessary action taken to address the problem. The inception report outlined the work plan including a detailed timetable for implementation. Tripartite review reports and independent evaluation reports were also required. The DPIA and CPPA were assigned the responsibility for reports. A number of technical review missions were carried out with reports prepared. These have been covered under backstopping above.

The reports required were as follows:

Report	By whom	Emphasis	To Whom
Inception Report	DPIA & CPPA	Work plan, procurement and disbursement schedule	UNDP UNCDF GRZ
Semi Annual and Annual progress reports	DPIA & CPPA	Progress problems Plans	UNDP UNCDF GRZ
Mid-term evaluation 3 rd year	Independent Consultants	Progress, problems, recommendations	UNDP UNCDF GRZ
Final report 5 th year	DPIA & CPPA	Achievements Impact	UNDP UNCDF GRZ
Final Evaluation 5 th year	Independent Consultants	Lessons Learned Recommendations	UNDP UNCDF GRZ

After the inception report semi-annual and annual reports were required from the specific Advisors.

9.1 Status

The following reports were prepared:

- a) The inception report, 1997 by the DPIA. The CPPA was not appointed and he joined only in January 1999.
- b) One semi-annual report, the combined report of January to June 1999 by DPIA and CPPA.
- c) The mid-term Evaluation by independent Consultants. April 26th to May 25th 1999 (in preparation).
- d) Quarterly reports – 13 reports since March 1997.
- e) Technical Evaluation missions – 3 by UNDP / UNCDF staff.

The Inception report was prepared in May 1998 and laid out a number of issues. The first was that the two projects in the Eastern Province, the DDP and Feeder Road Project (FRP) would produce quarterly reports for consideration by the NCC which would meet quarterly to receive reports. The composition of the NCC included all local authorities in the Eastern Province, UNDP, MLGH represented by the three directors, DISS, DLGA, and DPPH, and the Project Team represented by the Project Manager. The establishment of the quarterly report did not preclude the preparation of the semi-annual and annual reports as required in the project document. At the district level, a District Management Committee would be established to report to the project manager.

One semi-annual report termed a combined report January-June, 1999, was prepared combining both the FRP and DDP was produced and presented to the quarterly meeting of the NCC. Even in that report, the Project admitted that “ There is need to come up with monitoring and evaluation plans based on work plans for projects and councils”. Quarterly reports have been prepared more regularly mainly in line with ILO requirements for the FRP and for the NCC.

The project is monitored and evaluated through quarterly reports by all eight councils in the Eastern Province and the Project Manager to a National Consultative Committee. Additionally, project staff through monthly work plans monitor the performance by various members of the council Secretariat i.e. Town Clerk, Council Secretary, Director of Finance/ Treasurer, Director of Works / Town Engineer, District Planning Officer. There are also technical review missions by VNG which are a monitoring tool. The project team with local authorities and backstopping from UNCDF, have facilitated the preparation of Minimum conditions and performance indicators for local authorities. Performance indicators are a form of monitoring and evaluation of the progress of local authorities and this must be commended and reinforced.

9.2 Assessment and Findings

There is a disparity between the monitoring and evaluation envisaged in the project agreement (1995) and the monitoring and evaluation implemented by the project. The project staff has been submitting quarterly reports through the NCC. Quarterly progress reports are useful but do not dwell on how well the project met work plans and project objectives as it was too short to indicate progress made and the impact of such progress on the project. The DPIA and CPPA and lately the FMA are subsumed under a report to be prepared for the Project Manager. The ideal is that each section should prepare and present their quarterly, half-year and annual reports based on work plans prepared at the beginning of the year and updated throughout the year. This includes project management issues to be presented by the Project Manager as well. The innovative MC and PI mechanisms are excellent and need to be institutionalised.

The monitoring and evaluation needs revamping. The project document laid out clear monitoring mechanisms. Unfortunately these were not adhered to without effective alternatives being put in place. The NCC provides some form of monitoring and evaluation. The minimum conditions applied by the provincial Assessment Committee have provided baseline. The performance indicators also provide a monitoring tool. However, there is still a gap in appropriate monitoring and evaluation mechanisms.

9.3 Project Impact

Monitoring and evaluation has had limited impact on the project. The required semi-annual and annual reports and tripartite reviews have been completely absent or ignored. There is no internalised monitoring and evaluation system where District Councils, Project Team and the Tripartite (including VNG) have reflected on their plans and performance against targets of the project. The MTE Mission failed to establish the reasons for the many changes in the project from 1998 implemented in 1999. These included the change from expatriate staff to locals as a policy matter, from one DPIA to two, from VNG missions to a local FMA, and for a Communications officer. The MC and PI are useful elements that should continue to assist the project.

9.4 Recommendations

It is recommended that;

1. The Tripartite and Project Team should prepare a comprehensive Monitoring and Evaluation System based on a proper reporting format based on the original project document.
2. To ensure that enough attention is paid to monitoring and evaluation issues, the project must engage on a short-term basis a monitoring specialist to put in place an inclusive and participatory monitoring and evaluation system starting at the ADC to national level.
3. There is need to allocate within the project adequate resources for the monitoring and evaluation portfolio.
4. Tripartite reviews should be held annually by the three main agencies: GRZ, UNDP and UNCDF.
5. The role of the NCC as a monitoring and evaluation tool needs to be enhanced so that the decisions of the committee where appropriate are used to convey lessons to correct past mistakes and to influence future policy.

10. Project Management and Reporting

10.1 Status

The original institutional framework for project implementation placed the MLGH as the GRZ Executing Agency at the national level. The Provincial Planning Unit (PPU) was the project implementation representative of the Ministry at the provincial level even though the PPU was a different department (National Commission for Development Planning (NCDP), from MLGH. The project was to be located in the PPU with the key expatriate staff, namely the DPIA and the CPPA operating physically from the PPU. Functionally, the project was to work with the PLGO and the CRP to provide training to personnel in the PPU and the Councils. The MLGH had at the same time also another project, the Feeder Roads Project (FRP) signed with the ILO, UNDP and UNCDF for the Eastern Province. This was located in the PLGO's office.

Initially, all project management responsibilities were vested in the CRP, who was the Head of the PPU, while the PLGO was the link between the project and the DCs. Following the dissolution of the NCDP, under the PSRP, and the transfer of most of its functions to either the Ministry of Finance or MLGH. The PPU gradually dissipated. Consequently, the functions of the PPU and the remaining staff remained in the Provincial Permanent Secretary's office while others went to DPPH in the MLGH. The project was formally brought under the PLGO. The MLGH in September 1996 appointed a Project Manager to manage both the FRP and the DDP. The particular official is still a GRZ officer from the DPPH. Figure 11.1 below illustrates the organisation structure obtaining as detailed by the Project manager.

The focus of the DPP is on planning and implementation and therefore one would have expected the project to have ideally fallen under the DPPH in the MLGH especially if one considers that similar projects in southern province and sustainable Lusaka Programme fall under DPPH. The DDP was viewed as one that cut across departments also including Infrastructure and Support Services, Financial and Administration of local authorities, and Planning as well as Human Resources Development. Even if it was housed in one department, it would still require a high degree of co-ordination to fulfil the objectives of the pilot project i.e. learning from the experiences. At the decision to allocate the project responsibilities to the DLGA, a committee of either Directors or their immediate deputies was tasked with co-ordinating learning from project practice to inform policy. This has never been achieved. The limited co-ordination of the stakeholders by the responsible Director of LGA is difficult to understand but resolution of this problem can help in establishing management practices that accommodate lessons of experience. The organogram illustrates the linkages and reporting systems from the Advisors, the Project Manager and the Ministry.

Financing the Project

The project is financed jointly by UNDP, UNCDF, GRZ and VNG. According to the project agreement, the funding arrangements were as follows;

UNDP:

UNDP funding covers the majority of the technical assistance financing through support to the positions of DPIA and CPPA. The other part of the funding covers other costs related to technical assistance including institutional development support and HRD. The breakdown of this funding, as laid out in the project document is as follows;

i.	Personnel	US\$ 1,380,000
ii.	Institutional development support	140,000
iii.	HRD	190,000
	Total	1,710,000

The total has been revised to a new figure of US\$1,483,701.

UNCDF:

UNCDF funding finances the DDF for which US\$2,000,000 was provided in the budget. The other remaining amount is used to cover institutional development support and the procurement, operation, and maintenance of project related equipment. The equipment include motor vehicles, office equipment, furnishings, and supplies for the DCs and project staff. The breakdown of UNCDF funding is as shown below.

i.	District Development Fund	US\$ 2,000,000
ii.	Institutional development support	507,490
iii.	Equipment	256,600
	Total	2,764,090

The total contribution was revised upwards to US\$2,880,838 which included a budget item termed programme support costs amounting to US\$83,908. .

GRZ:

The local cost of the project is funded by GRZ. This element mainly covers government personnel and other support staff to the DPIA and the CPPA. The breakdown of this funding component is as shown below.

i.	Personnel	US\$ 164,295
ii.	Office & residential accommodation	85,705
	Total	250,000

In addition to these funding sources, the Association of Netherlands Municipalities (**VNG**) has provided funding for technical assistance advisory missions and internship training. The VNG funding structure is as below;

i.	TA Advisory missions	US\$ 160,000
ii.	Internship training	400,000
ii.	Other	40,000
	Total	600,000

The total contribution by VNG was revised downwards to US\$375,000.

Some significant savings were made on the UNDP budget. Firstly, a locally recruited DPIA replaced the internationally recruited DPIA who departed in 1997. Secondly, the CPPA, a locally recruited candidate was recruited in 1999. This recruitment of these two local Advisors represented a major saving in the budget.

The table below provides the funding structure of the project showing funding source, advances received from 1996 to 1999 and the balance to date.

Project Funding Structure:
(US Dollars)

Funding Source	Budget	Expenditures 1996-1999	% of budget	Balance	% of budget
UNDP	1,483,701	697,353	47%	786,348	53%
UNCDF	2,880,838	1,050,337	37%	1,830,501	63%
GRZ	250,000	124,176	50%	125,825	50%
VNG	375,000	Figure not provided			
TOTAL	4,989,539	1,871,866	37.5%	3,117,673	62.5%

It is evident that there has been under expenditures. UNDP expenditure has gone nearly half of the budgeted amount due to personnel and training costs over the years. This is not related to the expenditure under the UNCDF DDF. Much of the expenditure (24.5 percent) under UNCDF was on mission costs, expendable equipment, non-expendable equipment, operation and maintenance of equipment, miscellaneous expenses, and programme support costs. Only 17 percent was spent on DDF. Out of the project total only 12 percent was spent on DDF and district investment. No figures of expenditure were available from VNG.

10.2 Assessment and Findings

i. Project management transition

The Institutional framework for project implementation was never adopted as originally designed mainly as a result of problems related to the original design of project implementation. Firstly, the Planners in the PPU, who felt they were already planners and therefore did not require to be trained by the project, did not readily accept the envisaged support of the project to the Unit. In addition, the appointment of the Project manager brought with it conflicting perceptions of the functional relationship between the latter and the CRP. These two factors hindered the integration of the project into the PPU.

Secondly, the departure of the expatriate DPIA in 1997 after serving for only one year coupled with procedural problems in recruiting an expatriate to fill the position of CPPA, which had always been vacant, also raised questions regarding the design of the project.

The major concern in this respect was that in the design of the project, these two positions were to be filled by expatriate personnel and that no consideration was given to the possibility of filling them with locally recruited personnel. In order to address this design flaw, a local DPIA was appointed in 1997 to replace the expatriate, and in 1999 the position of CPPA was filled for the first time and by a local candidate. Further, following a revision in the project which had increased support to all eight districts from the original three, a second locally recruited DPIA was appointed in 1999. The Financial Management Advisor (FMA) and the Communications Officer were also recruited in the middle of 1999.

Over a period of three years from 1996 to 1999, the project has evolved from being one of the functional responsibilities of the CRP within the PPU, as originally designed, into a much more developed entity with its own identity. Due to the dissipation of the PPU and the uncertainty surrounding the future of its personnel, the project gradually become more closely linked to the office of the PLGO and its technical assistance support became entirely focused at the DC's. It is envisaged that the PPU will also be shifted from office of the Provincial Permanent Secretary's office to the PLGO.

ii. The Existing Project Management Structure

The Project Manager heads the project. The Manager reports to the PLGO through whom he reports to the Provincial Permanent Secretary. He also reports directly to the PS of the MLGH. The practice is that the PLGO reports directly to the PS and also links with directors in the ministry. Ideally the PM should report to the Director of LGA. In practice the Project Manager sometimes has functional relationships with all the Directors including the DISS and the DLGA. He also reports to UNDP/UNCDF and ILO. In addition, the Project Manager also has, through the Project Advisors, advisory relations with all the eight Council Secretaries in the province. All the advisors, NRE, DPIA, the CPPA, the FMA, the Communications Officer report directly to the PM. Figure 11.1 shows the organogram which depicts the Project Manager's perception of the structural relationships within the project and between it and other MLGH structures at the provincial and national levels.

On technical matters, the advisors have no direct links with their counterparts either at head office or the provincial level save for the FMA. Reports are prepared and submitted to the agencies, MLGH, UNDP, UNCDF and NCC. The MTE mission could not establish any responses on a technical level by counterpart agencies to matters raised. This is an area for further exploration.

The organisation structure in Figure 11.1 indicates that the Project Manager has a multiplicity of reporting relationships with different positions at the provincial and national levels. As there is no officially approved organisation structure for the project, it is unclear to whom the Manager is accountable to on all matters relating to project management.

Moreover, according to the organogram, the other institutions at national and provincial levels also have direct institutional links between them (for example the DC's and the office of the Director of Local Government). As this organogram depicts the institutional relationships involving the project, there is no clarity regarding the specific project related matters on which these institutions maintain the direct links with each other. The position of the National Consultative Committee (NCC) is also not well defined in relation to overall structural links between it and the individual institutions at national and provincial levels.

iii. Reporting

The relationship between the Project Manager and the project staff is relatively stable. The mission observed that while the Advisors appeared to enjoy relative autonomy in performing their work, there are consistent interactions between them and the Project Manager and thus a steady flow of information between the two levels is relatively well maintained. However, there appears to be a weak internal mechanism for capturing information on the activities of the project for

purposes of up-streaming to the ministry and other relevant institutions at provincial and national levels. The mission noted that the communications function is relatively weak, as information and documents appear not to be stored in a systematic manner for easy access.

iv. Financial Issues

The following were the common problems that were mentioned during this mission regarding disbursements of funds;

- Non- disbursement of the 10% GRZ counterpart funding. This fund was not disbursed for whole of 1999 and as a result most of the activities, which rely on this funding, were never performed. For example almost all CDs are experiencing difficulties maintaining the vehicles which were donated by the project due to the non-availability of this fund.
- Late disbursement of funds by the local UNDP office. Usually the disbursed funds are received at the end of the quarter thus quarterly activities are not implemented according to the quarterly schedule.

While the project was designed to be part of the PPU structure, this never happened. As a result, the project never had a structure of its own from the start. Although it is presently part of the office of the PLGO, it has not fully integrated within the structure of this office and still lacks a structure of its own which is officially approved. As a result of this, reporting relationships within the project and between it and the other agencies at provincial and national levels are not clearly defined.

The project's current operations are based on a different set of objectives from those contained in the original project document. This implies that there is an environment of flexibility in the overall process of project management. However, the shift from one set of objectives to another threatens future consistency and continuity in the project process and makes it difficult to evaluate with changing goal posts.

There is unclear link with the national level of the parent ministry for the project manager and the advisors who have contracts with the Ministry but are paid through UNDP.

Within the project, there is a weak mechanism for capturing information on activities of the project. Therefore, as a pilot project, it does not have adequate capacity to upstream lessons learnt in district development.

10.3 Impact of Project Management and Reporting on Project

Overall the project has made notable successes in achieving some of its goals. This can largely be attributable to its Advisors who are generally well qualified, experienced and able to provide appropriate technical assistance to the councils. Some indicators of effectiveness are:

- The application of minimum conditions and
- The performance indicators in all councils,
- The formation of ADCs,
- The improved financial management of councils, and
- The apparent level of competence in the identification and implementation of development projects by communities.

The project team and the Project Manager, have been a valuable source of lessons of experience in district development as evidenced by the frequency with which their input is sought in various policy related matters in the MLGH, other government institutions and other donors.

The project management and reporting system has had the following impacts on the project:

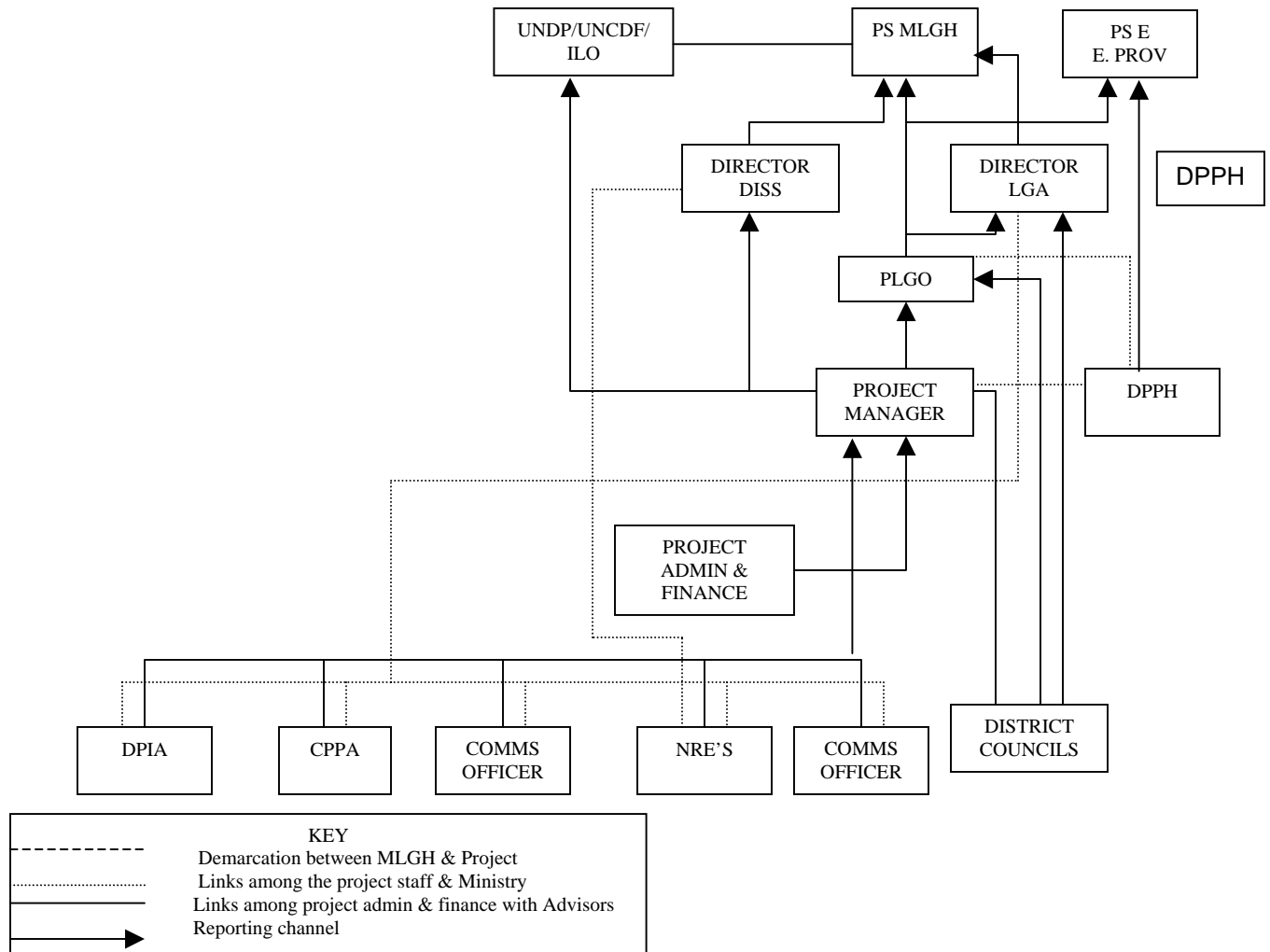
- Recognition
- Input into policy formulation through the Project Manager

- High level of flexibility
- Replicability
- Successful outputs.

10.4 Recommendations

1. A detailed review of the project’s functional responsibilities should be carried out. On the basis of this review, an appropriate organogram for the project should be developed. This will ensure clear reporting relationships within the project and improved institutional relationships between the project and other institutions at provincial and national levels and in particular the PLGO.
2. The objectives of the UNCDF and the UNDP documents should be integrated into one set of objectives in order to ensure consistency and continuity in project implementation.
3. As part of the study in (i) above, the communications function should be further strengthened to ensure that project activities are widely disseminated and information and lessons learnt in DDP are effectively promulgated widely. Strengthening the communications function should also involve upgrading it so as to enable it effectively manage the process of up-streaming lessons from the project to the MLGH and other institutions at national level.
4. There is need to allow for linkages between the Advisors and technical specialists in the Ministry to enable a more expansive up-streaming potential.

Table 10.1 District Development Planning/Feeder Roads Project Organisation Chart



SECTION C: PROJECT PREPARATION AND DESIGN

1. Project Design

The quality of project design and preparation was generally good. However, there was no log frame to establish clear indicators. The objectives were laid out as project outputs. There were no real measurement criteria for the downstream effect of the project. The amount of funding available and the staffing levels were not very compatible. Only two expatriate personnel were in the project document to facilitate the DDF and capacity building efforts. The absorptive capacity of the District and Municipal councils was not clearly established. The piloting with three districts and planning system with all 8 districts was rather problematic since planning without implementation is not attractive to any local authority. This was later addressed when all districts were included. The project design however was by default flexible and not a blueprint.

2. Decentralisation

The DDP objective was to generate lessons in decentralised local planning and management through local authorities. These successful lessons of experience would feed into policy formulation at the national level. The decentralisation policy is still to be developed and implemented. The design did not clarify mechanisms for up streaming lessons through project staff, UNDP, MLGH or some forum. The project's effectiveness in up-streaming was affected by the slow start, termination of LOGOSP on whose training programme the project had hoped to subsist, the change in senior Advisory Staff and the limited backstopping as well as the abolition of PPU in the province. The DDP was started in the hope of a decentralisation policy being in place soon. There were no indicators of progress in decentralisation policy in the project document. With time and further delay in decentralisation policy, further funding and new agreement became conditional to a policy. In GRZ thinking, decentralisation is priority number four whilst it ranks first among donors and funding agencies. The project preparation and design did not adequately address these issues.

3. Increased Capacity For Decentralisation

The preparation and design of the project does not have a built in mechanism for conducting needs assessments as a basis for the provision of any form of capacity building support to the councils. To a large extent this support is provided in an ad hoc manner and is not based on broader capacity building objectives.

It is acknowledged that the financial sector has made efforts to base their capacity building plans in the sector on identified needs. However, this is largely a result of the well organised backstopping the sector receives from the VNG rather than a built in requirement of the project.

The absence of a built in needs assessments mechanism in the project design, has made it less compelling to conduct impact assessments to determine the extent to which given activities are contributing to the overall capacity building efforts of the project.

4. Inclusive Decentralised Planning

The project design is good in relation to the Inclusive Decentralisation Planning System. It is well described and gives the guidance necessary for implementation. In the 1999 UNCDF document there is an excellent comprehensive model for the planning system.

5. Financial Management

Financial management as pointed out by most of the treasurers met by the MTE, is the core of the District Council survival. Without financial resources councils cannot survive and yet financial management does not seem to have been the key component as compared to the planning and works departments. These other departments were allocated resources by the project such as computers, vehicles, and direct training. The treasury departments only received coaching and on the job training without any other resources and tools to do the job effectively.

The original design of the financial management input was very faulty and was rescued by the 1998 decision to change the format of VNG support. This new approach was in line with the GRZ thinking of localising support to the project rather than relying on expatriates. In fact the first three district councils to be benchmarked were by the local FMA without VNG personnel. The new coaching approach with the FMA and PLGFA has been very well received and it has been recommended to replicate the model in the planning unit. There was a strong recommendation to eliminate the visits to Holland, as these are not relevant to a district situation. District staff would prefer regional visits where the conditions are more similar and applicable to the Council reality. The FM Program of the project is very good. Baseline surveys were done to establish needs and a training program is in place and active. The Financial Management system is impressive in its thoroughness.

6. Sustainability

The two Project Documents (1995/1999) are clearly written. The 1995 document had a clearer institutionalisation focus but did not have a log frame with indicators of success. This made it difficult to measure its success. As a pilot this is a serious omission. The 1999 document does not adequately address institutionalisation issues and therefore is weak on an exit strategy and on sustainability. The MLGH should play a countervailing role in the face of the centrally appointed district administrator. In the absence of a strong and supportive supervisory Ministry the local authorities will be exposed and their capacity seriously threatened and undermined. The project documents therefore need firm statements on institutionalising that function. Throughout the project designs, not a single item has been allocated to the office of the PLGO.

7. Technical Backstopping

In the design of the project, GRZ involvement in backstopping to the project is not defined. The project document outlines the roles of the UNDP, UNCDF, and VNG but does not specify the role of the government related to co-ordination of backstopping support to the project.

VNG backstopping is well programmed and integrated in the project process. This is evidenced by the appearance of pre-agreed backstopping activities in the project document's plan of operations and the project's work plans. In addition, the expected outputs and key players in the backstopping arrangements are well defined and documented.

In contrast to the VNG arrangement, UNCDF and UNDP backstopping are not clearly programmed and consolidated in the project process. This has resulted in lack of visibility of their technical support to the project and often inconsistent in timing of the missions.

8. Gender

There is no gender strategy proposed in the original document. This was rectified in the 1999 document through the proposal of the creation of gender strategy and awareness. It was also proposed to add a gender expert to the project staff so that the focus on gender equity could be incorporated into all aspects of the project.

9. Communication Strategy

In the absence of a communication specialist until third quarter of 1999, the project had no proper design of a communications strategy. It was envisaged that once the communications specialist was employed and with annual visits by a consultant, a process would be established throughout and outcome performance indicator for project objective and output., capacity building, infrastructure production, empowerment processes and poverty impact. There can be no effective communications strategy in the absence of an information system.

10. Monitoring and Evaluation

In the view of the MTE mission, there was one major flaw in the preparation and design of the DDP. The issue of ownership of the project was not fully addressed and responsibilities were not

clearly spelt out. The Project Document did not specify the post of a Project Manager separate from the Chief Regional Planner and PLGO. The appointment of the Project Manager was not covered in the project. This appointment had an impact on the monitoring and evaluation component as the reports then belonged to the Project Manager and not the DPIA or CPPA. The lesson from the FRP is that the NRE 1 is still required to prepare a report for ILO and is accountable for it. The creation of the NCC, a committee not in the project document, tended to compete with the tripartite review. The annual missions by UNCDF were not clearly planned in the document.

11. Project Management and Reporting

Originally, this project was designed for two expatriate personnel (DPIA and CPPA) and for VNG missions to the Eastern Province. There was no mention of trying local personnel and resorting to expatriate staff where locals were unavailable. There was no post of Project Manager as this was supposed to be a MLGH responsibility. The project focused almost exclusively on planning, works and financial management and not at the totality of the councils as institutions. The project document was strong on institutionalisation within the PPU. For this reason, project preparation did not take into account the need to develop a separate structure for it. Thus, following its unsuccessful integration into the Unit, the project started off without a structure of its own. The current non-availability of an officially approved organisation structure for the project and the fluid nature of existing structural relationships within it and between it and other institutions is a legacy of this past.

Other shortcomings of the project preparation and design relate to the project's lack of well established system for generating and circulating reports for monitoring and evaluating project performance. As an example, annual reports are not produced and documented. The positive factor is that the structure allowed for greater flexibility and redesign as it progressed. This has allowed a large measure of trial and error and an openness to change and innovation.

SECTION D: RELEVANCE AND EFFECTIVENESS OF THE PROJECT UNDER CURRENT CONDITIONS

This section examines the relevance and effectiveness of the project under the current conditions. The current conditions in general include the absence of a decentralisation policy, the appointment of a District Administrator whose post tends to be conflicting with a local authority role, limited involvement of the MLGH in the DDP, and reduced financial capacity of the District Councils. The project is also operating in a period before national elections.

1. Project Objectives

The objectives of any project should be the guide, the road map for all work being done. If circumstances change and objectives need to change, that is all right. But to determine a set of objectives and then forget them or look at them as merely part of a document is not consistent with good management or project implementation. The project's effectiveness in relation to its objectives has been inconsistent. The changing documents and changing project circumstances could explain the inconsistencies, but there was never a report or analysis to explain the changes. None of the quarterly or half term reports noted the change of objectives.

2. Relevance and effectiveness of project without a decentralisation policy

A critical question is whether the DDP pilot is relevant to informing policy in the eyes of the executing ministry. Have the impacts justified the costs in view of the fact that UNCDF efforts are to pilot for informing policy? It is useful to note that LOGOSP was terminated more on the issue of relevance and effectiveness. LOGOSP did not see itself as relevant in the absence of institutionalisation that could be guaranteed through a clear policy on decentralisation. The project has had some impact on policy formulation even though this has not been open and institutionalised within the MLGH. It is however not just the policy that is crucial. There must be visible commitment on the part of GRZ towards local authorities and towards integrating lessons from the DDP. In a small way, the lessons of the DDP are horizontally and vertically used for replication with other donors and the Project Manager ministry officials have on several occasions represented the ministry in local and international for a exposing experiences from the project. A delegation visited Malawi through the initiation of the project to learn from experiences of that country. Following the MTE, a more systematic approach is required to ensure relevance and effectiveness from the pilot.

Review missions from UNCDF in 1999 have addressed the critical questions of sustainability of the outputs and the original objectives of the project. The common thread substantiated by findings of the MTE is that the effectiveness of the pilot is determined by how relevant the lessons learnt from it are first and foremost to the MLGH's approach to District Councils financing, performance indicators, and decentralisation policy.

3. Relevance and effectiveness of technical backstopping

Generally, VNG backstopping which involves Dutch municipal experts' advisory missions to the eastern province are considered to be relevant and useful as these provide an opportunity to both the experts and the project Advisors to deal with various capacity building issues within the project implementation environment. However, a number of personnel who had been on short-term internships to the Netherlands expressed the opinion that these (internships) were not relevant and effective as the participants were exposed to an environment, which is not comparable with their own in Zambia, and therefore offered very little relevant learning.

While the timing of UNCDF/UNDP backstopping missions was inconsistent, the content was generally accepted as being relevant and effective. These missions were very useful in assisting to establish the minimum conditions and performance indicators, addressing the various concerns in the process of development of the decentralisation policy, and preparing guidelines for the establishment of ADC's.

4. Relevance and effectiveness of the Inclusive Development Planning System

The objectives for introducing the IDPS are sound and relevant. There is an obvious requirement at the district level for improved strategic planning support. The project has been somewhat effective in introducing the planning system.

5. Relevance of Financial Management and Accountability

The financial management and accountability component is relevant to local authority requirements and its effectiveness will be more visible especially with improved revenue generation capacity by councils. The financial management and accountability's new approach is more relevant and should continue to monitor the idea of staff visits to the Netherlands.

6. Relevance and effectiveness of Gender in the Project

The absence of a gender strategy negatively affects the entire project process. The DDP actively includes and involves women at the community level. This involvement includes women being active and key participants in development in agriculture, carrying water, caring for children and in most cases participating in income generation activities. There is little, if any involvement of women above that level. This lack of participation by women makes relevance and effectiveness of decisions questionable in terms of inclusiveness and equity. If all of the decisions are being made by one gender, there has to be some certainty that this gender represents all people.

7. Relevance and effectiveness of the Communication Strategy

The principal objective of the project is to act as a pilot for lessons for developing the decentralising policy. A communication strategy therefore is designed first and foremost towards achievement of this principal objective. The strategy has therefore been ineffective. It needs to be made more relevant and effective.

8. Relevance and Effectiveness of the monitoring and evaluation system

The monitoring and evaluation strategy in place at the moment does not lend itself well to learning and experience sharing. There is need to take a serious look at a proper monitoring strategy.

8. Relevance and effectiveness of the Project Management System

The ongoing reforms in local government administration have a strong emphasis on strengthening Local Authorities so that they can provide social services and implement development projects effectively. The existing management structure of the project appears to be very adaptive to the needs of Local Authorities This is demonstrated by the project's ability to establish relationships, with all councils, which have proven to be very conducive to good and sustainable co-operation. In addition, the widely acknowledged contribution the project has made toward improving the management of councils and its role in stimulating participatory planning and implementation of development projects is evidence of its relevance and effectiveness in strengthening Local Authorities

A negative observation made relating to the relevance and effectiveness of the project however was that the support it is providing to Local Authorities is sector specific. In this regard, there is a general concern that the project has concentrated its support on the Finance, Works and Planning sectors while ignoring other sectors such as human resources management, which are equally important. This makes the project's assistance to councils somewhat limited.

SECTION E: OVERALL CONCLUSIONS and RECOMMENDATIONS

1. The development of Decentralisation Policy should be expedited.

A policy in decentralisation of government functions to local authorities is not yet in place. Though several versions have been promoted since 1996, no policy has been passed to date. The project, because of its work in Eastern Province, has the capacity to inform and support a widely accepted and integrated policy. This could be accomplished through the enhancement of the capacity of the MLGH to support and manage the decentralisation process. Activities to accomplish this could include:

- Conduct a full functional review for the MLGH including a process of strategic planning, vision and mission setting, determination of functions and responsibilities in the context of the vision, determination of an appropriate structure and determination of the required staff establishment in this context. This activity should cut across the whole of MLGH from province to head office.

2. DDP Project should review its mission and objectives and reformulate in the context of its current direction.

Currently the project is being led by varied objectives. Though related, these objectives do not give the project coherent direction.

In this context:

- UNCDF document should be reformulated to meet changed circumstances and be signed to continue current progress from the project.
- Project objectives should be translated into action plans for monitoring.

3. Sustainability should become the basis for all management and project plans and activities.

Without an exit strategy the project does not see itself as a mechanism for capacity building, rather it sees itself as a service mechanism to Local Authorities. In order to sustain the process and activities of the projects, all work must be fully institutionalised and integrated with the MLGH at the centre and in the provinces. The organisational structure of the project should reflect this direction.

Project staff should ask themselves the question 'When I finish this work, who will take over?' All requirements of the project in terms of planning and financial management should be according to government requirements, so that all reference to the project and the DDF should be removed.

4. Replication needs to be promoted by better documentation, up-streaming and effective MLGH structures for lessons propagation.

Replication of the process of the project is a positive feature when applied to other grant projects. ZAMSIF, one of the major projects in Zambia is set to replicate to a large degree the DDP process. Using loan funds for social sector investment that does not create income could however produce negative long-term results. There is even better scope with other projects if proper documentation was available.

5. Assimilation of the Strategic Planning Process should be a strong focus.

The project has made a positive impact on introducing inclusive decentralised planning system in Eastern Province. Awareness has increased on the importance of inclusive, decentralised

planning for development. Skills have been increased in the area of project planning and implementation.

Overall, it can be said that the project has had a positive impact on the capacity of local government to plan and manage development. Through training activities, participation in development of project procedures, activation of the minimum conditions and performance measures, councils are more able to make development decisions

More work is required on assimilating a strategic planning approach. Currently planning activities replicate a project cycle approach. More efforts should be made to enhance capacity in strategic planning so that project activities are selected based on inter-sectoral, integrated needs and requirements of the districts.

6. Development of a Gender Strategy long overdue

Though efforts have been made to create gender balance in the project through the ADC criteria and attempts to hire female project staff, there is an absence of a gender strategy in the project.

The process of developing and implementing a gender strategy will enhance the capacity of the MLGH, the provincial staff and districts to fully include the full population of Eastern Province in decision making. The ZAM/99/C01 includes the placement of a Gender Specialist in the project. This specialist might be better placed in the MLGH.

7. Capacity Building Objectives should be reviewed and needs assessments made ongoing.

Capacity Building involves the provision of resources, training and the creation of an enabling environment to enhance the ability of Local Authorities to perform their functions effectively and efficiently.

The capacity building objectives of the projects should be reviewed in the context of sustainability. A thorough needs assessment should be completed before additional resources are provided and before additional training is given so that duplication can be avoided.

8. Communication Strategy should focus on up streaming lessons learned.

The current communications strategy focuses on down streaming and the provision of information about decentralisation, the planning system and DDF to the provincial, district and community clients. The focus should also include up streaming the documentation of lessons learned so policy level decisions reflect the activities going on in the districts.

Without up streaming the valuable work of the project may spread horizontally to other projects, but will not affect policy and national issues related to decentralisation. This up streaming is a key role of the project that has not been adequately emphasised. In this context, as noted above, the MLGH capacity will have to be enhanced so that it can fully absorb the lessons and best practices and apply them as required to other provinces and districts.

8. Monitoring and Evaluation should be incorporated into management, reporting and planning systems.

Monitoring and Evaluation are an essential element of a project and planning system. Without a comprehensive M&E system incorporated into all project activities, the valuable lessons learned from the pilot activity lose their potential to have impact on decision making. M&E is the final, essential step in any process of project planning.

It is essential that a monitoring and evaluation system be established to support the communications strategy and to provide constant feedback to staff on lessons learned. This M&E system should include a yearly review meeting and annual report for the consolidation of lessons learned, trends, conclusions and recommendations for the future.

9. Technical backstopping should be more focused, targeted, demand driven with consistent feedback by all to the project.

It is therefore recommended that UNCDF and UNDP should once yearly plan review missions and develop backstopping plans with council staff and project staff. The latter should be proactive and ensure that backstopping from these agencies is demand driven.

Moreover, MLGH should play a greater role in co-ordinating backstopping activities to ensure that this support is government driven while the UNDP and UNCDF should provide the technical support as demanded by the project

In order to maximise the learning opportunities for participants, it is recommended that these internships should be in countries that offer success stories in municipal management while at the same time, share some developing world characteristics with Zambia.

10 Project Management has reasonably achieved the goals to date but for sustainability requires restructuring.

1. A detailed review of the project's functional responsibilities should be carried out. On the basis of this review, an appropriate organogram for the project should be developed. This will ensure clear reporting relationships within the project and improved institutional relationships between the project and other institutions at provincial and national levels.
2. The objectives of the UNCDF and the UNDP documents should be integrated into one set of objectives in order to ensure consistency and continuity in project implementation.
3. As part of the study in (i) above, the communications function should be further strengthened to ensure that project activities are widely disseminated and information and lessons learnt in DDP are effectively promulgated widely. Strengthening the communications function should also involve upgrading it so as to enable it effectively manage the process of up-streaming lessons from the project to the MLGH and other institutions at national level.
4. There is need to allow for linkages between the Advisors and technical specialists in the Ministry to enable a more expansive up-streaming potential.

ANNEX I: SUMMARY OF PROJECT EVALUATION See attachment Summary

ANNEX 2 TERMS OF REFERENCE

PART ONE: GENERAL EVALUATION FRAMEWORK

I. Project Background

1.1 Recent Political Developments

Since 1991, the current Zambian government led by the Movement for Multiparty Democracy (MMD) has put in place a framework for democratic governance at national and local levels. The Constitution guaranteed and upheld the basic human rights, the rule of law and the establishment of a plural political system. At the local levels, the 1991 Local government Act (amended 1992, 1995) provided for and defined the functions of elected local authorities. Thus, despite the ongoing tensions and conflicts with the main opposition parties, the framework for democratic governance has been upheld.

The Government of the Republic of Zambia has also been strongly committed to economic structural adjustment and has shown commitment to liberalization and stabilization of the economy. This has meant sticking to politically risky (and sometimes unpopular) policies of removing subsidies and privatizing many of the public assets. This process is ongoing and the final objective is to create a market led democracy, promoting high standards of living among the population.

Zambia is a long way from that goal with an average GNP per capita income of \$380 in 1995, high incidences of both rural and urban poverty, rapidly increasing population and declining health status due to the HIV/AIDS pandemic. Thus although Zambia is a reforming country (politically and economically), it has major developmental hurdles to overcome which are a threat to democracy.

1.2 Decentralization within the overall national policy context

Local government

When the MMD government assumed office in 1991, the operations of the Zambian government were highly centralized. The previous UNIP government had implemented a centralized one party system of government, in which the functions of the political party and Government were virtually merged into one. Local authorities under the 1980 Local Government Act, were part of the deconcentrated system of the centre. In many ways, the local governments had become dysfunctional-there were no local elections and local government officers were appointed by the national civil service. The party was supreme in decision making.

The 1991 Act restored the power and functions of elected governments and councils became planning and decision making bodies. The Ministry of Local Government and Housing was also restored to manage the functioning of local authorities. The powers of local governments as reflected in the Act did not depart from the traditional "anglophone system" of local government of operating through the committee system, and operating within the powers enshrined in the Act. Local Authorities have power to make by – laws and a range of 63 powers listed in the second schedule.

Local government has to be understood within the context of the overall administrative system of government most of which derives power from the centre. Zambia is divided into 9 provinces administered through the office of a Provincial Deputy Minister, supported by a centrally appointed provincial administration, headed by a provincial permanent secretary reporting to the office of the President. Provinces are subdivided into 72 districts, which include municipal, city and rural district councils. The implementation of the functions outlined for local governments, in reality, depend on the resources provided by central government.

The Government recently appointed District Administrators in all districts that report to the provincial permanent secretaries. It is unclear what the role of the District Administrators are vis-à-vis the District Councils and there are concerns that they may undermine the autonomy of the Councils.

The situation in 2000 is that whilst the local authorities have been democratically elected, they are very weak and are not seen as effective players in service provision and maintenance, compared to central government agencies. They have no significant impact on the lives of the ordinary citizens who are poor and are generally excluded from decision making. The context of decentralisation in Zambia calls for the need to understand the policy mix between the operations of line ministries and other central government agencies and local governments.

The Government is in the midst of developing the *Local Government Policy* and the *Decentralisation Policy*. The draft documents which were shared informally with UNCDF clearly state the Government's commitment to decentralisation and democratisation through a gradual process of initially focusing on deconcentration of different sectors to the districts, while strengthening the capacity of the elected local governments. In the former case, the government is proposing the appointment of District Administrators who will strengthen government presence and co-ordination to promote sector deconcentration. In the latter, capacity building of elected authorities is a priority.

Decentralisation and strengthening of local governments feature as a key component in the Public Sector Reform Programme (PSRP) and the Governance Programme.

1.3 Sector/Line Ministries and parastatals

Besides the elected local government, central government operates through line ministries and parastatal bodies. Since 1991, the government of Zambia has put in place a variety of policies aimed at making the public sector more effective and efficient. These include the civil service reform programme which has pushed significant retrenchment and other internal reforms. Many parastatal bodies have been abolished and privatised. However the main bodies responsible for policy and implementation of government policy are still the sector ministries-Ministries of Finance and Economic Development, Agriculture Food and Fisheries, Health, Education, Trade and Commerce.

The Ministry of Finance is the key actor in the implementation of the economic structural adjustment programme and in the negotiations with the key bilateral and multilateral partners in development. The other economic/social ministries have been responsible for the design and implementation of policies, and have a deconcentrated infrastructure in terms of district and provincial offices. They have undertaken various reforms to improve their reach and delivery capacities.

In terms of decentralisation, sector ministries and parastatals largely represent deconcentration and they have not vested any of their responsibilities to the local governments. Meaningful devolution will require identification of the different functions and the comparative advantages that the local and national actors have in delivery and maintenance. In many ways this dialogue becomes meaningful only when the power of local governments has been significantly improved and upgraded.

2. UNCDF Activities in Zambia

Zambia became eligible for UNCDF assistance in 1991 when it became a LDC. UNCDF fielded an identification mission in 1993 which resulted in the formulation of two projects in the Eastern Province: a feeder roads programme and a District Development Planning and Implementation project. The UNDP/UNCDF projects were signed in 1995 and 1996 respectively. The projects are executed by the Ministry of Local Government and Housing and implemented by the local authorities of the Eastern Province.

Both the DDP and a Feeder Roads Programme operate within the framework of the Government of Zambia's policy to decentralise and democratise the operations of government, giving local communities power to determine their local affairs and to enhance the accessibility of quality services and standard of living of the majority of the population. These objectives are enshrined in a variety of government policies, including the Zambian constitution which provides that "there will be a local government system based on democratically elected councils on the basis of adult suffrage". This is further elaborated in the Local Government Act 1991, which outlines the specific powers which elected local councils can exercise.

II. The Project

The project was approved in 1995 and an amendment to the project agreement was signed in 1996. It started with the objectives of building capacity for provincial and district administrations to plan and implement development projects using participatory methods; to assist district councils to generate incomes; to stimulate the development of private enterprise; and to assist the MLGH in achieving its aims of decentralisation. Piloting activities revolve around the allocation to councils and disbursements by them, of the District development Fund (a version of the UNCDF Local Development Fund Programme) for the district and sub-district levels. The project provides technical assistance to all 8 districts in the province and the DDF originally to only 3.

The original project objectives as stipulated at the time of the approval of the project are below. These objectives were amended in May 1999 as noted in the section below.

Original Project Objectives
<p>Development objective: The broad development objective of the project is to improve the living conditions and welfare of the population in rural parts of Eastern Province.</p> <p>This objective is to be achieved by: (a) increasing the availability of and access to social infrastructure and services, such as health, education, water and sanitation and (b) by increasing productive potential through improvement of economic infrastructure such as access roads, crop storage and marketing facilities. The project is also designed to assist the Ministry of Local Government and Housing (MLG&H) in achieving its aims for decentralisation under the Public Service Reform Programme (PSRP), by:</p> <ul style="list-style-type: none"> (i) Training staff at provincial and district levels; (ii) Helping to develop systems of participatory planning and; (iii) Increasing the capacity of districts to implement development projects. <p>The project will seek to stimulate the development of private enterprises by encouraging the use of local contractors and, where, feasible, endowing DCs with property that can be leased out to generate incomes. Great attention will be paid to project sustainability</p>
<p>Immediate objectives: More precisely, the project has the following immediate objectives:</p> <ul style="list-style-type: none"> a) provide training to all Provincial Planning Unit (PPU) staff so that they can assist the districts in introducing and implementing participatory planning techniques; b) provide training to PPU staff on decentralised planning, and, through field exercises, produce a medium-term provincial development plan; c) carry out baseline surveys of social and economic conditions and inventory work of existing infrastructures in order to provide bases for both provincial and district planning and for monitoring and evaluation of project impact; d) provide training to all District Planning Officers (DPOs) and Directors of Works (DOWs), to strengthen the capacity of DCs and enable them to manage the local development process; e) introduce participatory planning to all districts and produce district development plans through training and field exercises.

While the capacity building funds were allocated for 8 districts, funds for the DDF were only provided for 3 districts. It was later decided to allow all the 8 districts to access the DDF.

III. Project Status

The project started slowly, seeking to establish a baseline planning data set for each district through participatory methods. The project has been required to adjust over the last year in response to the closure of LOGOSP (on whose training activities it had expected to rely) and in response to a change in senior advisory staff. Technical backstopping to the DDP in the early stages of the project was limited, which contributed to its slow start-up.

Following the start-up phase, it has become increasingly obvious that the DDP needed to address the wider issues of local governance stemming from the low levels of legitimacy of the local councils in the eyes of the general public. The roles of the local councillors and the need for greater transparency and accountability of the council's administration became new and pressing issues. During the last year, consultancies and programming exercises have identified new areas of activity particularly in the areas of general and financial management and communications. Communication was felt to be a weak point of the project, since limited progress had been made in documenting the lessons of the piloting activities and in ensuring that these are contributing to the national policy formulation process.

Also in the past year, the DDP has developed with the Provincial Local Government Officer and district councils a Memorandum of Understanding (MoU) on:

- ◆ a minimum level of capacity required before councils can qualify for the Fund (in the form of Minimum Conditions assessed by a Provincial Assessment Committee)
- ◆ a formula for the allocation of Indicative Planning Figures (IPF) from the DDF and a performance-based incentive system for future IPF allocations, and
- ◆ procedures for the disbursement of the Fund for a prescribed "menu" of district and community based projects.

As a result of the principles contained in the MoU, it has been agreed that the DDF should be available for access by all 8 districts rather than the original 3.

The project has also developed:

- ◆ a Communication and Monitoring & Evaluation Strategy to document and disseminate the lessons of the experience of the project;
- ◆ a revised programme of financial management advice
- ◆ and an institutional structure for a system of sub-district participatory planning.

With regard to the latter, districts have recently begun to establish innovative Area Development Committees in advance of community-based planning exercises and the disbursement of the DDF. Three districts qualified in March 1999 for access to the DDF and most others are expected to qualify later this year. In advance of the districts' qualification, the project is piloting the implementation of 3 district-level market improvement projects, which commenced early in 1999.

The Association of Netherlands Municipalities(VNG) has an agreement with the government of Zambia to provide technical support to the project on financial management.

In May 1999, at a workshop in Chipata with participation of the government officials, UNDP and UNCDF, the project objectives were amended to the following (as outlined in P. 20 of draft Programme Agreement, ZAM/99/C01: Support to Decentralisation and Local Government in Zambia):

Revised (Current) Project Objectives
<p>Development Objective: Poverty Alleviation through national decentralised development.</p>
<p>Immediate Objectives:</p> <ol style="list-style-type: none"> 1. <i>Contribution to the development of the national decentralisation policy and implementation process.</i> 2. <i>Capacity of district councils developed to produce sustainable infrastructure using decentralised fiscal transfers of discretionary and conditional grants, participatory development planning, and localised production arrangements in Eastern Province.</i>
<p style="text-align: center;"><i>Outputs:</i></p> <ol style="list-style-type: none"> 1. <i>Capacity of the eight District Councils in Eastern Province developed through more efficient, transparent and accountable management and administration, human resource management, revenue mobilisation, financial management and fiscal decentralisation, leadership and democratic accountability and partnerships between councils and private sector/NGOs for the effective mobilisation of the district resources.</i> 2. <i>Institutionalisation of Inclusive Local Government Planning System in eight District Councils of Eastern Province.</i> 3. <i>Operational capacity developed for the localised production of district and community-based infrastructure using labour-based technology where possible.</i> 4. <i>Effective policy influence and advocacy for local government.</i>

ZAM/99/C01: Local Governance Programme (Pipeline)

UNCDF and UNDP have committed to provide financial and technical support at the national level, through the establishment of a Decentralisation Secretariat, to facilitate linkages between activities in the Eastern Province and the development of policies and procedures at the national level. The scope of this assistance is detailed in the *Programme Support Document – Governance: Public Sector Restructuring, Decentralisation and Local Governance* signed between the Ministry of Legal Affairs and UNDP in September 1998. (UNDP contribution: US\$ 1.045 million and UNCDF contribution: US\$ 4.2 million). UNCDF contribution will focus on the expansion of the District Development Fund from three to eight districts (US\$ 2.639 million) and to provide technical assistance to local governments and central level activities in decentralisation (US\$ 1.561 million). UNCDF project document was developed by a consultant in May 1999. The UNCDF approval of the project is contingent on the clarification by the government on its commitment to decentralisation.

B. Purpose of the Evaluation

The main objectives of the evaluation are:

- To assess the performance of the project in accordance with the project document and the work plans of the project team;
- To identify obstacles which are hindering the implementation or operations of the project and recommend solutions to be implemented during the remainder of the project;
- To assess the extent to which the methodology supported by the project has been institutionalised at the district level, replicated by other donors and Government, and what if any impact the project has had on central policy;
- To identify lessons learned and best practices; and
- Provide inputs towards the sustainability of the project.

Evaluation Methodology

The evaluation mission will be briefed on the project in Lusaka and Chipata in Zambia, and will undertake a thorough review of all provided project documentation and reports to get acquainted with the latest project activities and results, as well as UNDP and UNCDF mandate, policy, products and practices.

Once in the country, the mission will undertake field trips and interviews with project stakeholders [central and local government representatives including Ministry of Local Government, National Planning Commission, Ministry of Legal Affairs, Ministry of Finance; District Council staff; community representatives (men and women); project indirect beneficiaries (men and women); other donors such as the World Bank and the European Union (with regard to the ZAMSIF project), Irish Aid, GTZ, and the Dutch mission active in decentralisation; and project staff].

The team will also contact VNG in the Netherlands for their feedback on the support they provide to the project.

The methods and techniques of data collection will include PRA tools, observation, semi-structured interviews. As much as possible, data should be gender-disaggregated, and will support the evaluation findings. Throughout the assignment, the mission will maintain close relations with the UNCDF and UNDP staff in Zambia, who will facilitate the work of the mission and guide it in its official contacts with the government and other relevant counterparts.

Prior to the end of the evaluation, the mission will hold a wrap-up attended by the UNDP Resident Representative, relevant Government representatives and project stakeholders) in order to verify and/or confirm key issues and conclusions of the mission. The draft evaluation reports is then prepared and finalised after incorporating comments.

ANNEX 3: MAP OF THE EASTERN PROVINCE OF ZAMBIA AND ITS LOCATION



ANNEX 4

GENERAL GUIDELINES FOR POST OF DISTRICT ADMINISTRATOR

1.0. INTRODUCTION

Following the President's announcement of the creation of the office of the District Administrator and the subsequent appointment of District Administrators, it is necessary to issue guidelines which set out the responsibilities and working relationships of the office of the District Administrator with other institutions and stakeholders in the development process in the district.

These guidelines are set out under the following headings:

- (a) The Office of the District Administrator
 - (i) Overall objectives of the establishment of the office of the District Administrator
 - (ii) The functions of the office of the District Administrator
- (b) Institutional arrangement/relationships
 - (i) District Level
 - (ii) Provincial Level
 - (iii) National Level
- (c) Relevant Regulations :
 - (i) Public Service Commission Regulations
 - (ii) General Orders
 - (iii) Financial Regulations

2.0 THE OFFICE OF THE DISTRICT ADMINISTRATOR

2.1. Overall Objective for the establishment of the Office of the District Administrator

The office has been established to facilitate the co-ordination of Central Government functions and all development activities as well as harmonise these functions with those of the Local Authorities in order to ensure effective implementation of development programmes in the district.

2.2. Functions of the Office of the District Administrators

The District Administrators will perform, among other, the following functions within the jurisdiction of the District:

- a) Coordinate day to day administrative functions and mobilise people for effective implementation of government programmes in the district.

- b) facilitate harmonisation in the implementation of government and Local Authorities programmes and activities in order to enhance the development process in the district;
- c) Interpret government policies and programmes in order to ensure that they are correctly understood by the public;
- d) Monitor the implementation of district development programmes and activities;
- e) ensure co-operation among Defense and Law Enforcement Agencies to promote security in the district and facilitate mutual respect and co-operation between these Agencies and Citizens;
- f) ensure arrangement of VIP visits and district ceremonies in order to fulfil scheduled commitments;
- g) co-ordinate activities relating to Chief's affairs, including village registration, in order to promote the participation of traditional rulers in the development process of the district;
- h) ensure registration of births, marriages, deaths, associations and clubs, in order to promote legal compliance and maintenance of updated records;
- i) preside over District Development Co-ordinating Committee (DDCC) Meetings;
- j) co-ordinate the utilisation of human and financial resources, including the Constituency Development Funds(CDF) and Youth Development Funds (YDF), as well as other resources in order to facilitate the attainment of district development goals and objectives;
- k) co-ordinate the administrative operations of all semi-autonomous institutions such as Health and Education Boards;
- l) responsible for functions where there are no departments representing Central Government in the district; and
- m) handle matters relating to Standing Accidents Board – GRZ vehicles only

3.0 INSTITUTIONAL ARRANGEMENTS / RELATIONSHIPS

3.1 District Level

The organization of the government administration at district level will involve the following :

- The District Administrator's office
- Government Line Departments
- Semi-autonomous Institutions
- Local Authority
- Non-Government-Organization, Co-operating Partners and Community-Based Organizations
- District Development Co-ordinating Committee (DDCC)

This is depicted in the organizational chart at Appendix A.

3.1.1 District Administrator's Office

The head of the District Administration will be the District Administrator who will be overall supervisor of all activities in the District. The District Administrator will be head of the Civil Service at the district level and will report to the Provincial Permanent Secretary who should be notified each time the District Administrator intends to make a trip outside the District.

This office will be supported by the following :

- the Administrative Officer;
- the Accountant;
- Secretarial Staff
- Office Orderlies; and
- Drivers.

3.1.2 Government Line Departments

Heads of line government departments in the district will, on administrative matters, report to the District Administrator and on technical and professional matters, report to their respective provincial heads.

3.1.3 Semi-autonomous Institutions

Heads of these semi-autonomous Institutions such as Health and Education Boards in the district will, on administrative matters, report to the District Administrator and on technical and professional guidance, report to their respective boards.

3.1.4 Local Authority

The office of the District Administrator will liaise with the Town Clerk/Council Secretary on the implementation of development programmes and activities in the district.

The functions of Local Authorities will remain as stated in section 61 of the Local Government Act No. 22 of 1991 second schedule.

3.1.5 Non-Governmental Organizations (NGOs), Co-operating Partners and Community-Based Organisations

The office of the District Administrator will liaise with the Non-Government Organisations, Co-operating Partners and Community Based Organisation on development activities in the District.

3.1.6 District Co-ordinating Committee (DDCC)

Through the existing District Development Co-ordinating Committee (DDCC), the office of the District Administrator will plan and co-ordinate development programme and activities in the district.

3.1.6.1 Membership of the DDCC

Membership of the DDCC comprises the following :

- 1) Heads of Government Line Departments in the District;
- ii) Town Clerk/Council Secretary;
- iii) Secretaries of the Area Development Committees, where they exist;
- iv) Representatives of NGOs' Agencies and Co-operating Partners in the District;
- v) Provisincial Planners (ex-officio); and
- vi) co-opted members

3.1.6.2 The Functions of the DDCC

The functions of the DDCC are as follows :

- i) provide a forum for dialogue and co-ordination on development issues in the district;
- ii) consider project proposals from various development agencies in the district;
- iii) commission, on request, feasibility studies on projects relating to discretionary finance, e.g. Constituency Development Funds;
- iv) prepare District Development Plans and progress reports on the implementation of the projects and programmes for consideration by the PDCC;
- v) facilitate and co-ordinate the implementation of District Development Plans at District level;
- vi) evaluate completed projects and review District Development Plans;
- vii) co-ordinate the provision of technical assistance, donor finance and national support;
- viii) receive up-to-date financial reports on capital projects relating to discretionary finance;
- ix) consider project implementation reports from departments with up-to-date information on expenditure, and ensure that appropriate action is taken on these reports when necessary; and
- x) ensure establishment and maintenance of Management Information Systems to allow up-to-date monitoring of project implementation and disbursement of capital funds.

4 PROVINCIAL LEVEL

The Organization of the government administration at provincial level involves the following :

- i) Office of the Deputy minister
- ii) Office of the Provincial Permanent Secretary
- iii) Heads of government Line Departments
- iv) The Provincial Development Co-ordinating Committees

This is depicted in the organisation chart at Appendix B.

4.1 Office of the Provincial Minister

The Office spearheads political, economical and social mobilization for development in the Province as a whole. The Office of the Deputy Minister ensures the following:

- i) that government policies are understood and being implemented in the Province;
- ii) mobilization of development resources for the Province;
- iii) carrying out regular inspection tours of development activities in the Province, and
- iv) maintenance of law and order through out the Province.

4.2 Office of the Provincial Permanent Secretary

The Provincial Permanent Secretary reports to the provincial Deputy Minister and he/she is the head of administration and the civil service in the province.

The support staff for this office currently comprise the following:

- i) the Deputy permanent Secretary;
- ii) the Assistant Secretary;
- iii) Accounting and Procurement;
- iv) Administrative and Protocol;
- v) Secretarial;
- vi) Office Orderlies; and
- vii) Drivers.

Among others, the following:

- i) planning and coordinating Development activities in the Province;
- ii) monitor the utilisation of resources and execution of District Development Plans and Programmes;
- iii) consolidating District Development Plans into provincial Development plans;
- iv) carrying out Statutory and audit inspections in all Districts; and
- v) coordinating State and Traditional ceremonies.

4.3. Heads of Line Government Departments

Heads of Line Departments report to Provincial Permanent Secretaries administratively and on professional and technical issues to their line Ministries. They are also responsible for technical guidance to the respective Heads of Departments at the District level.

4.4. Provincial Development Coordinating Committee (PDCC)

Through the existing PDCC the office of the Provincial Permanent Secretary plans and co-ordinates the development programmes and activities in the province.

4.3.1 Members of the PDCC

Membership of the PDCC will comprise the following;

- i) District Administrators;
- ii) Provincial Heads of zLine Departments;
- iii) Town Clerk/Council Secretaries;
- iv) Representatives of NGOs, Agencies and co-operating Partners in the Province; and
- v) Co-opted members

4.4.2 The Functions of the PDCC

The functions of the PDCC are as follows:

- i) provide a forum for consideration of all developments strategies;
- ii) facilitate and co-ordinate the implementation of development plans/programmes and projects at district level;
- iii) co-ordinate the provision of technical assistance, donor finance and nation support to the Districts;
- iv) receive project implementation reports from District with up-to-date information on expenditure, and to ensure that appropriate action is taken on these reports when necessary;
- v) evaluate completed projects and review District Development Plans;
- vi) prepare consolidated progress reports on the implementation of development programmes and projects and submit copies to Cabinet Office; and
- vii) establish and maintain Management Information Systems to facilitate monitoring of project implementation and utilisation resources.

ANNEX 5 DDF COUNCIL AND COMMUNITY PROJECTS

SUMMARY PROGRESS REPORT		
1. PETAUKE DISTRICT COUNCIL:		
Project/Activity Undertaken	Budget (K)	Remarks/Progress
Council Projects:		
1. Construction of Pilot Market project, toilet and demarcation of market stalls	182,590,229.20	Started: July 1999 Completion: March 2000
2. Alteration of Council Shop into Office Block	19,749,317.52	Started: October 1999 Completion: March 2000
3. Alteration of existing Council Tavern into Bar/Restaurant and Rest House		Started: Tendering in progress Completion:
Community Projects:		
1. Rehabilitation of Mankhungwa Primary School and drilling of borehole	37,633,875.00	Started: January 2000 Completion: March 2000
2. Drilling and equipping of Borehole at Mwambezi Primary School	12,900,000.00	Started: December 1999 Completion: May 2000
3. Completion of 1 No. 1x2 Class Room Block at Mtema Primary School	17,216,103.75	Started: January 2000 Completion: March 2000
4. Completion of 1 No. 1x3 CRB at Ching'ombe Primary School	28,661,613.50	Started: 17th April 2000 Completion: May 2000
5. Reconstruction of 1 No. 1x3 CRB at Chibale Primary School	31,960,000.00	Started: 17th April 2000 Completion: 17th July 2000
6. Completion of corridor at Nyanje Hospital	13,469,000.00	Started: 21st February 2000 Completion: 30th April 2000
2. LUNDAZI DISTRICT COUNCIL		
Project/Activity Undertaken	Budget (K)	Remarks/Progress
Council Projects:		
1. Construction of Aqua-privy toilet block at the township market	62,354,608.00	Started: July 1999 Completion: December 1999
2. Construction of Market Shelters/Stalls		Started: Tendering in progress Completion:
3. Construction of Guest House		Started: Tendering in progress Completion:

Cummunity Projects:		
1. Construction of 2 No. ED14 staff houses at	88,000,000.00	Started: February 2000
Kambeteka Primary School		Completion:
2. Construction of 1 No. 314 staff house at	44,000,000.00	Started: February 2000
Kanele Middle Basic School		Completion:
3. Construction of 1 No. 1x3 CRB at Kakumba	44,000,000.00	Started: February 2000
Middle Basic School		Completion:
4. Rehabilitation of 1 No. 1x3 CRB and 2 No. staff houses at Mapala Middle Basic School	44,000,000.00	Started: February 2000
		Completion:
5. Construction of 1 No. ED14 staff house at	44,000,000.00	Started: February 2000
Kapili Primary school		Completion:
3. CHIPATA MUNICIPAL COUNCIL		
Project/Activity Undertaken	Budget (K)	Remarks/Progress
Council projects:		
1. Construction of 2 No. toilet blocks at Chipata	163,146,618.97	Started: July 1999
Saturday Market		Completion: Adverse site conditions
		completion have affected
		period
2. Refurbishment of Chipata Motel	120,000,000.00	Started: January 2000
		Completion:
3. Rehabilitation of Kapata Hall	67,695,250.00	Started: Bills of Quantities done
		Completion:
Cummunity Projects:		
1. Construction of Msekera Bridge	28,867,542.83	Started: December 1998
		Completion: November 1999
2. Completion of Mazi-atuwa Clinic at chipangali	113,000,000.00	Started: Tendering in progress
		Completion:
3. Completion of Chizenje Rural Health Center at Mboza	113,000,000.00	Started: Tendering in progress
		Completion:
4. Rehabilitation of Selemani Road at Kazimule	36,000,000.00	Started: Tendering in progress
		Completion:

5. Drilling and equipping 4 No. Borehole in Kazimule	77,500,000.00	Started: Tendering in progress Completion:
4. KATETE DISTRICT COUNCIL		
Project/Activity Undertaken	Budget (K)	Remarks/Progress
Council Projects:		
1. Alteration of council Tavern into Office Block		Started: Drawings, BoQ, contract documents being prepared Completion:
Community Projects:		
1. Drilling and equipping of 3 No. boreholes in Mphangwe ADC	35,700,000.00	Started: April 2000 Completion: April 2000
2. Construction of new Health Post at Chimsimbe Village	47,000,000.00	Started: April 2000 Completion:
3. Rehabilitation of 2 No. 1x3 CRB and 2 No. staff houses at Mung'omba Primary School		Started: Community contribution in progress Completion:
5. CHADIZA DISTRICT COUNCIL		
Project/Activity Undertaken	Budget (K)	Remarks/Progress
Council Projects:		
1. Alteration of existing Council tavern into Rest House		Started: Tendering for Consultancy in progress Completion:
6. MAMBWE DISTRICT COUNCIL		
Project/Activity Undertaken:	Budget (K)	Remarks/Progress
Council Projects:		
1. Renovation of existing market into Guest House and construction of Ablution Block		Started: Tendering in progress Completion:
Community Projects:		
1. Completion of 1 No. 1x3 CRB at Nyakatokoli Primary School		Started: Community contribution in progress Completion:
2. Construction of 1 No. 1x3 CRB at Nsefu Primary School		Started: Community contribution in progress Completion:

ANNEX 6 LIST OF PERSONS INTERVIEWED

Name	Organisation/Title
Mr. Silweya	PPS Eastern Province
Mr. G.E. Phiri	D.A. Petauke
Mrs.	D.A. Chipata
Project Staff	
A. Sakwiya	Project Manager
L. Nkhoma	CPPA
T. Muchengwa	FAO
R. C. Lupenga	DPIA
F. K. Siyunyi	DPIA
S. T. Ndhlovu	CO
K.K. Chisanga	P. E.
F. Mwalusaka	NRE II
S. Tembo	Technical Advisor:NREI
P. Mutimushi	TO
E. Kampamba	FMA
Private Contractors	
Chitambo Douglas	Chikunto Building Contractors, Chairman Eastern Province General Contractors Association
Henry Zulu	Mtondo Builidng Contractors Ltd
Widson Chima Henks	Mundalanga Building Contractors
Machimo R Nyirenda	Soviny Enterprises Building Contractors
Gilbert Phiri	Managing Director Libean ContractorsI
Isaac Manda	KCGDC Ltd.
Dinny M. J. Phiri	Libean Contractors
Alick Mwanga	Rapid Construction Co. Ltd.
Dominic Kapenda	Domlanka Contractors
Agrippa Mwanza	Rapid Construction Co. Ltd. EPLBRCA
Charles B. Phiri	BCP Enterprises.
Mambwe District	
L. Lungu	Deputy District Treasurer
D. Mwacheuga	Deputy Director of Works
M.Y. Zulu	Council Secretary
M. C. Chima	District Treasurer
J. W. Zulu	A/Senior Administration Officer
Nyumba District	
Andrew Shawa	District Planning Officer
Maxwell Chikuwire	Council Chariman
Stephen Nyirenda	Director of Works/ Acting Council Secretatry
Douglas Mwanza	Internal Auditor/Acting District Treasurer
V. W. Tembo	Executive Secretary, Nyimba Project Committe
J. Mumba	ADC Vice Sec. Chinambe ADC
M. Mwanza	Chairperson, Chanambe ADC
D. Sinyawa	Treasurer,Nyimba Central ADC
S. Sonkhani	Secretary, Nyimba Central ADC
A. Mwanza	Chariman, Chinambe PC
E. Mwanza (Ms.)	Member, Nyimba Central ADC
C. Ngulube	Treasurer, Chinambe PC

E. Mwanza	Secretary Chinamba PC
J. Phiri	Secretary Chiweza ADC
C. Ngoma	Vice Secretary, Nyimba Basic, PC
L. Miti	Chairperson, Nyimba Central ADC
F. Raisi	Member, Nyimba Central ADC
E. Phiri	Project Secretary, Chibeza Ward
K. Tembo	Chairperson,
R. Lungu (Ms.)	Treasurer, Chiweza PC
D. Mumba (Ms.)	Chairperson, Nyimba Basic PC
H. Mugala	Member, Nyimba Central ADC
T. Toloka (Ms)	Member, Nyimba PC
M. Phiri (Ms.)	Vice Chairperson, Nyimba Central ADC
J. Zula (Ms)	Member, Nyimba Central ADC
S. Phiri	Member, Nyimba Central ADC
G. Ngozo	Secretary, Nyimba Energy Company
C. Phiri (Ms)	Vice Secretary, Nyimba Central ADC
L. Phiri (Ms)	Vice Secretary, Chamambi PC
D. Musema	Teram Member, District Facilitator
Rev. L. D. Zulu	Chairperson, Amalgamated Christian Group (PAM)
M. Nkhamba	Vice Secretary, Chiweza PC
B. Mumba	Vice Chairman, Chiweza PC
S. Daka	Member, Chiweza PC
Petauke District	
Andi Masenga	Council Secretary
M.L. Zulu	District Treasurer
R. J. Ndhovu	Director of Works
J. K Sinyangwe	Deputy Council Secretary
K. T. Sinyangwe	District Planning Officer
M. Masiyu	Administrative Officer
J. Mwanza (Ms.)	Chief Administrative Officer
	District Administrator
Mtema Primary School	
M. B. Moyo	Headmaster
N. Banda	PMC Treasurer
I. Zulu	PMC Secretary
M. Mwanza	PMC Vice Chairman
F. Daka	PMC Committee members
V. Daka (Mrs.)	PMC Committee member
T. Mwale (Mrs)	PMC Committee member
D. Banda	PMC Chairman
Nyanje Hospital	
K. Zulu	Vice secretary, Chingombe ADC
Naphitale Banda	Secretary, Chingombe ADC
Chadiza District	
J. W. Zulu	Council Secretary
W. Bwalya	Deputy Council Secretary
B. Shantumbu	District Planning Officer
S. G. Mufinta	Director of Works
A. K. Mambwe	Deputy Treasurer
S. Phiri	Member, Manje ADC,Secretary Chadize
Road Crew members/feeder road	

P. Chobwe	Plan International Communications Officer
Katete District	
V. Limba	District Planning Officer
M. Lukonga	Director of Works
GLE Nkhata	Deputy Council Secretary/ Acting Council Secretary
D.I. Nkhuwa	District Treasurer
E. Chifuka	Councillor/Chairperson Finance Committee
Chipata District	
S. Mulikita	Town Clerk
L. Banda	District Planning Officer
I. Mwale	D/Director of Finance
R. Daka	D/Director of Works
M. Sakala	Acting Director of Administration
Lusaka	
Dr. Mwansa	Deputy Secretary to Cabinet
Mr. Kaluba	PS Cabinet Office
Mr. O. Banda	PS, MLGH
Mr. Omaife Oyaide	Deputy Resident Representative, UNDP
Mr. B. Namachila	Director, Local Government Administration, MLGH
Mr. Peter Lubambo	Director, DISS, MoLGH
Mr. M Maimbolwa	Acting PS/Director Special Services, MoLGH
Ms. Kanoka	Director of Human Resources, MLGH
Mr. B. Chaponda	Deputy PS, Ministry of Legal Affairs
Mr. Michael Soko	Assistant Res. Rep, UNDP
Ms Hitomi Komatsu	Programme Manager UNCDF
Dr. K. Wekwete	Technical Advisor, UNCDF
Ms. Claire Barkworth, Advisor	ZAMSIF
Mr. Sylvester Mwanza	Regional Officer, Eastern Province ZAMSIF
Mr. P. N. Knowani	Principl Local Government Officer, Local Government Administration Division, MoLGH
Mr. Winna	PPU, MLGH
Mr. E. Mwale	Director Micro Projects Ministry of Finance and Planning
Mr. Gregory Chilufya	Project Officer, UNCDF
Mr. Brendan McGrath	National Programme Coordinator, Irish Aid
Mr. Bernard Schubert	Team Leader, GTZ ddp, Southern Province
Ms. Dicky Methorst de Bie	Director, SNV
Participants in the Debriefing Meeting	Eastern Province
Ricardo Lupenga	DDP/FRP DPIA
Francis Syunyi	DDP/FRP DPIA
Toman Stenstrom	Technical Advisor, ILO/ASSIST, Harare
A. During	Technical Advisor, ILO/ASSIST,Lusaka
S. Nyirenda	DoW, Nyimba District Council
A. Shawa	DPO, Nyimba District Council
K.T. Simyangwe	DPO Petauke District Council
Andi Basenga	Council Secretary, Petauke District Council
A. Sakwiya	DDP/Project Manager
C. Kamuna	Senior Planning Officer, DPPH
R. M. Bwembya	PLGO

Ms. Justina Ziba	Chief Admin. Officer, Katate District Council
Greyson Nkhata	D/Council Secretary, Katate District Council
Prosperous Muthmushi	TO/DDP/FRP
Chisanga Kashimoto	PE/DDP/FRP
Lovemore Nkoma	CPPA/DDP/FRP
S. Ndhlovu	CO/DDP/FRP
Terenze Muchengwa	FAO/DDP/FRP
Sipopa Mulikita	Town Clerk/ Chipata Municipal Council
F. Mwahisaka	NRE/DDP/FRP
Edwin Kampamba	FMA/DDP/FRP
Wisdom Bwalya	A/Council Secretary Chadiza District Council
Simon Tembo	NRE/DDP/FRP: Acting PM during Evaluation Mission

ANNEX 7: FINANCIAL PERFORMANCE OF DISTRICT COUNCILS: INTERNAL VERSUS EXTERNAL RESOURCES

Council	District Population	% of Internal/ External Resources	Total Adjusted Revenue K'000	2000 Total Local Resources Revenue K'000	2000 National Support K'000	2000 DDF District Allotment K'000	2000 National Roads Board (NRB) Support K'000	1999 NRB Financed Contracts Currently Running K'000	NRB Total K'000	Total External Resources K'000	Per Capita K'000
Chadiza	63,210	31	1,622,967	503,117	873,471	130,890	42,000	73,489	115,489	988,960	26
Chama	51,772	39	412,097	160,911	40,725	210,461	0	0	0	40,725	8
Chipata	291,372	50	1,712,961	851,026	52,516	606,500	172,800	30,119	202,919	255,435	6
Katete	138,469	26	867,974	224,016	271,107	252,449	89,000	31,402	120,402	391,509	6
Lundazi	171,602	30	920,098	275,485	59,772	476,647	48,000	60,194	108,194	167,966	5
Mambwe	62,000	46	351,279	162,873	32,256	156,150	0	0	0	32,256	6
Nyimba	55,670	35	318,227	110,070	29,836	178,321	0	0	0	29,836	6
Petauke	249,542	34	1,154,712	394,609	153,722	575,527	15,000	15,854	30,854	184,576	5
Totals	1,083,637	36	7,360,315	2,682,107	1,513,405	2,586,945	366,800	211,058	577,858	2,091,263	67

The 1999 NRB financed road works only started in February 2000. The year 2000 budget figures have not reached the "NO OBJECTION**" status, but still provides an IPF.

*** On average the local authorities can only raise 36% of the budget, while 64% is sourced outside the council.

The level of dependency, standing at 64% can severely restrict the implementation of local policy, as external resources constitute uncontrollable factors.

ANNEX 8: Summary of Transfers to District Councils of DDF SINCE 1999

Date	Details	Chipata	Lundazi	Petauke	Katete	Mambwe	Nyimba	Chama	Chadiza
05/05/99	DDF Council Projects	56,511,000		53,625,075		14,549,349			
05/08/99	DDF Community projects		44,411,850		23,522,100				
30/11/99	DDF community projects	84,766,500	66,617,775	80,437,613	35,283,150				
11/03/00	DDF community and council projects			87,300,000			96,030,000	96,030,000	96,030,000
TOTAL		141,277,500	111,029,625	221,362,688	58,805,250	14,549,349	96,030,000	96,030,000	96,030,000

ANNEX 9. MTE MISSION PROGRAMME
DRAFT PROGRAMME OF ACTION
MID-TERM REVIEW TEAM

Day	Time	Scheduled Meetings With
C. Thursday 27/4/2000	09:00 A.M	Deputy Res. Rep, UNDP
	15:00 P.M	Director LGA, MLGH
Friday 28/4/2000	08:00 am	Travel To Chipata
	11:30	Debrief Project Staff
D. Tuesday 2/5/2000	08:30 A.M.	Project Staff
	14:00 Pm	PLGO
	16:00 Pm	Individual Project Staff
Wednesday 3/5/2000	Am	PPS DA Chipata Ngo Contractors
	Pm	Chipata Municipality Town Clerk/Treasurer/Engineer/DPO
Thursday 4/5/2000	Am/Pm	DC Visit 1 DA/CS/TC/DPO/Treasurer/DoW/ Councillors/ADCs/ Project Committee/ Chiefs
Friday 5/5/2000	Am/Pm	District Visit 2 Da/Cs/Tc/Dpo/Dow/Treasurer/ Councillors/ADCs/ Project Committee/Chiefs
Saturday 6/5/2000	Am/Pm	District Visit More Adc/Chief/Project Committee, Councillor,
Sunday Rest And Write Ups		
Monday 8/05/2000	Am	Mambwe Dc Visit Contact Groups/Slamu/Chiefs/ Adme/Councillor
Tuesday 9/5/2000	Am/Pm	Write Up And Prepare For Meeting Plus Project Team
Wednesday 10/5/2000	Am	Presentation Of Preliminary Findings
	Pm	Departure For Lusaka
Thursday 11/5/2000	A.M	D. Chaponda Ministry Legal Affairs Ps Kaluba, Cabinet Office Barkworth, ZAMSIF Ireland Aid
Friday 12/5/2000	07:30	Ps O. Banda. MLGH M. Soko, Ass Res. Rep. UNDP P. Lubambo, Director DISS, MLGH
Saturday/Sunday 13-14 May		Write Up For Aide Memoir
15/5/2000		SNV, ZAMBIA
16-17		Write Up And Analysis/ Programme Manager, UNCDF AND TECHNICAL Advisor
Thursday 18/5/2000	PM	Debrief Project Staff, UNCDF/UNDP
Tuesday 23/5/2000	09:00	Debrief MLGH/UNDP/UNCDF

ANNEX 10: PROJECT PLANNING MARTIX

ANNEX 11: Documents Reviewed:

DDP, Annex II, DPO Quarter 4 Work Programmes, December 1997. (No current DPO work programmes were available).

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DDP, Communication Strategy and Monitoring and Evaluation Framework, September 1998.

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DDP, Decentralised Development Planning Training Materials, August 1995-July 1997.

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----- Chipata District Profile, June 1999

----- Lundazi District Profile, June 1999

----- Katete District Profile, June 1999

----- Nyimba District Profile, June, 1999'

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Nkhoma, L, Establishing Area Development Committees, Workshop Report, no date.

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