



**SECOND
DRAFT**

Joint Final Evaluation

District Development Planning and Implementation in Eastern Province
(ZAM/93/CO1)
And

Rehabilitation and Maintenance of Feeder Roads (ZAM/93/CO2 & ZAM/93/009)



Team Members:

Rosern K. Rwampororo: Planning & Policy Expert (Team Leader)

Jane M. Tournée: Roads Engineer/Infrastructure Expert

Andrew Chitembo: Planning & Finance Systems Expert



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Executive Summary

1. Background

The *Rehabilitation and Maintenance of Feeder Roads in Eastern Province of Zambia* project was identified in February 1993. Zambia is a land-locked country with an area of 752,000 square kilometres. It is bordered by eight other African countries. In 1993, the population was estimated to be 8.94 million. From the figures available at that time, Real Gross Domestic Product per capita was USD420 in 1991, and Zambia was ranking 138th in the world in terms of the UNDP's Human Development Index.

The roads sector lacked funds and was poorly managed. This has resulted in severe neglect and large portions of the network were in need of rehabilitation and maintenance. The deterioration of the road network meant that productive areas of the country were inaccessible during the rainy season, and some roads impassable even in the dry season. This hampered the introduction of farm inputs and the as well as the timely evacuation of harvested agricultural produce.

Eastern Province was identified as an area of concentration for UNCDF assistance, based on development need. The Rehabilitation and Maintenance of Feeder Roads in Eastern Province of Zambia - referred to as the Feeder Roads Project (FRP) – formed part of the UNCDF support to decentralisation, capacity building, and infrastructure development.

2. Project Rationale and Objectives

In the original project design, it was intended that the project would respond to the need to transport a bumper crop of maize from the 1993/94 farming season. Road rehabilitation was expected to be done speedily using equipment-based methods. A lack of locally available contractors to undertake the works posed a serious problem for the project and was the basis for the redesign carried out in May 1996. The project was therefore executed based on the Project document: Addendum to Project Agreement signed in October 1996. The FRP was designed to build and strengthen capacities in the local authorities and local private sector to rehabilitate and maintain feeder and urban roads through contracting systems. The FRP was enhanced through the linkages to the District Development Project, which supported participatory planning and strengthening of the service delivery capacity of District Councils.

The project design and implementation demonstrated the way in which the strengths of different agencies and private sector partners can be brought together for the benefit of the institutions and individuals undergoing training and capacity building. The principal project partners were the Ministry of Local Government and Housing (MLGH), UNCDF, UNDP, ILO and the Roads Training School (RTS) of the Ministry of Works and Supply (MoWS) supplemented by specific inputs from the private sector.

Development Objective

To contribute to the sustainable economic development of the Eastern Province through the establishment of a comprehensive integrated strategy for rural infrastructure development, relying to the extent possible on locally available private sector resources and the capacity of the District Councils.

The Immediate objective s were as follows:

1. By the end of the project period a capacity will be established and operational within district technical departments to plan, design, implement and monitor

road rehabilitation and maintenance works using the most cost effective construction technology, labour-based methods, primarily based on the use of locally available resources, and with the participation of the private sector construction industry.

2. By the end of the project period, a capacity will be developed and operational within the local private sector construction industry capable of rehabilitating and maintaining feeder roads through the efficient use of labour-based appropriate technology.
3. Access to and within the areas of the project determined in relation to the economic and social activities of the respective areas of influence will be improved.
4. Direct employment will be created through the rehabilitation and maintenance of the selected roads in the Districts and the conditions for sustainable long-term employment creation in agricultural fields will be enhanced through increased economic activity.

Anticipated Outputs

- 1.1 Contract Management Unit (CMU) staff in 8 District Councils (DCs) trained in planning, design, management and supervision
- 1.2 DCs establish and implement routine and periodic maintenance programmes for all the roads rehabilitated in the Districts
- 1.3 Contract management systems established and tested in the Districts
Effective monitoring and reporting systems from site level to HQ established
- 1.4 Two trained national roads engineers demonstrate the capacity to manage labour-based rehabilitation and maintenance programmes
 - 2.1 A well-documented system for identification and selection of potential contractors developed and established within the district technical departments
 - 2.2 9 small-scale rehabilitation contracting firms, and 25 maintenance contractors developed to operate as labour-based road rehabilitation /maintenance enterprises.
 - 2.3 25 site supervisory personnel from the rehabilitation firms were to be trained in the efficient planning, execution and management of rehabilitation works and 25 for maintenance works.
 - 2.4 7 small-scale contractors and 25 maintenance contractors equipped, financed through private financial loan agreements, initially using project capital funds
- 3.1 approximately 580km of feeder roads rehabilitated and 700km under regular routine maintenance
- 3.2 road selection criteria and ranking introduced
- 4.1 A total of approximately 900,000 worker days of direct employment created

3. Funding

<u>Project Budget (USD)</u>	<u>Original</u>	<u>Revised</u>
UNCDF budget	4,635,000	4,910,982
UNDP budget	932,000	1,300,541
Government of Zambia	1,042,400	1,042,400
<i>Total Project budget</i>	<i>6,609,400</i>	<i>7,253,923</i>

4. Project Evaluation

The evaluation team used a mixed method approach, which consisted of both quantitative and qualitative methods to collect information from different stakeholder groups.

Information was taken from documentation reviews, questionnaires, key informant and focus group interviews, and site visits. Three sample districts were chosen for the field visits based on their socio-economic status, plus Chipata as the provincial capital. The three districts chosen were Petauke, Lundazi and Chadiza.

An Aide Memoire summarising the team preliminary findings was prepared and presented to a stakeholders meeting, and the comments received have been taken into consideration in the final report. Further a follow-up matrix was prepared for discussion with project partners.

5. Key Findings

The original assessment of the technical capacity in the districts, for the management of the contracting process, which was carried out at the preparation stage of the project, underestimated the training needs. This meant that insufficient budget was set aside for formal training and mentoring of the district councils contract management units (CMUs). Despite this the project together with the district staff has succeeded in building capacity in 5 of the 8 districts in Eastern Province to manage contracts using management systems, monitoring systems and documentation introduced by the FRP. All 8 districts are continuing to produce annual maintenance workplans. The capacity of the CMUs however remains fragile as some of the CMUs rely heavily on the ability of one or two members of staff. Should these staff members leave, then the capacity of the Districts will be automatically reduced.

An addition output not anticipated in the project design was the training of 7 local consultants in the preparation of labour-based contracts and site supervision. Where, in some CMUs, the capacity to continue preparation of rehabilitation contracts is reduced, they are now able to call on the trained private sector consultants for assistance.

A system for contractor selection based on the project selection procedure was prepared and established in the districts.

30 staff from 10 rehabilitation contractors were trained. 6 contractors qualified for continuing support after the second trial contract. A 7th contractor combining the best elements of two of the “failed” contractors also qualified to continue. 21 maintenance contractors received training. The maintenance contractors were equipped with handtools, and the 7 rehabilitation contractors were equipped with light tractor-based equipment. From 21 maintenance contractors trained, only 11 have continued to operate and another 2 have been added, set up by staff from the rehabilitation contractors.

The procurement of equipment for onward sale to the contractors through a loan system went smoothly and efficiently, however the specifications of some of the items were inadequate, and the company hired to facilitate the loan repayments did not perform. The company were also expected to provide additional training on business and financial management for the contractors, but this was also inadequately addressed.

The International Road Specialist (IRS) was advising the project team for the first three years of the project. During this period the principal National Roads Engineer (NRE) was trained to continue the work for the further two years of the project period. The training received by both NREs and their subsequent execution of the project supported by the Project Manager, proved this to be an excellent strategy for reinforcing national execution.

The implementation of the maintenance plans has been severely affected by factors external to the project, i.e. flow of funds from GRZ. At the time of the evaluation, the number of

kilometres under routine maintenance following improvements by FRP, is zero. There are practically no funds entering the districts for routine maintenance and there has been no funds from GOZ /NRB /MLGH for this activity since the 1999 allocation.

Physical Outputs

The target of 580km of road rehabilitation was revised to 450km by the mid-term evaluation, due to the increase in gravelling required and the resulting increase in costs per km. Costs continued to rise and therefore only 404km could be completed within the budget.

It is also worth noting that only 21 km of the 450 km under maintenance were on roads rehabilitated under the FRP. The remaining 429km under maintenance, were improved and maintained through enhanced maintenance contracts. This infers that of the 404 km of feeder road rehabilitated 383 km have seen no routine maintenance since their completion. The total kilometres of road either rehabilitated or put under enhanced maintenance by the FRP is therefore 833 km. Unfortunately, this achievement will be short lived if funds for the systematic planning and implementation of routine maintenance are not made available urgently.

The quality of the roadworks is generally good, with the roads standing up well to several rainy seasons despite the lack of maintenance. The work appears to be of a better standard than plant-based operations in the Province and also to cost less. However comparisons can be unreliable if the amount of work done, the road standard and specifications are not taken into account.

The project has achieved 870,000 workdays (97% of target) with 14% participation by women. In excess of ZK 2,065 billion has been paid in wages within the districts of Eastern Province. There is sufficient evidence to conclude that women were given equal access to work opportunities, and therefore this percentage seems in some measure to reflect their level of interest in participation. In comparison to international experience, however women's participation at or below these levels would be a cause for concern, and the numbers could be encouraged to increase to 20% or more based on contractually binding recruitment procedures..

In addition to the 7 local consultants trained under the FRP, other groups were included in the project. One of these groups were university students attached to the FRP for industrial experience and as a result of their experience, there has been a request to ILO to assist the University of Zambia to introduce labour-based technology into the curriculum, as is the case in other universities in the region.

The labour-based contractors have come together to form the Eastern Province Labour-Based Road Contractors Association (EPLBRCA). They have been active in national meetings and forum discussing the future of the road sector in Zambia, and have assisted in increasing awareness of the project and its achievements.

The FRP has assisted trained contractors to source work outside the project, such as contracts under the first HIPC allocation to the roads sector.

3. Lessons Learned and Recommendations in Brief

The project has been very successful in demonstrating the effectiveness of the District Councils in taking responsibility for planning, design, preparation and management of the roadworks with the implementation through a locally based private sector conversant with

labour-based methods. The works have contributed to the Development Objective in providing temporary employment during construction and maintenance of the roads, and by improving accessibility not only for economic development but also to services for the people of Eastern Province. There have been constraints however, and the longer-term impact and respect for the work of the project will be dependent on whether the environment is conducive in terms of national policies, the strategies and instruments for implementing these policies, and availability of adequate reliable funding for maintenance. It will also depend in some measure on the continued technical backstopping support to the districts given that not all 8 have capacity in every area of management.

Lessons Learned

- ❖ In the absence of the decentralisation policy and the road sector policy greater attention should have been paid to developing an exit strategy.
- ❖ Better contact should have been made at the start, with the Feeder Road Section, in the MLGH.
- ❖ The number of trainees should always be larger than the required number of successful staff members or private companies based on a realistic assessment of the drop out rate.
- ❖ When providing capacity building for a target group, the best possible advice should be sought. Trying to build capacity in too many unrelated areas at once can have a negative effect. In the future, the appointment of weak institutions, such as the company tasked with the management of the contractors' loans should be avoided.

Recommendations

- ❖ The systems for the awarding of contracts and the effecting of payments needs to be decentralised with appropriate tender limits and procedures. An assessment of respective district capacity and a monitoring and auditing role by central agencies rather than direct management would be more appropriate.
- ❖ The project partners need to impress on those responsible for the distribution of maintenance funds, the necessity for continuous routine maintenance to safeguard the investment made in the feeder roads in Eastern Province, and to maintain the improved accessibility for the communities in Eastern Province. If the use of the skills developed in the district councils and the local construction industry are not used, they will be lost.
- ❖ Correct registering of the labour-based contractors is needed.
- ❖ Contracts from national bodies need to be packaged in sizes suitable for the local provincial-based construction industry
- ❖ Efforts should be made in technical projects to have at least some suitably qualified women on the team.
- ❖ Technical Assistance should continue by the placing of a local consultant familiar with labour-based technology and the FRP, in the office of the Provincial Local Government Officer (PLGO). The task of the consultant would be to provide continued backstopping to the district councils and be available for advice to the private sector in Eastern Province.

- ❖ A training programme for a further 20 routine maintenance contractors should be undertaken, assuming that routine maintenance funding will be released, then the present number are insufficient to deal with the workload, even assuming inputs from the rehabilitation contractors.
- ❖ The rehabilitation contractors are still lacking wider experience and some business management skills. There is a need to continue advice and mentorship to this group, either through the Eastern Province Labour-based Road contractors Association, or the Association of small-scale contractors or the National Council for construction.
- ❖ A proposal should be developed to provide support within the FRS of the MLGH for incorporation of the lessons learned from FRP into the central level.
- ❖ Equal access to work opportunities and awareness on HIV/AIDS should be elaborated and costed in the contract documentation.
- ❖ A follow-up should be made to the original base-line data collected on the roads
- ❖ Project partners should continue to be active in providing inputs to the decentralisation and road sector policy development.
- ❖ Future district development programmes should incorporate a significant road sector component as roads contribute to access to services and economic opportunities, and their management leads to enhancement of the capacity of the districts.
- ❖ The use of labour-based methods is compatible with the majority of the needs of the districts. In terms of poverty alleviation, the use of labour-based methods ensures that part of the funds remain with the local communities in terms of wages.

List of abbreviations

ADC	Area Development Committee
BOQ	Bill Of Quantities
CBO	Community Based Organisation
CTA	Chief Technical Advisor
CMU	Contract Management Unit
DA	District Administrator
DC	District Council
DDCC	District Development Consultative Committee
DDP	District Development Project
DISS	Department of Infrastructure and Support Services
DOW	Director of Works
DPO	District Planning Officer
FMA	Financial Management Advisor
FRP	Feeder Roads Project
FRS	Feeder Roads Section, DISS/MLGH
GRZ	Government of the Republic of Zambia
HQ	Headquarters
HMS	Highway Management System
ILO	International Labour Organisation
ILO/ASIST	Advisory Support Information Services And Training – International Labour Organisation
IRS	International Road Specialist
km	kilometre
L-B	labour based
MOAC	Ministry of Agriculture and Co-operatives
MCT	Ministry of Communication and Transport
MoFED	Ministry of Finance and Economic Development
MLGH	Ministry of Local Government & Housing
MWS	Ministry of Works and Supply
NCB	National Competitive Bidding
NCC	National Council for Construction
NCC	National Consultative Committee
NRB	National Roads Board
NRE	National Roads Engineer
NDCC	National Development Coordinating Committee
P-B	plant based
PDCC	Provincial Development Co-ordinating Committee
PLGO	Provincial Local Government Officer
PM	Project Manager
PMU	Project Management Unit
PPS	Provincial Permanent Secretary
PRE	Provincial Roads Engineer
RD	Roads Department
ROADSIP	Road Sector Investment Programme
RTS	Roads Department Training School
STS	Technical Support Services
TA	Technical Assistance
TOR	Terms of Reference
UNCDF	United Nations Capital Development Fund

UNDP	United Nations Development Programme
USD	United States dollar
WB	World Bank
WD	Works Departments of the District Councils
ZAMSIF	Zambia Social Investment Fund
ZK	Zambian Kwacha (ROE: USD = ZK4300 – March 2002)

Project Data Sheet:

Rehabilitation and Maintenance of Feeder Roads (FRP)

Rehabilitation and Maintenance of Feeder Roads Eastern Province, Zambia			
Country Zambia	Project Cost and Financing Total Project Cost US\$ 7,253,923.-		
Duration 1996-2001	Government of Zambia UNDP UNCDF	Budget Revision N Budget Revision J	US\$ 1,042,400.- US\$ 1,300,541.- US\$ 4,910,982.-
Project Number ZAM/93/C02 (UNCDF) ZAM/93/009 (UNDP)		Project Title Rehabilitation and Maintenance of Feeder Roads in Eastern Province	
Sectors Transport and Communications (0600)		Sub-Sectors Land Transport (0630)	
Government Executing Agency Feeder Roads Section, Department of Infrastructure and Support Services, Ministry of Local Government & Housing		Implementing Agencies District Councils of Eastern Province Roads Training School, Ministry of Works and Supply ILO	

Financial Performance

	GRZ	UNDP	UNCDF	TOTAL
Original	1.042.400	932.000		6.609.400
Revised	1.042.400	1.300.541	4.635.000	7.253.923
Actual	314.128	1.300.541	4.910.982	6.525.651
Variance	(728.272)	-	-	(728.272)
% Funded	30%	100%	100%	90%

Expenditure	313,116	1,335,255	4,620,542	6,268,913
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1 Purpose of the joint DDP/FRP Evaluation:

This Final Evaluation is conducted in compliance with the requirement of the Project Documents/Financing Agreements as well as per the rules and regulations of the UN Capital Development Fund. The purpose of this evaluation is to review the performance of the two projects (DDP and FRP) and to provide guidance for improving UNCDF programme implementation in future.

1.1 The evaluation tasks are:

1. Assess overall performance of the projects in delivering project outputs, and the likelihood of attaining the Immediate and Development Objectives (i.e. desired outcomes and impacts).
2. Assess and validate the initial project designs and relevance; whether the project designs were feasible and whether their objectives are still relevant under the current context.
3. Assess the institutional and implementation arrangements and their suitability for the successful attainment of the projects' objectives; including an assessment of the operational policies of the stakeholder organizations; whether or not they support the institutional and implementation arrangements.
4. Assess the managerial competencies, capabilities and innovation at all levels in the implementation of the project.
5. Assess the sustainability of outputs and the identified "exit strategies";
6. Assess the monitoring and evaluation system (including review and comparison of project performance indicators with corporate performance indicators; i.e the UNDP and UNCDF Strategic Results Frameworks- SRF)
7. Draw critical lessons learned about project design, implementation and management; and make recommendations to improve them.
8. Recommend ways in which the Govt. of Zambia, UNDP and UNCDF can respectively support decentralization in Zambia after the project ends; specifically, what role can UNDP and the UNCDF Regional Technical Advisor play to support decentralization in Zambia?

1.1.1 Key Issues-FRP

As the FRP project is a pilot for the introduction of labour-based technology for road construction, and the establishment of maintenance systems for the roads, a primary focus of the evaluation should be to assess the development and use of labour-based technology in Zambia, as well as an assessment of the capacities of local authorities at both provincial and district levels in the areas of planning, management and technical know-how in road management and maintenance.

1.2 Methodology Used in the Evaluation:

The evaluation team used a mixed method approach, which consists of both quantitative and qualitative methods to collect information from different stakeholder groups¹. These include:

¹ The schedule for the mission is included in annex 4

- District Councils (DCs)
- District Development Coordination Committees (DDCCs)
- Civil Society Organizations (CSOs): Community Based Organizations (CBOs) and Non-Governmental Organizations (NGOs)
- The Area Development Committees (ADCs)
- Private Sector Representatives including the trained contractors and consultants
- Key informants who will include: District Administrators, Donors, Ministry of Local Government Officials at the Province and Headquarters, Other relevant ministries and national bodies such as the National Roads Board.
- Project partners such as RTS, ILO.

The methodology used is based on the concept of ‘triangulation’, which involves the determination of progress through several sources of information along which various methodological tools were developed and used. These include:

- Document Reviews
- Questionnaire Survey
- Key Informant and Focus Group Interview Guides
- Field Visits to selected districts and communities.

Three sample districts were selected, plus Chipata, which hosts the provincial capital, and was included specifically for assessment of provincial level issues. The main three sample districts were chosen based on the diversity of their socio-economic status. Using access to health, education, water and sanitation as a proxy for poverty, the three districts chosen were: Petauke, Lundazi and Chadiza as the richest, medium, and poorest respectively.

Findings of the impact of the DDP and FRP within Eastern Province have been assessed through (1) a review of documents, (2) quantitative and qualitative data collection by administering a survey questionnaire to “focus group meetings” consisting of different stakeholder groups in 3 out of the 8 districts. The differences between and within districts have also been highlighted through inter and intra district stakeholder perceptions on various dimensions of the two projects.

1.3 Evaluation Team composition

Rosern K. Rwampororo: Planning & Policy Expert (Team Leader)
 Jane M. Tourn   : Roads Engineer/Infrastructure Expert
 Andrew Chitembo: Planning & Finance Systems Expert

1.4 Structure of the report

The structure of this report is based on the outline provided in the Terms of reference for the assignment, specifically the items from page 13 to19. It includes as annex 1 a self-contained summary of the evaluation and as annex 2, an evaluation follow-up matrix. A separate Aide Memiore was prepared for presentation in Zambia, but is not included in this report. A full terms of reference is provided in annex 3 of this report. Annex 4 and annex 5 provide the Joint Evaluation Mission Schedule, and the FRP interview schedule and list of persons met, respectively.

1.5 Acknowledgements

The Evaluation team would like to express their sincere thanks to all the FRP and DDP staff, as well as members and staff of the District Councils, DDCCs, ADCs, contractors, consultants, UNDP, Agencies and Ministries for their interest, support and for the valuable information they provided.

2 Introduction

2.1 Country Background

Zambia has a population of about 10 million growing at 2.2% a year. It is designated as a LDC and is currently ranked 153 in the UNDP Human Development Index (HDI), which places it in the Low Human Development category. The HDI value in 1999 is 0.427 (It was 0.466 in 1990), with a GDP per capita PPP of US\$756 (US\$330), a life expectancy at birth of 41 years, and a 77.2% adult literacy rate. In literacy and GDP indicators, women score significantly lower. Female adult literacy is 70.2% compared to male adult literacy of 84.6%, and the female GDP per capita (PPP) is US\$577 compared to the male GDP per capita (PPP) of US\$934. The UNDP Gender-related Development Index (GDI) ranking in 1999 was 127.

2.1.1 Transport Sector

Zambia has a multi-modal transportation system consisting mainly of road, railway and civil aviation. The system is supplemented by some pipelines for transporting oil, inland water transportation and a few ocean-shipping routes. In 1995, Zambia's road network was approximately 37,000 kilometres long, distributed fairly extensively across the country. The transport sector contribution to GDP was fluctuating around 5% in mid 90s and reached 6.2% in 1999². The most serious problems facing the road sector were poor planning, lack of funding and severe neglect of rehabilitation and maintenance. These problems have caused serious repercussions. For example, poor planning was resulting in the development of new roads while the existing ones were left to deteriorate. The shortage of foreign exchange has exacerbated this problem. As a result, many places are inaccessible to vehicles and productive activities are hampered; basic transportation services have been reduced or halted in some instances. There have been recent improvements in the general road conditions but these have been mainly on the trunk, main and urban roads

*Eastern Province Road Sector*³

i	ii	iii	iv	v	vi
Trunk	Main	District	Feeder	(Primary Feeder) ⁴	Total (i+ii+iii+iv)
415	179	1516	3862	(2359)	5,972

2.2 Project Background

Zambia became eligible to receive UNCDF assistance in 1991 when it was classified by the UN General Assembly as a Least Developed Country. UNCDF fielded an identification mission in 1993, which resulted in the formulation of two projects in the Eastern Province: the Rehabilitation and Maintenance of Feeder Roads (FRP) project and the District Development Planning and Implementation (DDP) project. These UNDP/UNCDF projects were signed in 1995 and 1996 respectively. The projects are

² Zambia Human Development Report 1999/2000

³ Road Sector Investment Programme (ROADSIP), Bankable Document, August 2001

⁴ Feeder roads have a further internal classification of primary, secondary and tertiary.

executed by the Ministry of Local Government and Housing and implemented by the local authorities of the Eastern Province.

The FRP project was identified during a UNCDF programme and project identification mission (PPIM) in 1993. The possibility of rural roadwork in both Northern and Eastern Provinces was considered as neither area had attracted major assistance in the sector. In consultation with the Government, the Eastern Province was chosen, as it was the next most productive province after Central, Lusaka and Southern provinces.

The Feeder Roads Project operates alongside the District Development Project (DDP), also funded by UNDP and UNCDF, and having the same Project Manager. In principle, FRP operates within the framework of the DDP, which aims at developing the capacity within the districts to plan and manage public works, and involving communities in all development processes. Thus although the two projects should be seen as one complete project FRP was scheduled to end in June 2001 while DDP would run till the end of 2001. An extension of six months was given to both projects resulting in the FRP ending in December 2001 and the DDP is continuing to June 2002.

Both the DDP and FRP 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.

The original FRP document was signed in 1995. In the original design, it was intended that the project would respond to the need to transport a bumper crop of maize from the 1993/94 farming season. Road rehabilitation was expected to be done speedily using equipment-based methods. A lack of locally available contractors to undertake the works posed a serious problem for the project and was the basis for the redesign carried out in May 1996. The final evaluation is therefore based on the Project document "Addendum to Project Agreement" signed in October 1996.

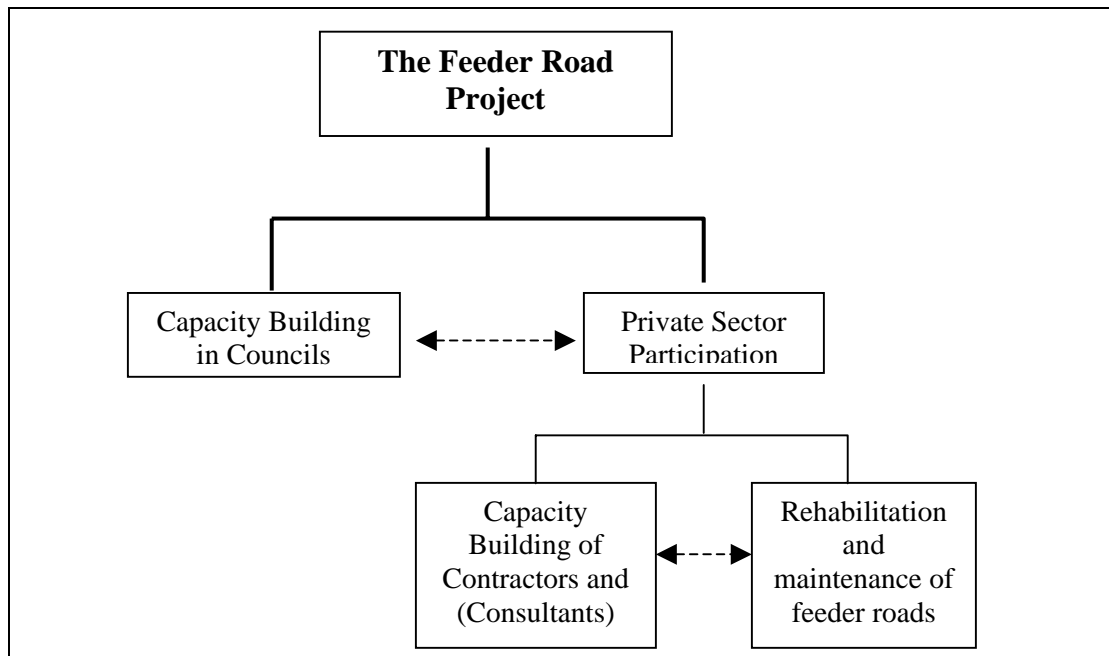
The FRP is designed to build and strengthen capacities in the local authorities and local private sector to rehabilitate and maintain feeder and urban roads through contracting systems. Labour-based techniques are not entirely new to Zambia, as labour-based roadworks have been carried out in other regions of the country such as Northern Province, and Lusaka Province. Within the Ministry of Works and Supplies (MOWS), Department of Roads (DR), the Roads Training School (RTS) has been providing training courses in Labour-based methods since 1994. What is innovative in the Feeder Roads Project in Eastern Province, is the use of the private sector for implementation combined with the re-orientation and training of the local authorities in their new role as planners and contract managers rather than implementers.

The FRP project has concentrated on improving the feeder road network, but at the request of local authorities have supported the preparation of contracts for short sections of the District Road Network, which is under the jurisdiction of the DR, MOWS rather than the MLGH.

2.3 Alteration of Development and Immediate Objectives

<i>Original Project Document, 1995</i>	<i>Addendum October 1996</i>
<p>Development Objective</p> <p>To increase income and improve the quality of life of the local population through the stimulation of agricultural production through rehabilitation and sustainable use of rural roads in selected districts of Eastern Province.</p>	<p>Development Objective</p> <p>To contribute to the sustainable economic development of the Eastern Province through the establishment of a comprehensive integrated strategy for rural infrastructure development, relying to the extent possible on locally available private sector resources and the capacity of the District Councils.</p>
<p>Immediate Objectives</p> <p>i. Rehabilitate of approximately 450 km of deteriorated rural roads in Eastern Province</p>	<p>Immediate Objectives</p> <p>i. By the end of the project period a capacity will be established and operational within District technical departments to plan, design, implement and monitor road rehabilitation and maintenance works using the most cost effective construction technology, labour-based methods, primarily based on the use of locally available resources, and with the participation of the private sector construction industry.</p>
<p>ii. Set up a practical and workable system of long-term maintenance for rehabilitated rural roads.</p>	<p>ii By the end of the project period, a capacity will be developed and operational within the local private sector construction industry capable of rehabilitating and maintaining feeder roads through the efficient use of labour-based appropriate technology.</p>
<p>iii Enhance the capacities of local authorities at both provincial and district levels in the areas of planning, management and technical know-how, so that they will be able to work competently and independently upon the completion of the project.</p>	<p>iii Access to and within the areas of the project determined in relation to the economic and social activities of the respective areas of influence will be improved.</p>
	<p>iv Direct employment will be created through the rehabilitation and maintenance of the selected roads in the Districts and the conditions for sustainable long-term employment creation in agricultural fields will be enhanced through increased economic activity.</p>

Chart 1: The Feeder Road Project



2.4 Project Rationale

At the time of the project preparation, the Government of Zambia (GRZ) was displaying a strong political will to reform. In the roads sector, the National Roads Board had been revived and the World Bank expressed confidence in the rural roads initiative of the GRZ. Another area of expected reform was decentralisation of government implying that district councils would take on more responsibilities, including enhancing their role as statutory roads authorities.

The improvement and maintenance of the road network would play a central role in stimulating agricultural production, access to social services, and improvement of other sectors of the economy within Eastern Province. In addition, poor road maintenance has an economic cost. A reduction in maintenance means a loss of investments made in improving the road network and an increase in the vehicle operating costs for transport enterprises.

It was also anticipated that the project would create temporary and longer-term employment and help stimulate an increase in participation in various commercial activities, and reduce poverty in the province.

2.5 Planned Implementation Arrangements

The FRP is executed by the Ministry of Local Government and Housing (MLGH) and implemented by the District Councils of Eastern Province. In particular the Feeder Road Section (FRS) of the Department of Infrastructure and Support Services (DISS) was identified as the executing agency. At provincial level the office of the Provincial Local Government Officer (PLGO) together with other Government officers provided technical support to the district authorities. At district level, the Directors of Works (DOWs) was the main partner for the project.

As a result of the ILO's national and international experience in the field of labour-based

construction, the ILO was given responsibility for the recruitment of the Technical Assistance Posts in the FRP. The RTS in Lusaka, was contracted by the MLGH to train labour-based feeder roads rehabilitation and maintenance contractors and district council road supervisors. Funding for both these inputs came from the UNDP.

The World Bank was included in the Addendum as a Co-operating Agency providing coordination on GRZ road sector policies, and to ensure consistency between the TA to the FRS and the FRP.

2.6 Planned Funding Arrangements

The Government of Zambia (GRZ) provided funding for housing, salaries, Construction Management Units (CMUs) of the District Councils running costs, and road maintenance activities.

UNCDF provided the main funding for investment in the feeder roads, for the purchase of appropriate equipment for the contractors, for handtools, and for vehicles and office equipment for the project and the District Councils.

UNDP provided complementary funding for the technical assistance component of the project including all training provided by the Roads Training School for contractors and council staff, and the one international road specialist and two national road engineers. In addition, ILO/ASIST in co-operation with ILO/SAMAT was funded by UNDP through a separate STS agreement, (USD 221,250) to provide technical backstopping and support services to the project. This funding was not included as part of the project budget.

UNDP was also responsible for effecting payments and for external procurement.

The original budget for the project was USD 6,609,400. There was no provision made for the support staff, and they could only be appointed after a budget revision in 1997. The budget was revised to a figure of USD7,203,985.

Table 1: Project Budget

<i>Funding Agency</i>	<i>Purpose</i>	<i>Amount (USD)</i>
<i>GRZ</i>	<i>Running costs of CMUs and, Road maintenance works</i>	<i>1,042,400</i>
<i>UNDP</i>	<i>Technical assistance and, Training</i>	<i>1,244,832</i>
<i>UNCDF</i>	<i>Equipment and, Road rehabilitation</i>	<i>4,916,753</i>
<i>TOTAL</i>		<i>7,203,985</i>

3 Project Design And Relevance

3.1 *The Design in terms of addressing the Identified problems*

The main problems the project was designed to address was, (i) the badly deteriorated rural road network in Eastern Province, (ii) lack of capacity at various levels, and (iii) the sustainability of the project benefits⁵.

3.1.1 *Rehabilitation and Maintenance of Feeder Roads*

The project was designed to rehabilitate 580 km of feeder roads and to place 700 km of roads under regular routine maintenance. What is not clear in the document is whether the 450km of rehabilitated roads are included in the 700km to be maintained or are additional to them. If however, the maintainable kilometres were based on an expected capacity of 25 contractors capable of maintaining 30 km each, then this would give a maximum of 750 km of feeder roads under maintenance. It is therefore assumed that the 580 km were to be part of the 750 km, especially as all rehabilitated roads should be immediately placed under a maintenance regime. In relation to the feeder road network in the district this improvement to roads would account for $750 / 3,862 = 19\%$ of the feeder road network in Eastern Province. However, given that the roads were prioritised and the most important links were identified to be rehabilitated and maintained, the impact in the Province would be greater than the proportion of the network addressed.

The feeder roads have been divided into 3 categories: primary, secondary and tertiary. In relation to the primary feeder road network, the proportion addressed would be $750 / 2359 = 32\%$.

3.1.2 *Lack of capacity at Various Levels*

The project was designed to train and re-orientate the District Councils for their role as contract managers, rather than their more traditional role of implementers using direct labour operations. It was also designed to address the lack of locally available road sector contractors. The project aimed to build capacity through training of local contractors as well as improvement of the capacity of the Works Departments (WD) of District Councils. Complementary to these activities, was the anticipated improvement in the financial management capacity of the District Councils, to be addressed by the DDP.

The existing capacity of the WDs was over estimated during the project design and this resulted in a need to reassess the training programme for the WDs and the proposed Contract Management Units (CMUs) under the Directors of Works (DOWs).

In the design of the project, the financial inputs to allow the CMUs to function were to come from the Government of Zambia (GRZ) through the MLGH. This group were among the most vulnerable when GRZ funds were not transferred, in contrast to the private sector, where the on-the-job training was covered by the UNDP funding.

3.1.3 *The sustainability of Project Benefits*

For sustainability, it appears the project design relied on the passing of two major policies, one for Decentralisation and the second for the Transport /Roads Sector. As neither has developed beyond cabinet paper stage, the sustainability of the improved feeder roads and the systems put in place within the districts is very questionable. Government funding for the maintenance of roads comes mainly through the National Roads Board (NRB) to the MLGH. However the NRB were not party to the project agreement and therefore may not have appreciated the need to prioritise money for the

⁵ Addendum to Project Agreement, Oct 1996, Page 14

maintenance of improved feeder roads in Eastern Province.

Sustainability in terms of funds for road maintenance was expected to come from the NRB adequately funded from the Roads Fund based on a fuel levy. There have been various difficulties in the operation of the NRB and the Roads Fund, which have affected this assumption.

The possibilities for change within the District Councils was further reduced as they were not provided with financial support from Government for the right-sizing of District Council establishments under the Public Sector Reform Programme. The right-sizing and reassessment of posts would be an expected part of any decentralisation and capacity building exercise.

3.1.4 Decision to use Labour-based Technology

The use of labour-based methods supported by suitable light equipment allowed for the entry into the road construction sector of group of small local businesses. The acquisition of large pieces of equipment, which would have been necessary for plant-based operations, would have forced them to borrow large sums of money, and would have been beyond the means of the small contractors to repay within the project period. Even with the adoption of labour-based methods, the loans for equipment were in the region of USD 152,000 per contractor.

The development of capacity within the district councils to manage the contract systems was enhance due to the appropriate size of the contracting companies being trained under the FRP. This has also meant that the District Councils have a reliable register of local contractors who can be called upon to undertake the type and size of works most likely to be required by the District Councils and their constituents.

The use of labour-based technology has also created employment opportunities and kept ZK 2,314.7 million⁶ in wages within the districts in Eastern Province. This is on top of the income remaining in the province and the country through the contractors.

In other provinces of Zambia where the use of labour-based contractors has not been adopted, large plant-based companies from outside Zambia have been accessing contracts on feeder roads, with the resulting income being at least partially lost to the Zambian economy, and employment opportunities being lost to the local population.

Quote from a Consultant:

The FRP is a good example of how development funds brought into Zambia by donors have been made accessible to the local construction industry through appropriate contracts. This is too often not the case.

Many other interviewees echoed this sentiment

3.2 Definition in the Design

3.2.1 Objectives and Outputs

The objectives in the document are clear and the outputs under each immediate objective well defined. Physical targets in terms of improvement to the road network, training of the private sector, and employment targets are very specific. The only exception is the lack of a clear definition of the numbers and level of staff from the District Works Departments to be trained. This lack of clarity, combined with an inaccurate assessment of the capacity of the District Works Departments, led to difficulties in the in securing

⁶ During the project period the exchange rate has increased from 1 USD = 1,300 ZK to a rate of 1USD = 4,000 ZK. It is therefore difficult to translate the wages paid into USD terms

adequate training and support for the District Council staff.

3.2.2 Identification of Beneficiaries and users of project results

The people of Eastern Province are defined as the beneficiaries in terms of the improved road network and the improved access to services. The people of Zambia are the second group of beneficiaries, in so far as the project contributes towards the national economic recovery programme. There are many groups benefiting from the project, (i.e. District Council staff, small-scale contractors, workers directly employed for rehabilitation and maintenance), however only through the application of their skills can the ultimate beneficiaries, the people of Eastern Province, be said to benefit. The results of the impact assessment given in section 9.4 of the report, show that at least the population of in the areas served by the improved roads are benefiting.

In terms of economic recovery, the growing and selling of cash crops has a wider benefit in export terms, or alternatively the reduction in imports, beyond the borders of Eastern Province.

An interview at the Chipata offices of Clark Cotton Zambia Ltd.

The company appreciates the improvement made to the roads under the FRP, but would like to see more of the network improved. The labour-based methods were perceived as being of good quality but slower than plant-based methods, but in some cases the quality of the roads improved using plant-based methods were not so good.

Most important for the company was the facilitation of the increase in production. In some areas of Lundazi served by the improved feeder roads, output had doubled and communications had improved to the extent that the company had increased the number of field staff posted to the area.

The almost doubling of the production in some areas during the project period cannot and should not be solely contributed to the improvement of the feeder roads. There is however no doubt that the FRP has contributed to and facilitated the increases in the quantity of cotton being produced in the Province as a whole.

For the people of Zambia, the benefit of the FRP and the use of labour-based methods in Eastern Province is perhaps less direct, but never-the-less important. The level of interest in take-up of the “FRP approach” for feeder road improvements in other districts and programmes in Zambia is a direct result of the use of labour-based methods. As the Government and partner Agencies concentrate on addressing poverty at the local level, the use of local resources for implementation and the involvement of communities in their own development is seen as one of the positive aspects of the FRP combined with the experiences of the DDP. The use of labour-based methods is one of the tools, which facilitates local involvement in implementation, maintenance and management.

3.3 Planned Implementation

The implementation has generally followed the planned sequence of events, but with a few critical exceptions. These exceptions are discussed below.

3.3.1 Allocation of Funds

The project operated on an imprest system with quarterly advances given according to an agreed annual work plan and activities for the previous quarter. This system was

generally adequate for the demands of the project, and only occasionally was the project waiting for the transfers of money from the UNDP.

The counterpart funding was released to the project from two main sources, the MLGH and the NRB. Neither of these sources has been able to make commitments or payments on a regular basis. This has seriously affected the support to the operations of the CMUs and the planning and implementing of routine and enhanced maintenance. Road maintenance programmes for 1997, 1998 and 2000 were not initiated, and the awarding of the 2000/2001 maintenance contracts has not yet been done. As can be seen from the actual budget contributions, the GRZ has only been able to transfer 30% of the figure indicated in the budget. (USD 314,128 from a total of USD 1,042,400).

One of the results of the intermittent flow of funds from the GRZ was a lack of opportunity for the CMUs to develop and demonstrate the continuous cycle of routine maintenance, year in and year out. Most of the maintenance contracts issued were “one-of” in nature and included small improvement works (enhanced maintenance contracts). Thus the true pattern of routine maintenance was not established. The lack of counterpart funds has also affected the ability of the CMUs to participate in on-the-job training and mentorship during contracts, as they have been unable to travel to site.

The delay in transferring money and making payments has also affected the viability and operations of the maintenance contractors.

3.3.2 Staff Requirements

The omission of a budget to facilitate the employment of support staff in the original project document was rectified in 1997. The professional staff requirements as planned were adequate, but the late appointment and subsequent replacement of the second NRE reduced the capacity of the technical assistance team. Given that the capacity in the District Councils was not as high as expected. This could have been addressed in either of two manners, i.e. increasing the training or having addition Technical Assistance specifically assigned to support the District Councils alone instead of the situation where the two NREs were supporting the private sector and the District councils. Due to lack of funds the enhanced training programme for District Councils technical staff did not take place and neither was an extra staff member recruited. An FRP Staffing Schedule is attached as annex 6.

Given the size of professional staff (eleven) for the two projects DDP and FRP, and the wish to maximise local involvement in development, the omission of a gender specialist is surprising. FRP has addressed gender issues from the start and at every stage of training and implementation, however had a specialist been placed within the DDP and accessible to the FRP, these efforts might have been enhanced. There appears to have been no thought to bring in such a gender specialist, even on a consultancy basis or regular advisory / monitoring basis, as was the case with other specialists.

3.3.3 Logistical support

The project team was provided with sufficient and adequate logistical support to achieve the results of the project. Physical communication was well catered for through the combination of telephone, fax and e-mail. The combining of the two projects under one roof and the placing of the offices at the PLGO allowed for a certain economy of scale.

Vulnerability in terms of adequate logistical and operational support was witnessed in the District Councils not the project team. The up-keep of equipment and vehicles, and their operational costs were a concern for the District Councils.

3.4 Relevance

The project was based on the assumption that the decentralisation policy would have been in place before the end of the project period. Lessons from this FRP and DDP would have provided a major input into the policy framework.

Both the NRB and ROADSIP have positive policy statements encouraging the use of labour-based activities and the increased use of local private sector companies in the provision and maintenance of roads. However in both ROADSIP and the NRB, there appears to have been little development to date of instruments that would lead to a direct implementation of the policy, and little attention to feeder roads. This may be changing, but the lack of a transport policy is affecting the operations of these bodies.

The absence of the decentralisation policy, a transport policy, and the means to implement right sizing of District Councils, has resulted in a weak national framework within which the project has been functioning. This does not mean that the project should not have started, but it does mean that handing over arrangements and support at the Provincial level should have been assigned a greater priority, given the uncertainties at national policy level.

The Project team together with the implementing partners have been providing mentorship and backstopping technical advice to the District Councils and the contractors and consultants. The lack of a clear strategy for integration of the provincial level in the support role to District Councils has left a gap at that level and is one of the issues that threatens the sustainability of the achievements of the project. The Provincial Local Government Officer does not have the staff or capacity to continue the support and mentorship role of the FRP.

There was a proposal made by the Project Support Unit that the DISS be decentralised to the provinces by placing engineers in the PLGOs office. The Ministry are investigating this option but as yet there has been no allocation of staff. The move would require the employment of extra staff, as the central unit in the DISS responsible for standard setting and national co-ordination would be need to retain its present staff, if not increase its capacity.

The relatively abrupt end to the project means that all technical support at provincial level stops at one time, leaving the Districts with little or no support other than at the central level through the DISS, MLGH. It also leaves the newly trained members of the private sector with little support.

The creation of the CMUs within the District Councils was a correct strategy, however their success will be affected by the lack of policy and instruments to affect change within the District Councils. The decision to include consultant training in the programme should give the CMUs access to additional capacity when required.

The objectives of the project remain realistic and appropriate, but the sustainability of the results, without an exit strategy that reflects the present situation, is in jeopardy.

4 Status And Performance Of Implementation

4.1 Input Delivery

Project inputs were to be provided by five main players excluding the District Councils and private sector. Inputs included mainly financial resources, technical assistance, equipment and materials. The five key players were the Government of the Republic of Zambia (GRZ), UNDCF, UNDP, ILO, and the Roads Training School (RTS) of the Ministry of Works and Supplies (MWS).

4.1.1 Project Establishment

One of the first delays experienced was in the recruitment of the second National Roads Engineer (NRE). The NRE should have been in place by the end of August 1996. He was eventually recruited by the end of February 1997. Due to a subsequent illness, the inputs of the second NRE were reduced. Unfortunately, he later died and a replacement second NRE had to be recruited in October 1998. In the interests of progress, an external consultant was brought in to assist with contract documentation, training and supervision of labour-based works, so that the project implementation would not be seriously affected by the constraints in the technical assistance.

While awaiting accommodation close to the PLGO, it was necessary to set up a temporary office for the DDP and FRP. Office furniture, which was ordered was damaged during shipment and therefore had to be replaced. These factors reduced the initial efficiency of the office and resulted in a move of office during the project implementation period. The DDP and FRP were partners in the establishment of the office and shared facilities.

Despite these difficulties, the FRP team made a swift and commendable start to activities.

4.1.2 Implementation

Difficulties were experienced with the funding and execution of maintenance contracts, and the appointment of a credit management organisation for the contractors' equipment. These are dealt with in section 4.3 below. Most of the other activities were carried out satisfactorily within the project period. Outstanding is the finalisation of the contractor's handbook and the site supervision manual.

4.2 Financial Support

The financial support was provided by the GRZ, UNDP and UNCDF with an extra agreement for technical services from the ILO being financed through the UNDP. The project financial report for the period 12th June 1996 to 31st December 2001 is attached in annex 7 of this report, together with the financial report for the separate ILO/UNDP STS Agreement provided as annex 8.

As can be seen from the report and from the Project Data Sheet (page (iv)) the actual budget contributions from the GRZ have been 30% of the figure indicated in the budget. (USD 314,128 from a total of USD 1,042,400). The budgeted amounts had been earmarked for specific activities under the project, and progress was affected by their shortfall.

There has been little recognition or attempt to trace other "hidden" GRZ inputs such as support to District Council salaries, participation and support of central line ministries at national or provincial level, etc. Not all GRZ support will be accounted for by the project, which only has records of sums paid for operations and contract implementation.

4.3 Equipment

A list of equipment procured for the implementation of the project is provided in annex 9. For implementation of the actual works, the main focus has been on the equipment that was procured by the project for purchase by the trained contractors through a credit agreement. There are several sub-elements to be dealt with under the topic of equipment. These are: procurement method, specifications, credit, and maintenance.

4.3.1 Procurement

The procurement of the equipment for the contractors was very efficiently carried out and in good time through the project and the UNDP. It was available for the start of the first rehabilitation trial contracts. The equipment was provided to each contractor on a hire/rent basis. This was due to the delay in appointing a firm to manage the credit and repayments for the purchase of the equipment by the contractors. As the contractors had no previous experience in labour-based roadworks, the project staff made the choice of equipment and specifications.

Table 1: List of Equipment procured for rehabilitation contractors (USD)

<i>Item</i>	<i>Qty</i>	<i>Price</i>	<i>Item</i>	<i>Qty</i>	<i>Price</i>
<i>Water pump</i>	<i>1</i>	<i>839</i>	<i>Stone crusher</i>	<i>1</i>	<i>1,471</i>
<i>Trailer</i>	<i>3</i>	<i>12,696</i>	<i>Culvert moulds</i>	<i>3</i>	<i>5,100</i>
<i>Waterbowser</i>	<i>1</i>	<i>4,460</i>	<i>Concrete mixer</i>	<i>2</i>	<i>800</i>
<i>Tractor</i>	<i>2</i>	<i>46,779</i>	<i>Handtools</i>	<i>Set</i>	<i>5,293</i>
<i>Pick-up</i>	<i>1</i>	<i>21,981</i>	<i>Tractor tools</i>	<i>Set</i>	<i>667</i>
<i>Smooth roller</i>	<i>1</i>	<i>4,759</i>	<i>Survey equipment</i>	<i>Set</i>	<i>1,587</i>
<i>Vibrating roller</i>	<i>1</i>	<i>11,535</i>	<i>Logistics</i>	<i>LS</i>	<i>13,658</i>
<i>Auto hitch</i>	<i>2</i>	<i>2,300</i>	<i>Total investment:</i>		<i>133,925</i>

4.3.2 Specification

Problems were experienced due to some incorrect specifications in the original procurement. This was partly because of non-recognition of previous Zambian experience especially the experience within the RTS. The poor specifications, particularly of the tractor hitches, should have been avoided as the IRS was recruited through ILO, which has long years of experience in Labour-based methods and procurement of appropriate equipment. The equipment problems are listed below:

- The main problem was with the Sabelli hitch, due to deviations from the well-proven design compounded by use of sub-standard materials. (These hitch modifications had not been made to the tractors at the RTS, and do not conform to the technical brief on hitches available from the ILO) The unsuccessful modification to the tractor hitches resulted in reduced productivity for the contractors, especially when gravelling. Many of the contractors have since replaced the hitches at their own expense.

- The pedestrian rollers (Benford) were not strong enough. The vibration and clutch mechanisms were weak.
- The water pumps were pumps for domestic use and rapidly broke down.
- The trailers (3 n°) were generally satisfactory, however, the balance of the Tinto trailers (2 per contractor) was such that excess weight was transferred to the hitch and casket (i.e. the axle was too far back).
- The water tankers, too, suffered from problems with hitches and balance; the axles have been repositioned to overcome this problem, and they are now satisfactory.
- There were some complaints among the contractors concerning the durability, availability of spare parts and maintenance of the Nissan pickup.

4.3.3 *Credit Scheme*

The second difficulty connected with the provision of equipment for the rehabilitation contractors was the late appointment of Village Industry Services (VIS) and their subsequent non-performance in managing the credit scheme for the equipment and in providing business advice to contractors. (It is understood that ZNTB did not select the agency recommended by the ILO consultant opting instead for VIS.) It was perhaps unwise to choose, what in retrospect, was a weak institution to manage the credit facility, although this may have been in the interests of building capacity in Zambia for further credit management. It might have been wiser to concentrate on capacity building in one area first (i.e. the contractors) and then later consider support to credit management NGOs.

The second part of the credit agreement was to provide training and advice to the contractors on business matters and equipment management. The credit management and the business management should have been kept separate instead of being put together under one umbrella. The overall result has been a reduction in the capacity building for the private sector.

With the non-performance of VIS, and the subsequent cancellation of their agreement with the MLGH, the project took over responsibility for recovery of the loans. All loans have been repaid by the contractors to the FRP, but in a rushed manner at the end of the project period and with little advice to the contractors on saving for equipment replacement.

The agreement with the credit management agency had a number of flaws such that when there was lack of performance or even default, the only recourse was to terminate the agreement. Repayment of money by VIS, collected from the contractors, is still outstanding at USD 78,000. The GRZ are pursuing legal action to secure these funds.

4.3.4 *Maintenance*

The equipment maintenance capacity of the rehabilitation contractors was assessed based on the serviceability of each item of equipment⁷. In May 2001, the average serviceability stood at 63%. Their equipment management capacity, based on the minimum information required to make an accurate assessment of equipment operating costs, averaged at only 33%. This highlighted the lack of equipment management support in the early stages of the project. Part of the work of the consultancy, which produced these results, was to provide training to address the main difficulties being faced by the

⁷ Inspection of Contractor's Equipment and Assessment of the Maintenance Capacity and Training Needs of Contractors, ITTransport, May2001

contractors. This was carried out, but monitoring and backstopping on equipment management and replacement is still required.

5 Programme Management and Systems Performance

5.1 Implementation Arrangements

5.1.1 Effectiveness of Project Management.

The project management has been effective in the running of the project. The project team has shown a willingness to adopt a problem solving approach to constraints faced by the project, and have been active in seeking solutions rather than sticking to the original proposals. The effectiveness of the project management would have been improved if there had been a better orientation by UNDP / UNCDF in national execution. Without proper orientation and introduction to the UN system and the principals of national execution within the Zambian context, the project management and technical team are less productive especially in the initial phases. This effect was perhaps less visible in the FRP, as the IRS had previous experience of working within the UN system, but this should not detract from the need for the national professionals and the administration staff to have a thorough briefing / training.

The linking of the FRP and the DDP under the same PM has definitely improved the performance of both projects and improved a co-ordinated approach to supporting the districts.

The appointment of an MLGH Project Manager has the advantage that knowledge and experience may be retained in MLGH. On the other hand, the Project Manager is not necessarily well placed to undertake hard negotiations with GRZ institutions, but in this type of negotiation, the PM and the Project Team should be able to count on the support of UNDP / UNCDF Zambia.

5.1.2 Roles and responsibilities and coordination

The project design and implementation have demonstrated the way in which the strengths of different agencies and private sector partners can be brought together for the benefit of the institutions and individuals undergoing training and capacity building. In addition to the support by the main partners (UNDP / UNCDF and MLGH), the FRP has been able to draw on varied experiences and inputs in terms of specific contributions (i.e. RTS for training, ILO for technical support and backstopping, Norconsult (International Consulting Company) for documentation preparation, additional training and mentorship), and diverse individual specialists for specific inputs. The successful management and combining of these inputs has enhanced the success of the FRP. The flexibility to bring in specialists, particularly through the judicious use of the UNDP/ILO STS agreement, has enhanced the projects ability to react to constraints that have arisen over the project period, and to act on technical advice provided by the ILO.

In some instances, difficulty was experienced by the project team in keeping an overview of the timing of inputs. For example, although discussions were held with the project team on the planning of the STS inputs, an improvement would have been to have included proposed STS funded consultancies and backstopping activities in the annual planning of the project. Once included however, the need for flexibility to respond to the unexpected would have had to be maintained. It would also have been an advantage to have had a linkage between the FRP workplan and the FRS workplan.

The FRS / DISS of the MLGH was the Government Executing Agency. The Feeder Roads Section (DISS) was intended to play a significant role in the project execution. In fact this did not take place. FRP has been implemented as an independent pilot project

and thus potential experience, understanding and institutional appreciation was partly lost to the central technical administration. With the staff constraints experienced within the FRS / DISS, the project manager had to take a greater interest in follow up on some of the technical issues emerging from the FRP, than had been anticipated. In the later stages of the project there was more contact with FRS and greater exchange of ideas and information.

With the assignment of the Regional Advisor of the UNCDF responsible for the Transport Sector having come to an end, and with the reliance on the ILO for technical support, there is a feeling that the FRP has not received much recent attention from UNCDF Headquarters. The new Regional Advisor based in Malawi, covering both Zambia and Malawi has not yet visited the DDP / FRP. The project had also anticipated a greater feedback on report and workplans.

At a national level, the feedback to the project on activities undertaken by the UNDP and UNCDF on behalf of the project seems to have been lacking. Thus the impression has been created that most of the promotion and linkage of the project to national bodies has been achieved by the project's own promotional activities, or by the contractor's organisations or through other partners such as the ILO.

The presence of an Area Office of the ILO in Zambia eased the lines of communication and improved the participation of the ILO in supporting the project as the main technical advice was provided from the ILO/ASIST offices in Harare, Zimbabwe.

5.1.3 *Integration of the planning and financial processes of the FRP in the MLGH.*

The planning of the maintenance of the feeder roads has been carried out entirely within the MLGH and NRB system for preparation of annual plans and submission for funding. The rehabilitation of the feeder roads has been operating outside this system, but based on the priorities of the District Councils. All funds for the rehabilitation of feeder roads were channelled directly through the FRP.

The project has provided the NRB and the MLGH with a channel for the distribution of funds for enhanced maintenance and routine maintenance works in Eastern Province. The result is that although the districts have been handling all contractual matters, sometimes with the support of private sector consultants, the national agencies have relied on the FRP for the ultimate supervision and the disbursement of payments. Without the FRP, the situation seems difficult to predict. The question will rely on the understanding and confidence the NRB and MLGH has in the capacity built at the district level to manage maintenance in the absence of the FRP, or whether they will choose instead to appoint a management consultant at the provincial level.

A second feature that will affect the District's capacity to manage their feeder road networks is the tender limit for tenders that can be awarded by the District Tender Committee (DTC). With the limit set at ZK15 million (USD 3,570) contracts, if awarded by the DTC for enhanced maintenance, would be for a maximum of 3km of road per contract, and for routine maintenance only perhaps as much as 15 km. Districts can prepare plans and propose improvements, but depending on their size, they will have to be tendered either at the provincial or ministerial level.

5.2 *Management systems*

5.2.1 *Management and Staff.*

As far as the FRP is concerned, the staff recruited have proved very satisfactory in the delivery of the project components. The inputs of the NREs were enhanced by the

training provided from the IRS, but also from working with the wide variety of experts and trainers that have been co-operating with the project. The result has been an effective and competent implementation of the project with a willingness to broaden the scope of inputs where these would be advantageous to the District councils and the beneficiaries. The NREs have also benefited from the backstopping support provided by the ILO.

5.2.2 *Communication and Reporting*

Quarterly reports and annual reports on progress and for highlighting issues of concern have been produced in a regular and timely fashion. The format of the quarterly reports has varied across time, not just with the introduction of the new monitoring and evaluation framework. The result is that areas that were reported on early in the project have disappeared in the later reports. What is most noticeable is the lack of information on the maintenance activities and the progress of the individual maintenance contractors and the maintenance works done in each district. Despite the difficulties with funding, or even because of them, it would have been an advantage to keep listing the works and dates as a reminder of the difficulties that the Districts faced in carrying out routine and enhanced maintenance works. Also useful would have been an overview in the annual reports of training that had been achieved and a listing of specific consultancies and inputs. As it is some of this information is very scattered and it is difficult for persons outside the project to get an accurate over-view of the breadth of activities that have been undertaken.

What appears to be missing is a complete catalogue of reports, training materials, and standard documentation, produced under the FRP, and their collection together in a single set placed in a safe “home”. Before the end of the Project Manager’s contract, a home for the FRP documentation must be found where it is accessible to policy makers and practitioners alike. This will contribute to the ease of use of the experiences and lessons of the FRP, within Zambia and the wider region. It would be possible to offer a duplicate set to the ILO/ASIST library for international availability and as a back-up set, but one set must remain accessible within Zambia.

In addition to reporting, regular meetings of the National Consultative Committee have been held. What has been disappointing is the poor attendance of some of the key stakeholders such as the DISS. Sometimes they were represented, but at a level without decision-making powers.

5.2.3 *Project financial management systems.*

The project operated on an imprest system with quarterly advances given according to an agreed annual work plan and activities for the previous quarter. This system was adequate for the demands of the project.

5.3 *Procedures*

5.3.1 *Project personnel recruitment*

The recruitment process used was not flawed, but the late appointment of the second NRE, and replacement second NRE were due to a series of unfortunate circumstances. The NREs were engaged on National Professional contracts, which remained un-reviewed for a considerable period of the project in a time of high inflation. A mechanism for regular (annual) review of the National Professional salary scale would assure employees of a time scale for review rather than the worry of when an ad hoc meeting will be arranged to discuss the issue.

Careful consideration must be taken of offering National Professional contracts as this can have a demoralising effect on government counterparts, if the National Professional scales are set at a much better level. There is however no simple solution to this dilemma.

5.3.2 Procedures for financial disbursements established under the projects.

The project operated on an imprest system with quarterly advances given according to an agreed annual work plan and activities for the previous quarter. This system was adequate for the demands of the project.

5.4 Operational issues

5.4.1 Workforce

The employment in terms of worker days is given in table 3.5.1 below

Table 3.5.1

Direct employment generated by Rehabilitation and Maintenance Road Works						Status at the end of November 2001				
	Rehabilitation Works			Maintenance Works			Combined Total worker days generated			Female as
	Male	Female	Total	Male	Female	Total	Male	Female	Total	% of total
Chipata District	183,505	26,274	209,779	28,140	3,365	31,505	211,645	29,639	241,284	12
Lundazi District	126,757	21,103	147,859	10,719	805	11,524	137,476	21,908	159,384	14
Chadiza District	105,809	13,196	119,005	11,818	975	12,793	117,627	14,171	131,798	11
Katete District	114,251	19,942	134,193	8,525	1,227	9,752	122,776	21,169	143,945	15
Petauke District	125,674	27,765	153,439	6,157	1,733	7,890	131,831	29,498	161,329	18
Mambwe District	28,979	5,350	34,329	0	0	0	28,979	5,350	34,329	16
Eastern Province	684,975	113,630	798,604	65,359	8,105	73,464	750,334	121,735	872,069	14
Female Participation as % of total	14%			11%			14%			

The issue of women and men's relative participation is dealt with in section 10.1. If we assume 48 working weeks per year at 5 days per week = 240 days per year. The total of 872,069 days is equivalent to 3,634 working years over the 6 years of the project life.

This in turn is equivalent to just over 600 full-time jobs per year.

The total earnings in terms of wages over the project period have been in excess of ZK 2,314.7 million. This cannot easily be converted into USD as the exchange rate has varied from 1,300 to 4,000 ZK to the USD, over the project period.

Of the ex-workers interviewed all had been aware of the relevant wage rate for the period of their employment. All men and women working as unskilled labourers have been paid the same rate. Some semi-skilled workers (i.e. basic level masons) had received a better rate of pay commensurate with their skills. In 1998 casual wages were ZK 2,500. These had increased to ZK 3,000 by the year 2000.

The ex-workers also confirmed that drinking water was supplied at site and that first aid kits were also available. One major accident had occurred where a worker was killed. The family of the worker was compensated by the contractor.

Unfortunately as this was a final evaluation, there were no operational sites in the areas visited by the evaluation team. It was therefore not possible to see at first hand the

conditions of work and of the site camps, therefore the team could only rely on verbal reports, which were all good. It should be noted that the camps were there for the use of the contractor's permanent workforce such as site supervisors and plant operators. They were not established for accommodating the labour force as the workers are recruited from the locality and do not require accommodation.

5.4.2 *Task rates*

The task rate is the amount of work expected to be completed by one person or a group of persons in one working day. The task for each worker is based on standard productivity rates calculated from international experience and adapted through local experience. If there is a risk attached to this system, it is that the productivity rates and resulting task rates are not adapted sufficiently to suit the prevailing ground conditions. For example in hard ground the task per person should be reduced from an average of 3m³ to 2.5 or 2m³. If the contractor has misjudged the ground conditions, the resulting reduction in task rates will affect his profit. The temptation may then be to keep the task rates high and thus increase the hours of work of the casual labourers.

There is a small amount of anecdotal evidence available to suggest that this is an area that needs to be watched and that the contractors need to look at task rates in a more flexible manner to reflect ground conditions when pricing bids. In general, the basic set of task rates are in line with international experience. Guidance on worker rights and employers responsibilities was included in the training. With the increased use of labour, the district council supervisors should be in a position to report on any incidences of deviation from acceptable hours of work for the labour force.

5.4.3 *The modalities established for the operation of the road rehabilitation /maintenance works carried out*

The operation of the construction sites by the contractor and the supervision by the District councils was carried out as per a normal contractual arrangement. Operationally, the most noticeable difference between the labour-based sites and plant-based sites is the speed of progress per construction unit. The average output per month for the rehabilitation contractors was 1.4 km. This is likely to increase slightly as the contractors gain more experience.

Operationally the maintenance contracts often took on the appearance of spot improvements to the feeder roads combined with routine maintenance. It is difficult to assess the true output capacity of the maintenance contractors as their operations were often delayed due to the long process for payment. In some instances the workers stopped coming to site until the contractor had paid them. Once payment had been made first to the contractor and then by the contractor to the workforce, the maintenance activities resumed.

Labour-based works are particularly vulnerable to late payments and long payment procedures. Worker moral and productivity are dependent on swift and timely payments. Although the mechanisms for payment from the NRB improved in 1999/2000, the centralised nature of the payments plus the process of submission from the District / Province to the DISS/MLGH then to the NRB and the same route back causes unnecessary delays.

6 Monitoring and Evaluation

6.1 Operational monitoring and Evaluation

6.1.1 The effectiveness of the existing monitoring system

The monitoring of the progress of activities on site has been combined with the reporting required by the agencies funding the maintenance of the feeder roads. The project has assisted in preparing a reporting system that covers the schedule of contracts, certificates and payments, physical progress and site visit reports. These reports are being put together by the DoW for Petauke District who fulfils some of the roles of a Provincial Director of Works.

The content of these reports are not being sufficiently incorporated in the project quarterly reports, such as delays in payments affecting production on maintenance sites.

The monitoring system does not adequately cover assessment of the quality of the works or the quality of the planning and supervision by the District Councils. In the Terminal Report is an assessment of the capacities of the respective CMUs of the District councils. This is attached as annex 10. The mid-term evaluation and the lessons learned reports do contain assessments of the quality of the works and comment on the capacity of the CMUs. Perhaps this more independent quality check is more objective, than an assessment done by the Project Team, but it would have been valuable to have this aspect covered in the quarterly reports.

6.1.2 Monitoring and Evaluation of Project Results

The original Key Performance Indicators for the Project were provided in annex viii of the Addendum to the Project Document and are provided in annex 11. These were subsequently superseded by the indicators and targets developed in October 2000⁸, provided in annex 12. For FRP the following sections are the most relevant:

Programme: DDP / FRP	
Narrative Summary of Strategy	Indicators and Targets
Development Objectives 1. Poverty alleviation through decentralised development 2. Poverty oriented decentralised development policies implemented in other parts of Zambia	no indicators specified
Immediate Objectives 1 MLGH uses lessons from Eastern Province for national decentralisation policy and implementation process	1.1 Strategic approaches used in Eastern Province put forward by MLGH to Government and Donors for funding and implementation in other areas 1.2 Strategic approaches used in Eastern Province incorporated in formulation of decentralisation policy
2 Stakeholders involved in District development	2.1 DCs conduct annual routine maintenance of approx. 30 - 40 km

⁸ Monitoring Support to DDP Eastern Province, Zambia, October 2000

produce and maintain sustainable infrastructure using decentralised fiscal transfers of discretionary and conditional grants, participatory development planning and localised production arrangements in Eastern province	of feeder roads through private contractors using labour based technology
3 Operational capacity of different District stakeholders improved for the production of district and community based infrastructure and delivery of services	3.1 7 roads rehabilitation and 14 roads maintenance contractors have successfully completed pilot contracts under the mentorship of the project by 12/2000 3.2 6 DCs have successfully managed contracts under the mentorship of the project by 12/2001 3.3 7 consultants have successfully designed and prepared contract documents under the mentorship of the project by 12/2001
5 Lessons and experiences disseminated at District, Provincial and National level	5.1 Total number of areas in which lessons have been generated, analysed, documented and disseminated to all levels 1 area by 12/2000 (e.g. MC / P1) and 5 areas by 12/2001 (e.g. labour based technology, ADCs, District Planning, DDF)

6.1.3 Relevance of Indicators

The indicators are relevant for the FRP, but the influence that the transport / road sector policy will have on the management and funding of feeder roads activities does not seem to have been captured, as only the decentralisation policy is mentioned in the indicators.

6.1.4 Review and compare project performance indicators with corporate performance indicators

The project performance indicators address the main issues of policy impact (1.2) and replication (1.1)⁹. In terms of performance by sub-goal¹⁰ the indicators specific to FRP are relevant to sub-goal 1:

- Local authorities have improved access to sustainable funding sources (2.1);
- Increased local capacity to deliver basic infrastructure and public services (3.1, 3.2, 3.3);
- Increased capacity to maintain basic infrastructure and public services (3.2, 2.1);
- Best practices of UNCDF pilot projects are replicated by other donors and central government (1.1).

There is also improved participation of local communities in the planning of roads, but this is captured in the planning processes and report on the DDP.

⁹ Figures in brackets refer to the indicator numbers in the table above.

¹⁰ UNCDF 2000 Strategic Results Framework 2000-2003 and UNCDF 2000 Results Oriented Annual Report

The indicators developed in October 2000 are relevant to the FRP except, as already noted, that the Road Sector Policy was not included. The data to enable an assessment to be made of whether the targets and indicators are being met is provided in the quarterly reports, however reporting on maintenance could have been improved.

6.1.5 *Base-line data*

The base-line information for the originally selected roads, which the District Councils with the support of the project intended improving, exists. However from the reports available to the mission team there seems to have been no follow-up and repeat of the original traffic counts and assessment of commercial activity. This would be a valuable exercise, but care must be taken in choosing the timing of the traffic counts as high seasonal variations in traffic are to be expected. Both the motorised and non-motorised traffic will increase during the time of delivery of agricultural inputs and the evacuation of crops. In general the vast majority of traffic is non-motorised.

Although base-line data was presented using readily available data, actual gathering of new information such as the hectares under cultivation in the influence are of the road, the number of farmers, the local prices, costs of production, availability of extension services and inputs, was not undertaken. This means there is a less concrete basis upon which to make comparisons.

6.1.6 *Usefulness and extent of actual use of M&E data*

The data collected is of most interest to the project partners, but especially to UNDP and UNCDF. Outside the project partners, the key actors and beneficiaries are more interested in the actual results, than how these results are being monitored.

6.1.7 *Possible Improvements*

The indicator (5.1) for the delivery of lessons learnt could have been added to or improved by looking for a reaction to the lessons learnt. In the case of the FRP, a very good report on lessons learnt and the way forward was prepared, but little or no action has been taken so far as a result of the recommendations.

7 Results

7.1 Outputs

7.1.1 Physical Outputs

The target of 580km rehabilitation was revised to 450km by the mid-term evaluation, as a result of the increase in the amount of gravelling required and the resulting increase in costs per km. (USD 9,000 rather than USD 7,000.) Costs continued to rise over the remaining project period.

At the time of the evaluation mission, the number of kilometres of improved feeder roads under routine maintenance was **zero**. There are practically no funds entering the districts for routine maintenance and there has been no funds from GOZ /NRB /MLGH for this activity since the 1999 maintenance allocations. Some of the activities funded under the 1999 budget were carried out in 2000, but no separate allocation for 2000 has been made. Therefore the figure of 450km achieved for maintenance can only be viewed as a previous maximum. It is also worth noting that only 21 km of the 450 km under maintenance were on roads rehabilitated under the FRP. This means that $(404-21 = 383)$ km of rehabilitated feeder roads have had no maintenance since they were improved. The remaining $(450-21 = 429)$ km of maintained feeder roads were improved and maintained through enhanced maintenance contracts. This brings the total to 833 km of road addressed by the FRP.

Rehabilitated Roads (km)	Rehabilitated and Maintained Roads (km)	Enhanced Maintenance Roads (km)	Total (km)
383	21	429	833

This achievement, and the appreciation of the people of Eastern Province, will be short lived if funds for the systematic planning and implementation of routine maintenance are not made available urgently.

With the lack of maintenance works, it was not possible for the evaluation team to assess the works, but previous assessments would indicate that this is an area where quality of work needs to be carefully monitored.

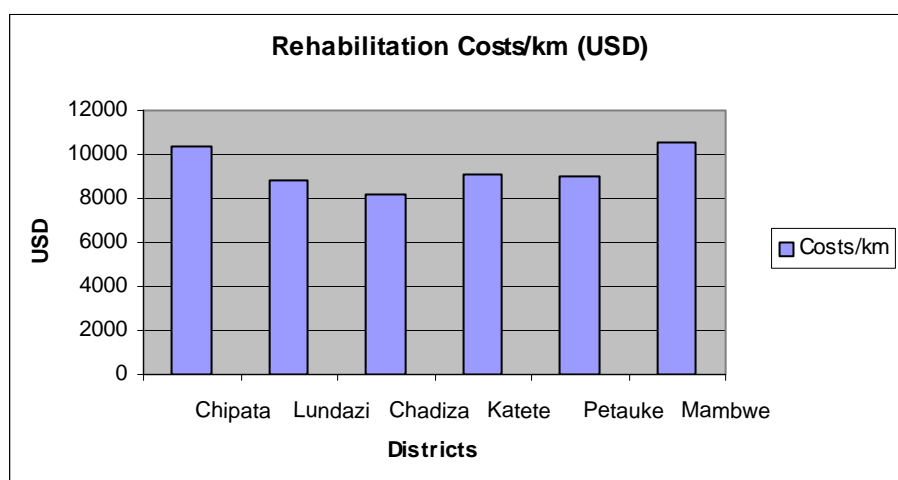
The quality of the rehabilitation roadworks is generally good, with the roads standing up well to several rainy seasons despite the lack of maintenance. The work appears to be of a better standard than plant-based operations in the Province and also to cost less. However comparisons can be unreliable if the amount of work done, the road standard and specifications are not taken into account. A true comparison of cost combined with standards and quality should be undertaken as a separate exercise to ensure that “apples are not being compared with pears”.

The full rehabilitation of feeder roads to a good standard was a correct decision for a demonstration project. It was vital to demonstrate the quality of work that can be produced using labour-based methods. It was also important to demonstrate that this standard was achievable by local small-scale contractors and that the District Councils were capable of supervising and ensuring the necessary quality.

In the longer term the adoption of a spot improvement approach on the majority of the feeder roads would be more economically suitable. The limited funds could then be spread over a greater number of roads, and improve accessibility to a larger number of people. The spot improvement approach consists of assessing the most critically bad

areas of road that impede the flow of traffic and then addressing them with improvements. This means that work does not take place continually along a road from beginning to end, but that only the worst areas are addressed, before putting the road under routine maintenance. This is more in line with the enhanced maintenance contracts that the Districts have been managing.

The average contract cost for rehabilitation over the project period is USD 9,237 per km. Variations in contract price are due to terrain, ground conditions and the number of culvert / drainage crossings. These costs are based on the actual contract prices paid, but do not include contract preparation and supervision costs. The works were carried out over a period of 5 years and this too accounts for some of the variation in prices. A full table of rehabilitation contracts and their costs is provided in annex 13. The diagram below provides an overview of average costs per km per District. The high cost per km in Mambwe is due to the single contract having been carried out in 2001.

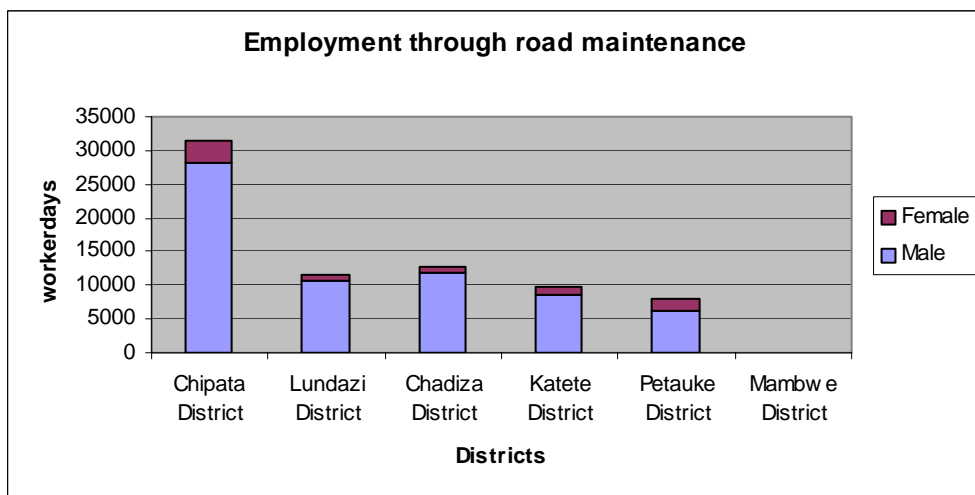
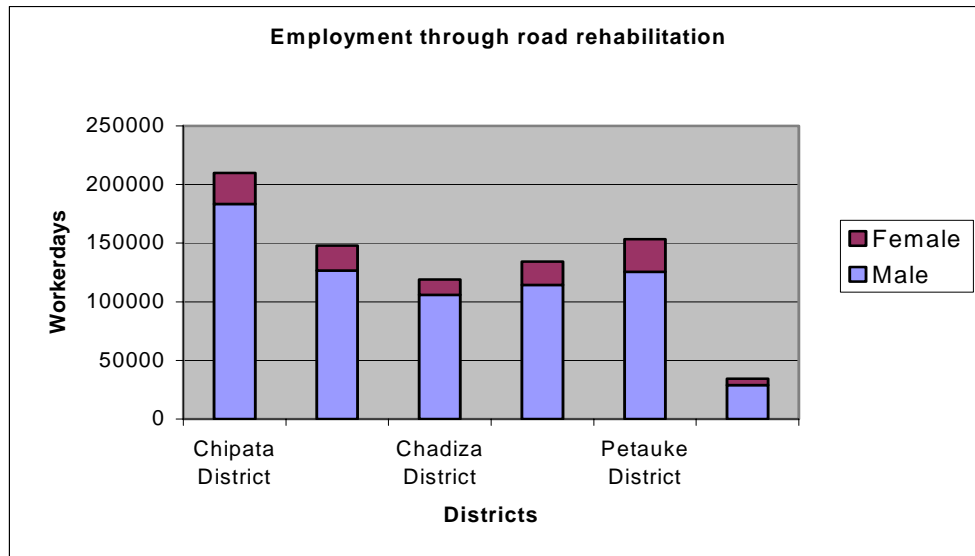


The cost of preparation of rehabilitation contracts by the private sector averaged 3.4% of the cost of the contract. The maximum figure was 5%, which is still an acceptable figure. In Petauke, one consultant was hired for supervision, but this proved to be an expensive alternative, which it is unlikely that the District Councils can sustain.

In the longer term, the costs of consultancy services will depend on their being sufficient work within a province to allow for a variety of staff with varying qualifications to be employed by the consultants and based in the relevant province. With the correct mix of staff, suitable for the different operations required in the preparation and supervision of contracts, the consultant would be able to offer services at a more economic cost.

7.1.2 Employment and Wages

The total number of workerdays created through rehabilitation and maintenance works is in excess of 872,070 days. Women's participation averaged 14%. The total earnings in terms of wages over the project period have been in excess of ZK 2,314.7 million. This cannot easily be converted into USD as the exchange rate has varied from 1,300 to 4,000 ZK to the USD, over the project period. The spread of the employment is shown in the diagrams below.



7.1.3 Capacity Building

District Councils

5 out of the 8 districts have sufficient skills to fully manage contracts using the management systems and documentation introduced through the FRP. These skills are there only as long as the trained members of staff stay in post. All 8 Districts have been preparing Annual Road Workplans for maintenance and have continued with plans for 2002. The standard contract management systems documentation is available and has been successfully applied in principally the 5 main districts but training of staff from all 8 districts has taken place. A monitoring and reporting system has been developed and is in use for monitoring of contract performance.

Some districts lack staff, or have lost trained staff, or need further training in complimentary skills such as computer literacy. The results were achieved despite limited training funds, and despite funds for implementation of rehabilitation works being

provided to only 5 of the 8 districts. Mambwe District, which was earlier part of Chitapa District, implemented one rehabilitation contract, making it the 6th implementation District.

The capacity to continue preparation of rehabilitation contracts may be reduced in some CMUs, however they are able to call on the trained private sector consultants for assistance. The implementation of the maintenance plans has been severely affected by factors external to the project, i.e. flow of funds from GRZ.

A system for selection of contractors was established in districts based on an adaptation of the one used for identification by the Project.

Small-scale labour-based contractors

30 staff from 10 rehabilitation contractors were formally trained. 6 contractors qualified for continuing support after the second trial contract. A 7th contractor combining the best elements of two of the “failed” contractors also qualified to continue. 21 maintenance contractors received training through the RTS and were provided with continued support through the project team.

Of the 30 staff trained for the rehabilitation contracts, 5 have died, and 4 have resigned. Although initial training on business and financial management was provided, the follow-up and specific advice to the contractors was very weak.

7 rehabilitation and 21 maintenance contractors were equipped to enable them to carry out their contracts. The equipment for the rehabilitation contractors has been discussed elsewhere. The maintenance contractors were issued with handtools, which were paid for through deductions from their contract payments.

Of the original 21 maintenance contractors trained, at present only 11 of them remain operational, together with an additional 2 maintenance contractors that have been created by staff from the rehabilitation contractors. They bring the total number to 13. The loss of 10 trainees was due to 6 dropping out and 4 deaths.

In addition to the capacity building set out in the addendum to the project document, 7 small local consulting firms were trained in preparation of labour-based contracting documents and site supervision of contractors. This was carried out partly in response to the fragile capacity within the CMUs of the District Councils, but also to develop a national capacity for future work not only in Eastern Province.

University students were attached to the FRP for industrial experience and as a result there has been a request to ILO to assist the University of Zambia to introduce labour-based technology into the curriculum, as is the case in other universities in the region.

The labour-based contractors have come together to form the Eastern Province Labour-Based Road Contractors Association (EPLBRCA). They have been active in national meetings and forum discussing the future of the road sector in Zambia, and have assisted in increasing awareness of the project and its achievements.

The FRP has assisted trained contractors to source work outside the project, such as contracts under the first HIPC allocation to the roads sector. Examples of the contractors work external to the FRP is provided in annex 14.

7.1.4 Perceptions of the training received

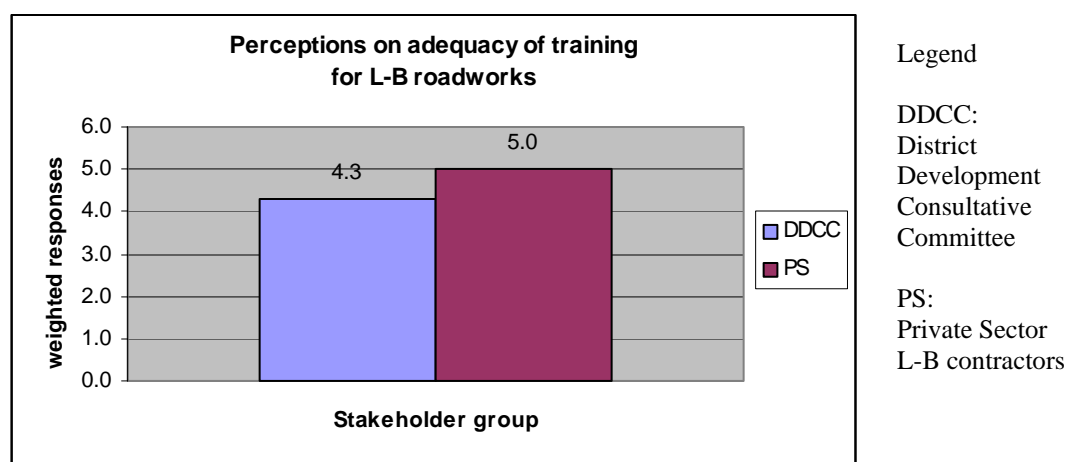
Various stakeholder groups were invited to agree or disagree with statements provided in a questionnaire administered by the evaluation team. The question

dealing with training is provided here. The respondents were asked to circle their choice on a 1 – 5 scale: 1 = strongly disagree, 5 = strongly agree.

Training:

4. The training you received has equipped you with the necessary skills to perform your role better.

1 = Strongly Disagree, 2 = Somewhat Disagree, 3 = Neither Disagree nor Agree, 4 = Somewhat Agree, 5 = Strongly Agree, 6= No opinion



Although greater attention was needed to certain elements of the contractors training, such as business and equipment management training, the contractors felt capable of carrying out their work. Amongst the DDCC were District Council staff who had been directly involved and many others less closely connected with the training. It is pleasing amongst this group to see how many had valued the training and perceived either a direct benefit for themselves or for the trained members of the Council staff.

A record of training provided to the District Councils, Contractors, Consultants, and the NREs is provided in annex 15.

7.1.5 Technical Assistance

In round terms, the whole of the UNDP budget was dedicated to supporting the Project Team and the Technical Assistance. Added to this was the STS agreement with the ILO. The total input therefore was USD 1,521,800. Again in very round terms, the capital funds supplied by UNCDF and MLGH came to USD 5,224,100. Therefore the expenditure on direct Technical Assistance has been in the region of 30% of the capital expenditure. This expenditure should be viewed in terms of the pilot nature of the FRP, and the technical assistance is expected to bear fruit long after the project has ceased.

In general the quality of expert input to the FRP has been very good, and the project has benefited from the wide variety of experiences.

7.2 Institutionalisation of Procedures/Systems

7.2.1 Contractor Selection

It was not possible to assess the appropriateness of the selection and recruitment process beyond verbal enquiry as the report on the procedures could not be located during the mission.

7.2.2 Design standards and Construction methodology

The full rehabilitation of feeder roads to a good standard was a correct decision for a demonstration project. It was vital to demonstrate the quality of work that can be produced using labour-based methods. It was also important to demonstrate that this standard was achievable by local small-scale contractors and that the District Councils were capable of supervising and ensuring the necessary quality.

For the traffic levels observed in the Province on feeder roads, it will be difficult to justify 100% rehabilitation, as this is in the range of 5 to 10 times the cost of enhanced maintenance. The contractors trained in rehabilitation are competent to continue this work, but are well placed to take on enhanced maintenance contracts, especially those that include stretches of spot gravelling.

The design and construction methods were entirely appropriate. There is always a debate about various options for details on rural roads. For example, the culvert outlets and inlets. The FRP chose to use inlet catch pits. It would have been a good idea to try out different options during the pilot project so that recommendations could then be made based on practical trials, for future work in the Province.

What may be more open to discussion is the level of technical input required for the preparation of the contract documents. The method used was very thorough and produced technically sound contract documents. It may be a little too demanding in its approach, but if consultant costs can be kept around 5% for contract document preparation, then the thoroughness should not be sacrificed.

7.2.3 Disseminating information and sensitisation

After the prioritisation of the roads to be improved and maintained, most of the sensitisation in the local area was done in advance of the recruitment process for the work on the road. Through a drama group the type of work and the mechanisms for being involved in the works were explained. Women were made aware that they were equally eligible to work on the roads.

Opportunities were afforded to also sensitise the local communities on HIV /AIDS issues.

7.2.4 Private/public partnership for service delivery

The private–public partnership has worked well. In some districts where capacity is not complete and where funds for attendance at site were not sufficient, there were some complaints of lack of supervision by the contractors. It seems unlikely at first glance that contractors would be looking for supervision, but they are reliant on the District Council staff for agreement to alterations and instructions.

The participants in the FRP have accepted their roles well and seem satisfied with them. (I.e. the District as the planner and manager of the road network and the private sector as the deliverer of the works.) There is still of course a desire by some District Councils to keep some measure of “in-house” capacity, especially where a few items of equipment are operational.

7.2.5 District level maintenance and operation for roads

The capacity is difficult to assess as the Districts in the past two years have had little opportunity to smoothly run yearly routine maintenance of their maintainable network. The systems are in place to allow them to do so, but without regular and reliable levels of

funding allowing implementation of maintenance plans, there is a danger that the lack of practice will reduce the skills gained in this area.

If action is not taken, this programme will not achieve the indicator set by UNCDF of “physical infrastructure meeting technical standards of maintenance after three years of completion”¹¹.

¹¹ UNCDF, 2000 Results-oriented Annual Report, page 26

8 Attainment of Immediate Objectives

The immediate objectives reviewed in this section are those taken from section 6.12 of this report as developed in October 2000.

8.1 *Stakeholders produce and maintain sustainable infrastructure*

The provision of good quality district roads has been demonstrated, but the long-term maintenance as described in section 7.1.1 above will not be achieved unless immediate action is taken to ensure the smooth flow of funds to the districts for this work.

8.2 *Capacities of local authorities*

The project has debunked the myth that District Councils in Zambia cannot successfully maintain and rehabilitate feeder road. The feeder road project has been managed, supported with considerable and focussed training and mentoring, by the councils. The questions at central government level have always been on the management, technical and financial capacities of councils, which have been believed to be below the required standards. This does not, at least in the case of the Eastern Province, now seem to be the case. The issue now is one of sustaining these capacities.

8.3 *Operational Capacity and service delivery*

The councils have developed the necessary administrative capacity to sustain the rehabilitation and maintenance of feeder roads. These include the provision of the required support services to the DOWs, such as the development of adequate financial information systems, the councils performance assessment systems and the required planning and budgeting skills. Subject to continuous upgrading and performance assessments, these can be sustained.

Some of the skills mentioned above were developed through the DDP, particularly in the handling of financial issues, as the FRP missed the opportunity to use the councils in the actual payment of the contractors.

The Provincial Local Government Officer does not have the staff or capacity to continue the support to the Districts, now that the project has finished. The relatively abrupt end to the project means that all levels of support stop at one time leaving the District Councils and the private sector with little or no support other than at a distant central level. Some technical assistance will need to continue at the Provincial level.

The indicators for operational capacity are in terms of roads rehabilitated through the private sector labour-based contractors, managed by the District Councils staff and designs prepared by the trained consultants. These indicators have been achieved apart from there now being thirteen instead of fourteen routine maintenance contractors in operation.

8.4 *Lessons and experiences disseminated*

The project team have produced a report entitled “Labour-based Road Rehabilitation Contractors Development – Feeder Roads Project Eastern Province – The Zambian Experience”. This is an account of the successes but also the difficulties faced by the project and the adjustments that had to be made. The project also held a “smoothing the Way” workshop in June 2001, based on the “Lessons Learned and possible scenarios for Future Support”- March 2001. The workshop was well attended by government officials Agency staff, other projects and programme staff, and donors.

Dissemination of results is an area where the project team and the EPLBCA have been

very active and there is a good knowledge of the FRP and its results within the road sector in Zambia and also internationally. The video of the FRP has been shown on several occasions including at the ROADSIP 2000 Workshop, which was well attended by FRP project team members, 2 Directors of Works and 8 contractors from Eastern Province. The ILO facilitated an FRP presence at the National Agricultural and Commercial Show in 2000. The project also received a variety of visitors from central Government, programme / project teams, and donor agencies.

Although the project and the project approach has been well received, there remains in some circles a tendency to relegate labour-based methods to grass cutting on the side of the roads. This is of course a valid activity, but labour-based methods can be successfully implemented for a much wider variety of construction and maintenance activities and needs to escape from this limiting perception.

9 Institutionalisation and Sustainability of the FRP

9.1 Policy Environment

The policy environment as it stands is not conducive to sustainability of the project. However, the project has contributed to the on-going discussions within Zambia on the transport / road sector reforms. Naturally decentralisation plays an important part as the umbrella policy under which all other policies will fit in their relations to the District Councils. The influencing of the decentralisation policy has been one of the tasks of the DDP supported by the UNDP Governance Section. However, the FRP has concentrated its effort on the transport policy, as this will affect the methods of financing and managing the road network including feeder roads.

The FRP and the EPLBCA have been very active in promoting the lessons learned from the FRP at meetings dealing with the road sector. The Ministry of Communications and Transport (MCT), responsible for the policy preparation, were well informed about the FRP and the capacities that had been created.

Among donors that were interviewed, there are plans to work in the road sector, but many of these are awaiting positive moves towards a transport/roads policy. They too were able to demonstrate a good knowledge of the FRP, and in some cases were interested in adopting the approach for appropriate sections of work, once a timetable for the new policy was in place.

The preparation and use of a video on the FRP has played an important part in creating an interest in the outcomes and replicability of the FRP approach.

Currently both the NRB and ROADSIP have statements in their documents concerning the support and encouragement of labour-based methods and the local construction sector. These have not yet turned to strategies, instruments and actions, which would support the new capacity in the districts and in the private sector of Eastern Province. However, there are positive statements and an increased interest in capacity building of small-scale local labour-based enterprises.

Through the RTS and the FRP many documents, training materials, and reports are available which clearly indicate the types of measures that need to be taken in terms of strategies for effectively including the districts and the private sector in infrastructure provision and maintenance.¹²

9.2 Institutional Issues

9.2.1 Institutional bottlenecks

The lack of decentralisation, and the retaining of approval and financial control even for relatively small works centrally, is creating the biggest bottleneck for smooth operation of projects at district level. The larger central agencies seem to have difficulty in assessing accurately the capacity of districts and in changing the agencies role to that of monitoring and auditing rather than managing.

The second institutional weakness is at Provincial level. Here the PLGO has no technical staff. Although the MWS has a PRE at provincial level, he has many responsibilities of his own for the higher classified roads. He does not have a direct link to the MLGH and

¹² The most pertinent documents are the "Overview Of Institutional Environment, Lessons Learned And Possible Scenarios For Future Support" by J. Clifton, A. During, and S. Tembo, and the report of the follow up workshop "The Way Forward".

cannot be expected to provide support to all the Districts, although there is a level of co-operation on an ad-hoc basis.

The other source of support would be through the FRS, but there are only 4 roads engineers in the FRS and they are expected to deal with all the districts in the country. This is too small a capacity to furnish sufficient support. They are part of the chain of approval for works in all the districts, and again this would seem a very small unit to be assessing each workplan and each contract.

9.2.2 Sustainability of Financing

If we consider the Feeder road network in Eastern Province, the total is 3862 km. If we assume, for calculation purposes only, a relatively even distribution among the 8 districts, then each district will have approximately 483 km. To routinely maintain this network the minimum operational costs would be approximately USD250 /km, which is equivalent to USD 120,750 per year per district or ZK 520 million. This is assuming that the network will attain a maintainable condition. These funds are far in excess of the funds available in any of the districts and therefore sustainability of the maintenance of the road network is reliant on the provision of funds through the National Roads Board/MLGH. This again demonstrates how critical the flow of funds for maintenance from the centre to the districts is.

Under the annual workplan for the Road Sector Investment Programme for the year 2002, maintenance funds for Feeder Roads are earmarked as follows:

Type of Maintenance	Anticipated Kilometres	Total Funding ¹³ ZK Billions	Funding per Km. ZK millions	Maximum no. of Km
Emergency	700	1.5	2.1	N/A
Routine	4,282	10.7	2.5	4282
Periodic	Only partly available	55	25.0	2200
Allowance for consultants	For periodic maintenance only	5.8	N/A	N/A

From the funds available and the unit prices including overheads, where available, it is possible to estimate the kilometres, which can be put under routine and periodic maintenance per province. (Emergency funds are kept aside for emergencies and are therefore not part of the allocation calculation.) Assuming an even distribution among provinces and districts, for ease of calculation, this assumes that each province would have funding to do routine maintenance on $4282/9 = 476$ km. In the case of Eastern Province this less than the 833 km which have been improved or maintained by the FRP. It should be noted however that the distribution of funds may not be equally apportioned and that Eastern Province may receive a larger proportion of the total funds.

For periodic maintenance, which allows for some spot improvements and regravelling, the kilometres per province that could be funded would be equal to $2200/9 = 245$ km. This would mean that each district annually could carry out periodic maintenance on 30 km of Feeder roads, thus sustaining a gradual improvement in the road network and allow

¹³ The exchange rate used in the Workplan for 2002 is USD1 = ZK 4,000

for a cycle of regravelling of identified trouble spots. This assumes that the funds are available within the Road Fund and that they are allocated.

Training Financing

The costs of training were covered by the project apart from staff salaries and travel allowances provided by the District Councils. With the weak revenue base of most districts, there are limited possibilities to increase their contribution towards training. In the private sector there is a greater willingness to contribute to short refresher type courses or for additional staff training to allow for the expansion of activities. Already some of the contractors requested gang leader training from RTS. The training has been carried out by RTS and paid for by the contractors. The willingness to contribute for further training however, is affected by the insecurity surrounding work continuity. Until sufficient tenders are prepared to ensure continuous access to work, there will be a reluctance to invest in any further training by the private sector. Therefore training in the foreseeable future will require external financial support.

9.2.3 Replicability

Concrete replication of the “FRP Approach” in the use of the private sector as implementers and the District Councils as facilitators / supervisors is most apparent in two programmes of the Government of Zambia. These are the roads component of the Smallholder Enterprise and Marketing Project (SHEMP) and the implementation by the Zambian Social Investment Fund (ZAMSIF) of the Community Transport Infrastructure (CTI) a sub-project of the Road Sector Investment Programme (ROADSIP). Replication at national level is proposed through strengthening of the FRS as presented in the recommendations in section 11. In SHEMP the roles of the District Council technical staff are less well defined as there will be reliance on consultants in this project. The trained labour-based consultants are well placed to participate in both these projects.

Replication is taking place internationally (i.e. Tanzania), and the FRP has been represented at international labour-based seminars, where the FRP approach has been well received.

Other programmes of support to the road sector in Zambia are proposed, which would incorporate some of the approaches of the FRP, but they are at present not moving forward pending clarity on the road sector policy.

9.3 Operational Capacity

9.3.1 District Councils

The Districts suffer from unfilled vacancies, workers placed in difficulties due to non-payment of salaries and resources, loss of staff in post, unpaid bills, and little revenue. Despite these problems, there have been achievements. The staffing levels at the end of 2001 for the CMUs in the 8 Districts in Eastern Province and an assessment of their capacity are given in annex 10. Despite the assessment that 5 out of the 8 Districts are competent to manage roadworks, there is definitely a question mark over the repair and replacement of transport and equipment such as computers. Without financial support for supervisory activities it will be difficult for the Districts to carry out their responsibilities, for the planning, document preparation and supervision of works. The financial support should be included in the allocation for improvement and maintenance of the road infrastructure, and should take into account the need to up-keep equipment and in the longer term, replace it.

9.3.2 *Community Works*

Only one community road was visited by the team, which was funded under the DDP. It could be seen that the culvert that had been built as a spot improvement was in need of repair after the rainy season and that this had not been carried out. It was also noted that the community maintenance manual did not have a section on roads or culverts. With only one site visited it would be incorrect to make too many assumptions, but it appears there is need for the Districts to assist in inspections and guide the community on the necessary maintenance works.

9.3.3 *The technical, financial and managerial capacity, of the contractors*

A detailed study of the business and financial management of the seven rehabilitation contractors was carried out¹⁴. This report exposed the lack of financial and business management support, which the contractors received after their initial training. This is partly to do with the failure of delivery by VIS. It also reveals that even if some contractors do have previous business experience, it may not be as substantial as would have been expected.

Following the recommendations of the study, the project trained all Finance Directors and Accountants/Bookkeepers from the seven rehabilitation contractors, in the use of the PASTEL accounting package through a 5 day workshop conducted by Deerhurst (Z) Ltd. This addressed one of the most pressing needs for the contractors, but there were many other areas of concern highlighted in the report. There is a need for continued mentorship and funds for additional targeted training inputs.

9.3.4 *Suitability, quality, efficiency and durability of the technical assistance provided*

The efficiency of involving a wide variety of technical assistance could be called into question. It requires a great deal of management and co-ordination. On balance, the management aspects are outweighed by the benefits of accessing a variety of players with wide experience and specific capacities for specialist inputs. The combination of national specialists in the project team, combined with inputs from external technical assistance, has worked well in increasing capacity in the project team as well as within the beneficiary organisations.

The inputs from the UNDP and UNCDF were mainly administrative and monitoring rather than direct technical support, although UNCDF did field technical missions to the project.

Despite the problems with some of the procurement, the ILO has performed well in identifying areas of concern and in identifying many of the experienced firms and individuals with relevant local and international experience for support to the public and private sector in the implementation of labour-based works.

The training methods used were based on recognised examples and procedures, what has since been acknowledged is the need for a better assessment of the capacities of district councils and the development of better targeted and resourced training. The on-the-job training for the CMUS has been successful, but extra funds would have enhanced either formal training or an increase in mentorship and support.

¹⁴ Assessment of Business and Financial Management Practices of the Seven Rehabilitation Contractors – Phanindra Adhikary, December 2000.

9.4 Impact

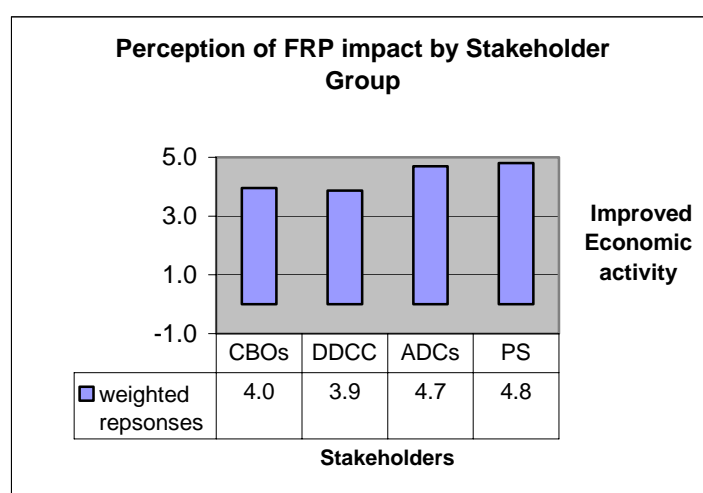
9.4.1 Perception of the FRP in Eastern Province:

Various stakeholder groups were invited to agree or disagree with statements provided in a questionnaire administered by the evaluation team. The results of two of the statements for the Feeder Roads Programme are provided below. A total of 93 respondents were asked to circle their choice on a 1 – 5 scale: 1 = strongly disagree, 5 = strongly agree. The full questionnaire is provided in annex 16 of this report.

Statement 1: Service Delivery:

1. There is easier delivery of inputs in, and outputs out of the district since the feeder roads program started.

1 = Strongly Disagree, 2 = Somewhat Disagree, 3 = Neither Disagree nor Agree, 4 = Somewhat Agree, 5 = Strongly Agree, 6 = No opinion



Legend

CBOs: Community-based Organisation;

DDCC: District Development Consultative Committee including District Council staff;

ADCs: Area Development Committees;

PS: Private Sector, (Labour-based contractors)

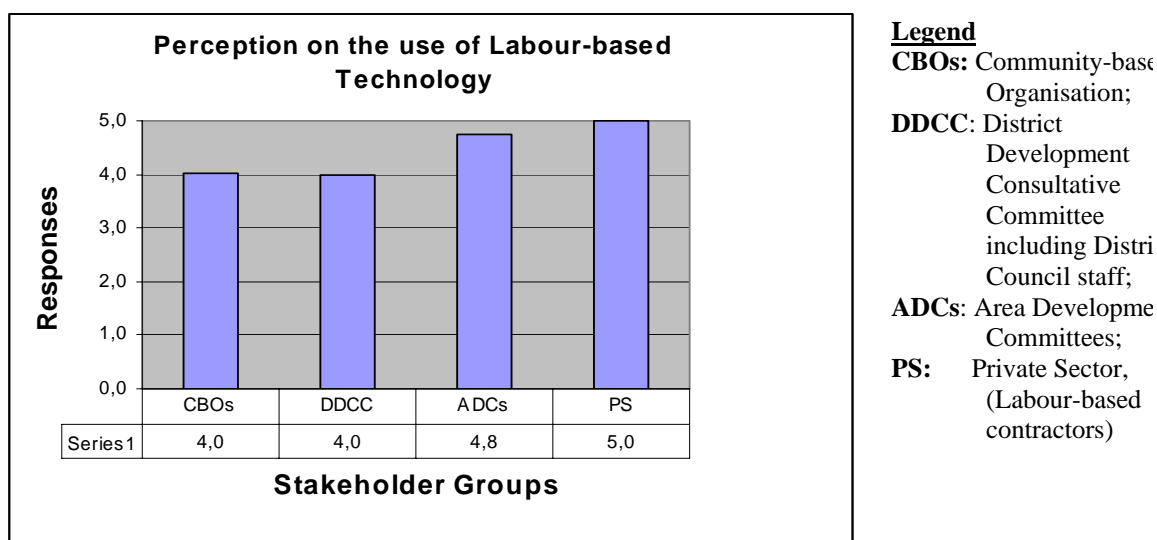
The conclusions from the survey show a recognised improvement in accessibility, although this is tempered by the number of roads that have remained outside the present programme. The project has rehabilitated 404 km and maintained 450 km. The improvement to living conditions and economic opportunities along the improved feeder roads was further confirmed in focus group interviews at the roads visited by the evaluation team, and through discussions with commercial agricultural concerns.

Chadiza – Tafelansoni Road

Two members of the randomly chosen focus group, interviewed on this road, had started businesses at the edge of the road. This was as a result of increased traffic and increased opportunities. One man had started an open-air repair shop mostly for bicycles and for the making of metal products such as watering cans. Adjacent to this enterprise was a kiosk run by a woman selling food (local doughnuts) to provide her with income to cover gaps in the households' earnings. Neither of these small enterprises had existed before the road was rehabilitated.

Statement 2: Labour-based Technology:

Use of labour-based construction methods for feeder roads is more appropriate than use of heavy equipment based on the experience in the Eastern Province.



There is a general acceptance of labour-based approaches to road rehabilitation and maintenance. What is particularly positive is the support the labour-based approach has within civil society, particularly the ADCs across the three districts visited by the evaluation team.

Various groups of consultants and contractors trained under the FRP were asked if they knew, at the beginning when they signed up for training, what they knew now, would they do it again. The unanimous answer was yes!

9.5 Exit Strategy

In the mid-term review and the “Smoothing the Way” workshop of June 2001, warnings about the sustainability were made. Various options were put forward. Of particular interest is annex B “Safeguarding Achievements in Eastern Province” from the workshop report. As a result of the workshop and other discussions the FRP was extended beyond June 2001 to December 2001. However, many of the issues raised and recommendations made have not moved forward from that time.

In particular there is the issue of continuing a presence at provincial level through a consultancy input to assist the District councils. This has been questioned as it is anticipated that consultants will be engaged at provincial level to assist districts in programme preparation and supervision of maintenance funded by the NRB. This intention was confirmed by the NRB, but as yet no appointments have been made.

Depending on the consultant appointed to supervise the NRB road maintenance works, this could prove sufficient support for the districts, but this could depend on the consultant appointed and their terms of reference. As the appointment could be delayed, action is required to provide support at provincial level in the interim and for future co-operation with any consultant appointed for the NRB, or indeed with a view to becoming

the NRB consultant. This would require considerable flexibility on the part of all partners to adapt the agreements and working arrangements to suit as developments become clearer.

The project has now closed and there is a period of inaction and uncertainty, whereas had action been taken earlier, perhaps a solution for providing modest continuing support to the CMUs and the contractors would have been possible.

10 Other Issues

10.1 Gender issues in the FRP

Road planning remains a mixture of bottom-up and top-down procedures. At district level through the DDCC, the road plans are discussed, but individual priorities must be reconciled with the inter-district, province and nation wide network integrity. The involvement of both women and men at the district level in prioritisation of roads to be improved and maintained will depend on their level of representation within bodies such as the ADCs and DDCC.

10.1.1 Site level participation

The FRP reporting system has been set up from the beginning to record the involvement of both women and men in the implementation of the road rehabilitation and maintenance works. It has therefore been possible to accurately record their relative involvement in the works. Women's participation in the road works ranged from 11% in Chadiza District to 18% in Petauke District. The average participation in rehabilitation works across the six districts was 14% for rehabilitation and 11% for maintenance.

The recruitment process included the use of drama groups to portray the work and to encourage all interested parties to come forward whether men or women. This access to work for all was confirmed in the various focus group discussions. Internationally participation rates of above 20% have been possible, but where labour-based techniques are new it often takes time to reach this level of women's participation. In the contract document under "Obligations" it is stated that "Males and Females should be given equal opportunities for employment. The contractor shall recruit the casual workers from the villages adjacent to the road to be worked on." Both statements are important for the participation of women, as women are less mobile than men and therefore the recruitment along the roadside affords women an opportunity to earn income without having to move away from their families.

Of the women interviewed, it was verified that they had received the same daily wage as their male co-workers. The contractors also confirmed that they were happy to employ a combination of women and men on the roadworks, and for certain tasks women could be relied on to provide a more satisfactory finish than men.

Some of the women, in the focus groups interviewed by the evaluation team, had made a conscious decision not to join the roadworks as they preferred to concentrate on their agricultural activities, but they had been aware of the opportunity to join. Despite the assurances given by the small sample of women interviewed, the number of women participating is less than would have been expected.

Often targets are set for women's participation in labour-based works (i.e. 25% or even 30%). There is a debate about how realistic this is given different opportunities for women in different parts of the country. In some areas women may prefer to trade than to work on the road. In other areas, such opportunities do not exist and more women would be interested in working on the road. What is certain is that without some mechanism for ensuring women's access to work, the original intentions and the participation of women is likely to reduce. (Maintenance is at 11% as opposed to rehabilitation at 14%). In fact maintenance activities are very suitable for women as they are immediately in the area of their homes and are part time in nature.

To ensure equal access to work, the statements such as those included in the contract documentation, would be better linked to the actual information and recruitment process presented during training, making the processes obligatory. The activity should also be included in the Bill of Quantities and paid for once satisfactorily completed. This should be combined with an onus on the District staff to monitor the process and ensure fair and equitable recruitment. This would not necessarily be technical staff but gender /community development staff travelling with the road supervisors.

This procedure would enhance the opportunities for women and assist Zambia in reaching a better target of more than 20% women's participation.

10.1.2 Technical and Management level

What is disappointing is the level of women's participation at management and technical levels in the districts and the private sector. However, this simply reflects the situation in general within the national construction sector, especially in civil engineering works rather than building works. The inclusion of women in the managerial and technical positions is dependent on the numbers of women studying technical subjects at school or at institutes of further education. A further barrier to women continuing in such a career in the private sector (at technician and engineer levels) is that they must remain mobile and move from site to site, which can be difficult to combine with family responsibilities. Given these constraints it would be unreasonable to expect a good number of women to be involved at a senior level. However, more efforts could perhaps have been made to at least include one of the women contractors who applied, or to have better advised her of what alterations to her company would have allowed her to qualify for acceptance. This has robbed the project of the opportunity to create a role model for other women in the province.¹⁵ It should be stated that one of the women contractors who applied to the FRP was advised to make a partnership with other technically qualified applicants, however, she did not re-organise and re-apply. The reason for this is not known.

A recent positive development in terms of women's participation is the inclusion of three women in a recent training of replacement directors requested by the labour-based contractors. 3 out of the 7 trainees were women. All occupy finance positions as directors.

The Project Manager informed the team that several of the gang leaders (assistants to the foremen/women) employed by the contractors were women, but this has not been captured in the project reporting.

10.2 HIV/AIDS

Sensitisation on the issues of HIV/AIDS was addressed by direct awareness raising of the issues with the rehabilitation contractors, and by the carrying out of awareness campaigns on all 7 rehabilitation sites by the communications unit of the DDP/FRP, in collaboration with the Society for Family Health (SFH). This has not however been "institutionalised" in the contract document or covered as a contractor's expense in the Bills of Quantities.

10.3 Externalities/ spillovers

In general, labour-based methods are less intrusive on the environment than equipment-based methods of road construction and maintenance. With labour-based methods there is greater emphasis placed on the importance of drainage and this in turn should lead to fewer problems of erosion and water damage on the road and in the surrounding areas.

¹⁵ Women's participation in labour-based road programmes in Zambia, July 1997 – Ms. G. M. N. Mutukwa,

One area, which requires particular attention on all road works, is the reinstatement of gravel pits after completion of the road improvement or regravelling. There is an item in the Bill of Quantities covering this work. The completion of the reinstatement work needs to be ensured by the CMU before final payment of the retention sum is made. Again through the use of labour-based methods, smaller gravel pits can be used causing less disturbance to the environment.

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¹ Annexes 6,7,9,10,13 and 14 are taken from the FRP Terminal Report prepared by the Project Team.

Annex 1
Evaluation Summary

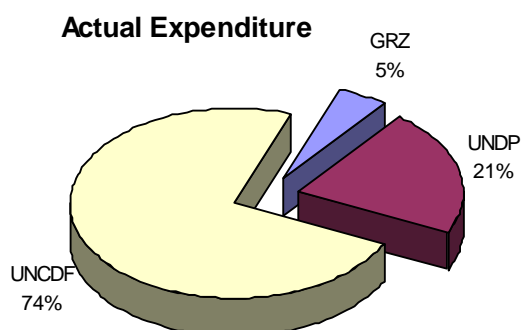
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Basic Project Data

Type of Evaluation:	Joint Final Evaluation
Project number:	ZAM /93/CO2 and (ZAM/93/009)
Project Title:	Rehabilitation and Maintenance of Feeder Roads in Eastern Province of Zambia
Government Executing Agency:	Ministry of Local Government and Housing (MLGH),
Government Implementing Agency:	Feeder Roads Section (FRS) of the Department for Infrastructure and Support Services (DISS) of the MLGH
UN Co-operating agency:	ILO and World Bank
Sectors:	Development Strategies, Policies and Planning
Sub-sector:	Road Transport
Date Project agreement signed:	5 August 1995
Date Project started:	12 June 1996
Date of Addendum to Project Document:	21 October 1996
Date Project ended:	31 December 2001
Date Project Evaluated:	March/April 2002

<u>Project Budget (USD)</u>	<u>Original</u>	<u>Revised</u>
UNCDF budget	4,635,000	4,910,982
UNDP budget	932,000	1,300,541
Government of Zambia	1,042,400	1,042,400
Total Project budget	6,609,400	7,253,923

Actual UNCDF expenditure at evaluation (USD):	4,620,542
Retention monies and contract payments to be made:	approx. 53,000



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Background

The *Rehabilitation and Maintenance of Feeder Roads in Eastern Province of Zambia* project was identified in February 1993. Zambia is a land-locked country with an area of 752,000 square kilometres. It is bordered by eight other African countries. In 1993, the population was estimated to be 8.94 million. From the figures available at that time, Real Gross Domestic Product per capita was USD420 in 1991, and Zambia was ranking 138th in the world in terms of the UNDP's Human Development Index.

The roads sector lacked funds and was poorly managed. This has resulted in severe neglect and large portions of the network were in need of rehabilitation and maintenance. The deterioration of the road network meant that productive areas of the country were inaccessible during the rainy season, and some roads impassable even in the dry season. This hampered the introduction of farm inputs and the as well as the timely evacuation of harvested agricultural produce.

In 1992, the total gazetted road network was 37,000km, and approximately 43% of the network was under the jurisdiction of the District Councils, which are empowered to act as statutory Roads Authorities. The National Roads Board was revived in 1994 and the operation procedures including management of the dedicated Road Fund were established in 1995. The Government also shifted emphasis away from new works to concentrate on the rehabilitation and maintenance of existing roads.

Eastern Province was identified as an area of concentration for UNCDF assistance, based on development need. The Rehabilitation and Maintenance of Feeder Roads in Eastern Province of Zambia - referred to as the Feeder Roads Project (FRP) – formed part of the UNCDF support to decentralisation, capacity building, and infrastructure development. The FRP and the District Development Project (DDP) mutually reinforced efforts to cover a variety of development concerns in Eastern Province.

The Project

In the original project design, it was intended that the project would respond to the need to transport a bumper crop of maize from the 1993/94 farming season. Road rehabilitation was expected to be done speedily using equipment-based methods. A lack of locally available contractors to undertake the works posed a serious problem for the project and was the basis for the redesign carried out in May 1996. The project was therefore executed based on the Project document: *Addendum to Project Agreement* signed in October 1996.

The FRP is designed to build and strengthen capacities in the local authorities and local private sector to rehabilitate and maintain feeder and urban roads through contracting systems. Labour-based techniques were not entirely new to Zambia, as labour-based works have been carried out in other regions of the country such as Northern Province, and Lusaka Province. Within the Ministry of Works and Supplies (MOWS), Department of Roads (DR), the Roads Training School (RTS) has been providing training courses in Labour-based methods since 1994. What was innovative in the Feeder Roads Project in Eastern Province was the use of the private sector for implementation combined with the re-orientation and training of the local authorities in their new role as planners and contract

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managers rather than implementers. This was further enhanced through the linkages to the District Development Project, which supported participatory planning and strengthening of the service delivery capacity of District Councils.

Development Objective

To contribute to the sustainable economic development of the Eastern Province through the establishment of a comprehensive integrated strategy for rural infrastructure development, relying to the extent possible on locally available private sector resources and the capacity of the District Councils.

Immediate objective 1

By the end of the project period a capacity will be established and operational within district technical departments to plan, design, implement and monitor road rehabilitation and maintenance works using the most cost effective construction technology, labour-based methods, primarily based on the use of locally available resources, and with the participation of the private sector construction industry.

Immediate Objective 2

By the end of the project period, a capacity will be developed and operational within the local private sector construction industry capable of rehabilitating and maintaining feeder roads through the efficient use of labour-based appropriate technology.

Immediate Objective 3

Access to and within the areas of the project determined in relation to the economic and social activities of the respective areas of influence will be improved.

Immediate objective 4

Direct employment will be created through the rehabilitation and maintenance of the selected roads in the Districts and the conditions for sustainable long-term employment creation in agricultural fields will be enhanced through increased economic activity.

Expected Results

Immediate Objective 1

- Contract Management Unit (CMU) staff in 8 District Councils (DCs) trained in planning, design, management and supervision
- DCs establish and implement routine and periodic maintenance programmes for all the roads rehabilitated in the Districts
- Contract management systems established and tested in the Districts
- Effective monitoring and reporting systems from site level to HQ established
- Two trained national roads engineers demonstrate the capacity to manage labour-based rehabilitation and maintenance programmes

Immediate Objective 2

- A well-documented system for identification and selection of potential contractors developed and established within the district technical departments

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- 9 small-scale rehabilitation contracting firms, and 25 maintenance contractors developed to operate as labour-based road rehabilitation /maintenance enterprises.
- 25 site supervisory personnel from the rehabilitation firms were to be trained in the efficient planning, execution and management of rehabilitation works and 25 for maintenance works.
- 7 small-scale contractors and 25 maintenance contractors equipped, financed through private financial loan agreements, initially using project capital funds

Immediate Objective 3

- approximately 580km of feeder roads rehabilitated and 700km under regular routine maintenance
- road selection criteria and ranking introduced

Immediate Objective 4

- A total of approximately 900,000 worker days of direct employment created

Purpose of the Evaluation

The purpose of the combined evaluation mission was to review the performance of the two projects (DDP and FRP) and to provide guidance for improving UNCDF programme implementation in future.

Findings of the Evaluation mission

Evaluation of the Results achieved

Capacity Building of the District Councils

- 5 out of the 8 districts have sufficient skills to fully manage contracts using the management systems and documentation introduced through the FRP.
- All 8 Districts have been preparing Annual Road Workplans
- Standard contract management systems documentation is available and has been successfully applied
- A monitoring and reporting system has been developed and is in use for monitoring of contract performance.

Comments: Some districts lack staff, or have lost trained staff, or need further training in complimentary skills such as computer literacy. The results were achieved despite limited training funds, and despite funds for implementation of roadworks being provided to only 5 of the 8 districts.

The implementation of the maintenance plans has been severely affected by factors external to the project, i.e. flow of funds from GRZ. The capacity to continue preparation of rehabilitation contracts may be reduced in some CMUs, however they are able to call on the trained private sector consultants for assistance. The final version of the Supervision Manual is not yet completed.

Capacity Building of small-scale labour-based contractors

- System for selection of contractors established in districts
- 30 staff from 10 rehabilitation contractors trained. 6 contractors qualified for continuing support after the second trial contract. A 7th contractor combining the best elements of two of the “failed” contractors also qualified to continue.
- 21 maintenance contractors received training

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- 7 rehabilitation and 21 maintenance contractors were equipped to enable them to carry out their contracts.

Comments: Of the 30 staff trained for the rehabilitation contracts, 5 have died, and 4 have resigned. Although initial training on business and financial management was provided, the follow-up and specific advice to the contractors was very weak.

Of the original 21 maintenance contractors trained, at present only 11 of them remain operational together, with an additional 2 maintenance contractors that have been created by staff from the rehabilitation contractors. They bring the total number to 13. The loss of 10 trainees was due to 6 dropping out and 4 deaths.

Transfer of skills and capacity building of the National Roads Engineers (NREs) providing Technical Assistance to the FRP

Despite the difficulties of 3 recruitment drives to appoint the final 2nd NRE, the training and handing over from the International Road Specialist/ Chief Technical Advisor has been very good. The NREs have managed the project for the last 2 years (following the expiry of the CTA's contract) under the direction of the Project Manager and have demonstrated the capacity to manage a regional programme for feeder road maintenance and rehabilitation.

Equipping of the Contractors

- Contractors were equipped to enable them to carry out their contracts.

Comments: The equipment was one of the least successful areas of the project due to some incorrect specifications in the original procurement. This was partly because of non-recognition of previous Zambian Roads Training School (RTS) experience. The poor specifications, particularly of the tractor hitches, should have been avoided as the CTA was recruited through ILO, which has long years of experience in Labour-based methods and procurement of appropriate equipment. The poor specifications resulted in some cases in reduced productivity among the contractors.

The second reason for dissatisfaction was the late appointment of Village Industry Services (VIS) and their subsequent non-performance in managing the credit scheme for the purchase of the equipment by the rehabilitation contractors and in providing business advice to them. All loans have been repaid by the contractors to the FRP, but in a rushed manner at the end of the project period and with little advice to the contractors on saving for equipment replacement.

Repayment of money by VIS, collected from the contractors, is still outstanding at USD 78,000.

Physical Outputs

The target of 580km rehabilitation was revised to 450km by the mid-term evaluation, due to the increase in gravelling required and the resulting increase in costs per km. Costs continued to rise and therefore only 404km could be completed within the budget.

Comment: At present the number of kilometres under routine maintenance following improvements by FRP is **zero**. There are practically no funds entering the districts for routine maintenance and there has been no funds

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from GOZ /NRB /MLGH for this activity since 1999. Therefore the figure of 450km achieved for maintenance can only be viewed as a previous maximum. It is also worth noting that only 21 km of the 450 km under maintenance were on roads rehabilitated under the FRP. The remaining 429km under maintenance, were improved and maintained through enhanced maintenance contracts. This infers that of the 404 km of feeder road rehabilitated 383 km have seen no routine maintenance since their completion. The total kilometres of road either rehabilitated or put under enhanced maintenance by the FRP is therefore 833 km. This achievement will be short lived if funds for the systematic planning and implementation of routine maintenance are not made available urgently.

The quality of the roadworks is generally good, with the roads standing up well to several rainy seasons despite the lack of maintenance. The work appears to be of a better standard than plant-based operations in the Province and also to cost less. However comparisons can be unreliable if the amount of work done, the road standard and specifications are not taken into account.

Employment and Gender

Because of the increase in work (amount of gravelling) per km, the targeted number of workdays was kept as per the project addendum and not reduced in line with the reduction in kilometres to be rehabilitated. The project has achieved 870,000 workdays (97% of target) with 14% participation by women. In excess of ZK 2,065 billion has been paid in wages within the districts of Eastern Province.

There is sufficient evidence to conclude that women were given equal access to work opportunities, however, in comparison to international experience, women's participation below these levels would be cause for concern, and the numbers could be encouraged to increase to 20% or more through contractual measures.

Additional outputs not included in Project Document

7 small local consulting firms were trained in preparation of labour-based contracting documents and site supervision of contractors. This was carried out partly in response to the fragile capacity within the CMUs of the District Councils, but also to develop a national capacity for future work not only in Eastern Province. Unfortunately some of the CMUs rely heavily on the ability of one or two members of staff. Should these staff members leave, then the capacity of the Districts will be automatically reduced.

University students were attached to the FRP for industrial experience and as a result there has been a request to ILO to assist the University of Zambia to introduce labour-based technology into the curriculum, as is the case in other universities in the region.

The labour-based contractors have come together to form the Eastern Province Labour-Based Road Contractors Association (EPLBRCA). They have been active in national meetings and forum discussing the future of the road sector in Zambia, and have assisted in increasing awareness of the project and its achievements.

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The FRP has assisted trained contractors to source work outside the project, such as contracts under the first HIPC allocation to the roads sector.

Project Design

Most important in terms of the project design was the courageous decision to change the original document to allow for the building of capacity at local level in both the private and public sectors. This alteration in approach has been very successful and has created wide interest both inside Zambia and beyond its borders.

The project design and implementation have demonstrated the way in which the strengths of different agencies and private sector partners can be brought together for the benefit of the institutions and individuals undergoing training and capacity building. In addition to the support by the main partners (UNDP / UNCDF and MLGH), the FRP has been able to draw on varied experiences and inputs in terms of specific contributions (i.e. RTS for training, ILO for technical supervision and backstopping, Norconsult (International Consulting Company) for documentation preparation and mentorship), and diverse individual specialists for specific inputs. The successful management and combining of these inputs has enhanced the success of the FRP.

Perhaps the weakest areas of the design were (i) the lack of direction on whether the capacity building or the physical outputs were of paramount importance, (ii) the assessment of the existing capacity in the District Councils which resulted in a deficiency in the amount of training planned for the CMU staff and (iii) the lack of a well thought out exit strategy.

Impact of the FRP and Replication

Impact

The project has been very successful in demonstrating the effectiveness of the District Councils in taking responsibility for planning, design, preparation and management of the roadworks with the implementation through a locally based private sector conversant with labour-based methods. The works have contributed to the Development Objective in providing temporary employment during construction and maintenance of the roads, and by improving accessibility not only for economic development but also to services for the people of Eastern Province. There have been constraints however, and the longer-term impact and respect for the work of the project will be dependent on whether the environment is conducive in terms of national policies, the strategies and instruments for implementing these policies, and availability of adequate reliable funding for maintenance. It will also depend in some measure on the continued backstopping technical support to the districts given that not all 8 have capacity in every area of management.

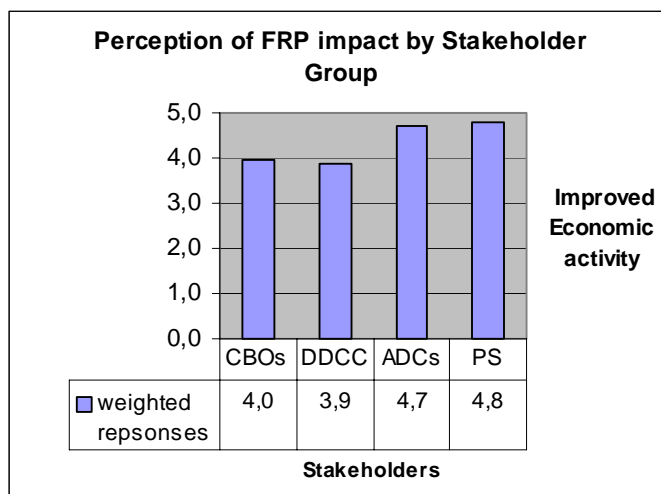
Perception of FRP in Eastern Province:

Various stakeholder groups were invited to agree or disagree with statements provided in a questionnaire administered by the evaluation team. An example dealing with service delivery is provided here. The respondents were asked to circle their choice on a 1 – 5 scale: 1 = strongly disagree, 5 = strongly agree.

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Service Delivery:

1. There is easier delivery of inputs in, and outputs out of the district since the feeder roads program started.
1 = Strongly Disagree, 2 = Somewhat Disagree, 3 = Neither Disagree nor Agree, 4 = Somewhat Agree, 5 = Strongly Agree, 6= No opinion



Legend

CBOs: Community-based Organisation;

DDCC: District Development Consultative Committee including District Council staff;

ADCs: Area Development Committees;

PS: Private Sector, (Labour-based contractors)

The conclusions from the survey show a recognised improvement in accessibility, although this is tempered by the number of roads that have remained outside the present programme. The current assessment for the length of feeder roads in Eastern Province² is 3,862 km. The project has rehabilitated 404 km and maintained 450 km.

The improvement to living conditions and economic opportunities along the improved feeder roads was confirmed in focus group interviews along the roads visited by the evaluation team, and through discussions with commercial agricultural concerns.

There is a general acceptance of labour-based approaches to road rehabilitation and maintenance. What is particularly positive is the support the labour-based approach has within civil society across the three districts visited by the evaluation team.

Replication

Concrete replication of the “FRP Approach” in the use of the private sector as implementers and the District Councils as facilitators / supervisors is most apparent in two programmes of the Government of Zambia. These are the implementation by the *Zambian Social Investment*

² ROADSIP Bankable Document – Third Draft August 2001

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Fund (ZAMSIF) of the Community Transport Infrastructure (CTI) a sub-project of the Road Sector Investment Programme (ROADSIP), and the roads component of the Smallholder Enterprise and Marketing Project (SHEMP). The exact role of the District Councils in supervision of the work is less specific in SHEMP. Replication at national level is dealt with under the section on recommendations. Internationally, a similar programme has been started in Tanzania, and interest has been shown at various international seminars and workshops.

Policy Implications and Lessons learned

Lack of anticipated Policies and Implementation Strategies

The project was based on the assumption that the decentralisation policy would have been in place before the end of the project period. Lessons from this FRP and DDP would have provided a major input into the policy framework.

The absence of the decentralisation policy, a transport policy, and the means to implement right-sizing of District Councils, has resulted in a weak national framework, within which the project has been functioning. This does not mean that the project should not have started, but it does mean that better handing over arrangements and support at the Provincial level was critical given the uncertainties at national policy level. The Project team together with partners has been providing mentorship and technical support to the District Councils and the contractors and consultants. The Provincial Local Government Officer does not have the staff or capacity to continue this. The relatively abrupt end to the project means that all levels of support stop at one time leaving the District Councils and the private sector with little or no support other than at distant central level.

The contact and co-operation with the Feeder Roads Section (FRS) in the DISS, MLGH and the FRP could have been better from the start. The understaffing of the FRS and frequent absences due to training of the staff aggravated the problem. In the later stages of the FRP more and better contact was apparent. Had this happened earlier, it would have been to the advantage of the FRS and the FRP, and assisted in the greater institutionalisation of the results.

Another lesson, which could be learned from the implementation of the FRP, is that the aim was to build capacity at the District level and within the local private sector for management and maintenance of the road network. This capacity is fragile in that a significant number of the trainees are no longer in post or operational in the private sector. In future projects, with large training elements, the number of trainees should be well in excess of the eventual number which are expected to be operational.

It was perhaps unwise to choose, what in retrospect, was a weak institution to manage the credit facility for the purchase of equipment by the contractors. Although this may have been in the interests of building capacity in Zambia for further credit management, it might have been wiser to concentrate on capacity building in the construction sector first and then turn attention to credit institutions. The second part of the credit agreement was to provide training and advice to the contractors on

business matters and equipment management. The credit management and the business management should have been kept separate instead of being put together under one umbrella. The overall result has been a reduction in the capacity building for the private sector.

Recommendations of the Mission

The FRP has been successful in achieving the main targets under the immediate objectives and contributing to the development objective. The FRP has demonstrated the capacity that can be created in District Councils and the local construction industry for improving and preserving road infrastructure for the people of Eastern Province. To safeguard these achievements, the evaluation team proposes the following recommendations:

- The streamlining and decentralisation of systems for awarding and effecting payment for roadworks needs to be addressed. This requires a two-fold approach: one is the increase in the limits set for the tendering of contracts at Provincial and more particularly at District level to allow the handling of at least maintenance contracts within the district, and rehabilitation contracts within the Province. The second approach is to decentralise payment. At the moment the NRB at central level effects all payments and this requires the passage of paper work through several layers of Government. Late payment can have severe effects on labour-based operations, as prompt payment is required to cover wages. An assessment of relative district capacity and close monitoring and auditing by central agencies rather than direct management would be an appropriate solution for the decentralisation of these activities.
- The cost of design, contract preparation and supervision of works must be included in the funds sent to the Districts to enable the CMUs to carry out their own work and/ or hire consultants.
- With the success of the FRP, there has sprung up an interest in establishing small local contractors. Unfortunately some of the contractors registered have no training in the application of labour-based methods and some of the works reflect this lack of knowledge. Without curbing the liberalisation of the private sector it should be possible to register contractors properly based on their staff, experience, financial standing etc. This should be done as soon as possible either through the Ministry of Works and Supplies, the Ministry of Local Government or the National Council for Construction. Proper registration of contractors will assist District Councils and communities in their selection of suitable contractors. With ROADSIP intending to train additional contractors, this registration could also be used to assess the companies who would benefit from increasing their skills and capacities
- There have been few women involved in the private sector companies, which underwent training, except more recently as Directors dealing with finance. This situation is a reflection of the small number of young women taking science and engineering subjects. However every opportunity should be used to look for positive role models, even when staffing projects. The DDP and FRP professional staff are all male.
- Pressure must be brought to bear on the national institutions and their agency partners who are responsible for the distribution of maintenance funds. If routine maintenance funds do not reach the Districts, then the

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impact of the FRP will be severely reduced. Without repetition and practice of the planning and management skills the Districts have acquired under the project, these skills may well diminish. Equally the capacity created within the private sector may disappear out of the roads sector if maintenance contracts are not available. There is promise of some contracts being awarded in April/May 2002, but the past two years have seen no maintenance funds reach the feeder road network in Eastern Province, and many other Provinces.

- If the existing policy statements within the NRB and ROASIP on the increased use of labour-based methods are to be translated into actions, then the size of rehabilitation contracts must be prepared to suit the local provincial and district-based construction industry.

UNDP/UNCDF

- Support to Eastern Province in the form of technical assistance should not be brought to a halt just as the capital investment funds finish. There is a need for further technical backstopping and support of a less hands-on type for the CMUs and a need for mentorship / advice for the contractors. At present the logical solution for this technical assistance would be for a national consultancy company with knowledge of the FRP to be placed within the office of the Provincial Local Government Officer in Eastern Province as an extension of the project. However, given that the transport policy may be approved shortly, the agreement would need to remain flexible to allow transfer of this assistance to the relevant office, should a new set-up at provincial level be proposed. This technical assistance would need to be supplemented with a budget for further training, problem-solving seminars etc. for both the public and the private sector.
- With the delays in the management of the equipment loans and the abrupt finish to funding of rehabilitation and maintenance, there has been little opportunity for the contractors to emerge from the “safe haven” of a project to gradually face the rigours of the real world. There is a need for continued advice, perhaps even to a wider cadre of contractors, on running a business, credit, marketing, equipment depreciation and replacement, and effective lobbying. This could be managed through the EPLBRCA, the Association of Small Scale Local Contractors or the National Council for Construction (NCC). If this were done through the NCC the same expertise would be available to the labour-based consultants as well as contractors and to a wider group of new enterprises.

This component could also take up the issues of including equal opportunity measures and HIV/AIDS awareness as compulsory in all contracts, paid for under items in the Bill of Quantities. Contractors are part of the private sector that are trying to make a profit from their businesses, therefore issues of social concern should be well defined and paid for in the contract, and adequately monitored by the Government agencies.

- There has been a request from the MLGH for support to the FRS/ DISS /MLGH at central level on policy setting, standardisation, and guidance for DCs. This would be based on the results of the FRP and the incorporation of the lessons learned into this central body. It is

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anticipated that the formulation of this assistance will be followed up through the ILO /UNDP STS agreement, but deserves the full support of the UNDP and UNCDF if the lessons from the FRP are to achieve a national impact.

- The project partners should continue to support and provide inputs to the decentralisation and road sector policy consultations.

General Recommendations

- An exit strategy should be included at the design stage of the project and should be regularly adjusted to meet the requirements of the national environment within which the project is operating. Particularly where anticipated policies have not been developed, then the exit strategy must be altered to take this into consideration, and acted upon before the end of the project period.
- There has been a considerable loss of trainees over the project period and therefore it is recommended that for all future training programmes extra capacity be trained to ensure that sufficient skilled staff stay in post in both the District Councils and the private sector.
- The contractors bought a package of equipment, some items of which did not perform well. It was difficult to include them in the original selection of equipment as they had no previous experience of labour-based works, but some will have had experience of operating individual items of equipment (i.e. water pumps or pick-ups).

For future projects of this nature a one-year hire of equipment by the contractors from the project followed by an option to buy, with the hire sums being subtracted from the price, might be a better option. This would mean that the contractors could choose which items of equipment they wished to buy and which items they would prefer to source elsewhere. Therefore should difficulties be experienced with any items of equipment, the contractors would be in a position to decide not to purchase and look for a suitable local alternative.

- The delivery of access to local communities is a major part of the infrastructure responsibilities of District Councils. Through road access, economic opportunities can be increased as well as service provision. Through labour-based methods of work more of the funds for the road sector will remain in the Districts and benefit the population. The appropriate size of contracting and consulting companies enhance the Districts capacity to manage their own infrastructure maintenance and improvement works. This is entirely compatible with the aims of capacity building for decentralisation and the resulting improvements in governance. Therefore the inclusion of a feeder roads component should be favourably considered in future projects that support decentralisation.

Annex 2
Follow-up Matrix

Follow-up Matrix for the Feeder Roads Project: Key Findings and Recommended Actions

Area of Focus	Key Findings	Recommended Actions ³	Responsible Party	Timeline ⁴
1.0 Management & Accountability:				
1.1 Capacity of DCs in contract and financial management	1.1 Capacity has increased, within the CMUs and financial administration departments of the DCs but is not sufficient for complete withdrawal of support.	1.1 Provide continuing mentorship and training support at the Provincial level initially within the office of the PLGO	MLGH, NRB UNDP UNCDF ILO	As soon as possible for a minimum of one year
1.2 National structures should recognize capacities in DCs	1.2 The capacity built in the DCs is often ignored by national institutions and line ministries.	1.2 Develop a method of monitoring and auditing for NRB and MLGH of road fund use by DCs rather than the present central control of payments.	MCT, MLGH, NRB	As soon as possible ⁵
1.3 Restructuring & Retrenchment:	1.3.1 There is excess staff in DCs given the changing functions of DCs from being solely service providers to being coordinators of district development and contract managers.	1.3. Central Government must implement the third component of the PSRP in order to provide money to support DC restructuring and retrenchment to ensure effective financial and technical management	Cabinet Office, MLGH MOFED	As soon as possible
1.3.1 Right-Sizing of DCs				
1.3.2 Developing capacity of DC reconfigured staff after right sizing.	1.3.2 Because of additional functions, new skills are also required in the reconfigured DCs.			
1.4 Revision of Procurement Ceilings: Zambian National Tender Board	1.4 Budget Ceilings in contracts have limited DCs authority to procure for infrastructure maintenance and developments.	1.4 Revise and devise a flexible criteria for setting tender limits for Local Authorities involved in the procurement of inputs for infrastructure maintenance and developments.	Central Tender Board, Cabinet Office, MLGH NCC (construction)	As soon as possible

³ Also contains part of the recommendations from the Stakeholder Workshop on the Way Forward after the “Lessons Learned” Study and the Staff Retreat

⁴ To be used by the UNCDF Programme Manager as a Monitoring Tool for Compliance during the Proposed Extension Period of 12 months from June 2002

Area of Focus	Key Findings	Recommended Actions ³	Responsible Party	Timeline ⁴
2.0 Operational Capacity for Service Delivery				
2.1 Capacity Building 2.1.1 Training 2.1.2 Planning	2.1.1 & 2.1.2 Training of DCs and improved the capacity of Districts to plan and implement their DDSP. But present capacity is fragile.	2.1 Capacity Building at all levels should be a continuous process. Both on-job training, mentoring and training through various Training Institutions.	MLGH, RTS Training Institutions	Extension Period
2.2 Management of service delivery through private contractors and consultants	2.2 The setting up of Contract Management Units (CMUs) in Council Works Depts. improved the DCs capacity to deliver services and goods through: Private contractors and consultants	2.2a Immediate: continued support at provincial level 2.2b Longer term: The government (Central, Provincial and Local) must enhance technical knowledge and provide logistical support in Local Authorities to supervise and monitor delivery of quality work.	MLGH UNDP/UNCDF/ILO LGA PLGO DOWs CS Director of Administration	As soon as possible Continuously
2.3 Delivery of quality maintenance and rehabilitation of feeder roads through the private sector	2.3 a Regular funding for maintenance not reaching Districts 2.3 b Continuity of work for trained contractors could depend on ZAMSIF and SHEMA rather than NRB 2.3 c The FRP has trained a group of contractors and they are equipped and available for work for the DCs 2.3d The private sector has not fully emerged from the protected atmosphere of the project.	2.3a Regular funding for routine maintenance essential 2.3b All feeder roads contracts should be of a size suitable for the local construction industry 2.3c Registration of contractors will assist DCs in choosing well-trained and experienced contractors 2.3d Continued mentorship and training support 2.3e Additional maintenance contractors to be trained	NRB MLGH NRB MLGH MLGH MWS /DR /RTS NCC (construction) MLGH EPLBCA NCC UNDP/UNCDF/ILO	

⁵ Ministry to define deadlines in each case of “as soon as possible”

Area of Focus	Key Findings	Recommended Actions ³	Responsible Party	Timeline ⁴
3.0 Institutionalisation of Functions/Systems:				
3.1 Training: Linking of Capacity Building to National Bodies	3.1 There was a high attrition rate not only in DCs but also among other service providers.	3.1 Facilitate Learning Institutions to provide a continuous pool of trained personnel in Local Government through: <ul style="list-style-type: none"> ➤ RTS ➤ University of Zambia ➤ Copperbelt University 	MWS, MLGH ILO/ASIST - (University network)	
3.2. Incorporation of FRP lessons learnt at national level	3.2. MLGH has requested the support within the FRS for policy setting, standardization and guidance for the DCs for feeder road management	3.2. This request should be acted upon and proposals prepared.	MLGH ILO/ASIST UNDP UNCDF	Immediately
3.3 Linkages between Coordination Bodies:				
3.3.1The National Consultative Committee (NCC)	3.3.1The NCC has been a relatively good forum for coordinating and monitoring developments.	3.3.1 & 2 Review role of the NDCC in view of the role being performed by the NCC.	MLGH DCs	
3.3.2 The National Development Coordination Committee (NDCC)	3.3.2NDCC has never met.			
4.0 Policy	4.1 Project partners continue to ensure that the lessons from the FRP are included in policy formulation.	4.1 Continue to support decentralization policy formulation and provide inputs on the Transport / road sector policy	MLGH EPLBCA NCC UNDP / WB	

⁶ If their capacity has been developed enough to be independent.

Area of Focus	Key Findings	Recommended Actions ³	Responsible Party	Timeline ⁴
5.0 Project Design and Execution 5.1: Changing design and institutional implementers over the years.	5.1 Flexible project design was good for adapting to changes in both the institutional and external environment	5.1 This flexibility and adaptability should be encouraged in future project design.	MLGH UNDP /UNCDF	Immediately
	5.1.1 Varied inputs brought wide experience to bear on FRP	5.1.1 Good example of partnerships among national bodies, international agencies and the private sector, to be encouraged	MLGH UNDP / UNCDF	
	5.1.2 There was no Clear Exit Strategy	5.1.2a Temporary continued assistance at Provincial level and longer term support to FRS (see 2.2a,b, 2.3d,e)	MLGH PSU UNDP/UNCDF/ILO	
		5.1.2b Future projects should be designed with a clear exit strategy, that has functions institutionalized into structures such as: <ul style="list-style-type: none"> ➤ Government ➤ Local Government ➤ NGOs or the Private Sector⁶ 	MLGH UNDP / UNCDF	
6.0 Gender	6.1 Need for greater encouragement of sciences for girls at school level	6.1 Create awareness of career possibilities, science campaigns, open days at roads training school, role model visits to schools, etc.	MOE MLGH MWS/RTS NCC (construction)	

Annex 3
Terms of Reference



**United Nations
Capital Development Fund**

**United Nations
*Development Programme***

TERMS OF REFERENCE

JOINT FINAL EVALUATION

OF

**DISTRICT DEVELOPMENT PLANNING AND IMPLEMENTATION IN
EASTERN PROVINCE (ZAM/93/CO1)**

AND

**REHABILITATION AND MAINTENANCE OF FEEDER ROADS
(ZAM/93/CO2)**

REHABILITATION AND MAINTENANCE OF FEEDER ROADS (ZAM/93/CO2)			
Country	Project Cost and Financing		
ZAMBIA	Total Project Cost	US\$: 6,417,000	
Duration	Government of Zambia:	US\$: 1,164,000	Budget Revision x: xxxxxxxx
X years	UNDP:	US\$: 618,000	Budget Revision x: xxxxxxxx
	UNCDF:	US\$: 4,635,000	
Project Number			Project Title:
UNDP: ZAM/93/009			Rehabilitation and Maintenance of Feeder Roads
UNCDF: ZAM/93/02			
Sectors			Sub-Sector
Development Strategies, Policies and Planning (0210)			Road Transport (0820)
Government Executing Agency			Government Implementing Agency
Ministry of Local Government and Housing (MLGH)			Feeder Roads Section, MLGH
UN Cooperating Agency			
ILO and World Bank			
Project approval date: 9 August 1995			
Project starting date: XXXXXX			Actual: XXXXXXXX
Project completion date: XX/XX/2002			Actual: XXXXXXXX
Evaluation Date: March 2002			

<p align="center">DISTRICT DEVELOPMENT PLANNING</p> <p align="center">AND</p> <p align="center">IMPLEMENTATION IN THE EASTERN REGION (ZAM/93/CO1)</p>			
<p>Country</p> <p>Zambia</p>	<p>Project Cost and Financing</p> <p>Total Project Cost US\$: 5,324,090</p>		
<p>Duration</p> <p>Five years</p>	<p>Government of Zambia: US\$: 250,000</p> <p> UNDP: US\$:1,710,000</p> <p> UNCDF: US\$: 2,764,090</p>	<p>Budget Revision X:XXXXXXXXXX</p> <p>Budget Revision X:XXXXXXXx</p>	
<p>Project Number</p> <p>UNDP: ZAM/93/005</p> <p>UNCDF: ZAM/93/CO1</p>		<p>Project Title:</p> <p>District Development Planning and Implementation in the Eastern Region</p>	
<p>Sectors</p> <p>Development Strategies , Policies and Planning (0210)</p>		<p>Sub-Sector</p> <p>Local Governance</p>	
<p>Government Executing Agency</p> <p>Ministry of Local Government and Housing (MLGH)</p>		<p>Government Implementing Agency</p> <p>Provincial Planning Unit (PPU), Provincial Administration of Eastern Province</p>	
<p>UN Cooperating Agency</p>			
<p>Project approval date: 21st November 1995</p> <p>Project starting date: XXXXXXXXX</p> <p>Project completion date: XXXXXX</p>		<p>Actual: XXXXXXXX</p> <p>Actual:XXXXXXXx</p>	
<p align="center">Evaluation Date: March 2002</p>			

INTRODUCTION

These Terms of Reference (ToR) are for the joint Final Evaluations of the District Development Planning and Implementation (DDP) project in Eastern Region and the Rehabilitation and Maintenance of Feeder Roads (FRP) project in Zambia. Each project has its own financing agreement and different project lifetime. Unless specified, the generic references in these ToR are to both projects.

PART ONE: GENERAL EVALUATION FRAMEWORK

I. BACKGROUND

Country Background

Zambia has a population of about 10 million growing at 2.2% a year. It is designated as a LDC and is currently ranked 153 in the UNDP Human Development Index (HDI), which places it in the Low Human Development category. The HDI value in 1999 is 0.427 (It was 0.466 in 1990), with a GDP per capita PPP of US\$756 (US\$330), a life expectancy at birth of 41 years, and a 77.2% adult literacy rate. In literacy and GDP indicators, women score significantly lower. Female adult literacy is 70.2% compared to male adult literacy of 84.6%, and the female GDP per capita (PPP) is US\$577 compared to the male GDP per capita (PPP) of US\$934. The UNDP Gender-related Development Index (GDI) ranking in 1999 was 127.

Zambia became eligible to receive UNCDF assistance in 1991 when it was classified by the UN General Assembly as a Least Developed Country. UNCDF fielded an identification mission in 1993 which resulted in the formulation of two projects in the Eastern Province: the Rehabilitation and Maintenance of Feeder Roads (FRP) project and the District Development Planning and Implementation (DDP) project. These 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 FRP operates within the framework of the Government of Zambia's policy to decentralize and democratize 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 PROJECTS

A. Development Objectives, Immediate Objectives and Outputs

1. Rehabilitation and Maintenance of Feeder Roads (FRP) in Eastern Province

Project Background

Zambia has a multi-modal transportation system consisting mainly of road, railway and civil aviation. The system is supplemented by some pipelines for transporting oil, inland water transportation and a few ocean shipping routes. In 1995, Zambia's road network was approximately 37,000 kilometers long, distribute fairly extensively across the country. The transport sector contribution to GDP was fluctuating around

5% in mid 90s. The most serious problems facing the road sub sector were poor planning, lack of funding and severe neglect of rehabilitation and maintenance. These problems have caused serious repercussions. For example, poor planning was resulting in the development of new roads while the existing ones were left to deteriorate. The shortage of foreign exchange exacerbated this problem. As a result, many places were inaccessible to vehicles and productive activities were hampered; basic transportation services were reduced or halted in some instances.

The FRP project was identified during a UNCDF programme and project identification mission (PPIM) in 1993. The possibility of rural road work in both Northern and Eastern Provinces was considered as neither areas had attracted major assistance in the sector. In consultation with the Government, the Eastern province was chosen as it was the next most productive province after Central, Lusaka and Southern provinces.

a. Development Objective:

The development objective is to increase income and improve the quality of life of the local population through the stimulation of agricultural production through rehabilitation and sustainable use of rural roads in selected districts of Eastern Province.

b. Immediate Objectives:

The immediate objectives of the project are to –

1. Rehabilitate approximately 700 km of deteriorated rural roads in Eastern Province
2. Set up a practical and workable system of long-term maintenance for rehabilitated rural roads.
3. Enhance the capacities of local authorities at both provincial and district levels in the areas of planning, management and technical know-how, so that they will be able to work competently and independently upon the completion of the project.

c. Project outputs:

The outputs of the project are –

1. Rehabilitate approximately 700 km of deteriorated rural roads in Eastern Province.
2. Design and introduce a labour-based lengthperson road maintenance system in which individuals and/or community groups are contracted to maintain road sections of variable length, usually two to four kilometers.
3. Place rehabilitated rural roads under lengthperson contract, from zero kilometer in one year to the full length of the rehabilitated rods at project end in year five.
4. Train two national engineers as fully qualified rural road specialists who will have the capability to work independently and competently, and
5. Select and train a group of competent maintenance supervisors who will form the core of the lengthperson maintenance system and each of whom will supervise up to ten individual contractors.

2. The District Development Planning and Implementation in Eastern Region (DDP)

Project Background

In 1991, after election into office following years of one party rule and severe economic decline, the new government of Zambia set in motion a national agenda for

change. With the desire to release the energies of the nation in economic social and political decision-making roles, the government passed the Local Government Act in 1991. This was followed by the Public Service Reform Programme (PRSP) in 1993: this programme was intended to define clearly the core business of the state and of the local authorities and to enhance the efficiency and accountability of the public sector. A major component of the PSRP was decentralisation of functions to local authorities and capacity building initiatives for local governments. Recognizing the important role in poverty alleviation of viable local government institutions, UNCDF has since 1992 focused its programme efforts on mechanisms that will enable the rural communities to organize themselves and the local authorities to reach the communities they serve. In this context, an agreement was signed between UNDP/UNCDF and the Government of the Republic of Zambia (GRZ) in 1995 to fund a 5-year project at a total cost of US\$5.3 million; the District Development Planning and Implementation project (DPP) in the Eastern Province.

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 Decentralization and Local Government in Zambia):

a. Development Objective:

The development objective is to alleviate poverty through national decentralized development.

b. Immediate Objectives:

The immediate objectives are to –

1. Contribute to the development of the national decentralization policy and implementation process
2. Develop capacity of district councils to produce sustainable infrastructure using decentralized fiscal transfers of discretionary and conditional grants, participatory development planning, and localized production arrangements in Eastern Province.

c. Project Outputs:

The expected project outputs are:

1. Capacity of the eight District Councils in Eastern Province developed through more efficient, transparent and accountable management and administration, human resource management, revenue mobilization, financial management and fiscal decentralization, leadership and democratic accountability and partnerships between councils and private sector/NGOs for the effective mobilisation of the district resources.
2. Institutionalization of Inclusive Local Government Planning System in eight District Councils of Eastern Province.
3. Operational capacity developed for the localized production of district and community-based infrastructure using labour-based technology where possible.
4. Effective policy influence and advocacy for local government.

B. Institutional Arrangements

FRP

The Feeder Roads Section of MLG&H was the central government executing agency for the FRP. The provincial administration, through the PLGO and his/her subordinate units, such as the Provincial Planning Unit and the PRE was to provide technical support to the district authorities. At the provincial level, the internationally recruited rural road specialist with two nationally recruited road specialists, were placed under the jurisdiction of the PLGO in the Province for the first three years of the project. This formed the core team of technical assistance providing coordination and technical support to all project districts. After three years, one or both national

engineers were expected to resume full responsibility for project implementation.

At the district level, project implementation responsibility rested with the DCs whose Directors of Works were in charge of project activities in their respective districts. Under the DoWs, a number of district technicians covered various parts of the district and worked with communities and villages.

DDP

The MLG&H is the Government Executing Agency. The PLGO, who is responsible to MLG&H by line affiliation, is the representative of the Government Executing Agency in Eastern Province. The Provincial Planning Unit (PPU), which is the implementing unit of the project, reports to both the PLGO and NCDP. DPIA and CPPA is physically located in PPU and works closely with PLGO and CRP to design and carry out training programmes of PPU and DC personnel, supervise and monitor the operation of DDF and provide continued technical support to PPU and DC personnel.

D. Project Costs

*** TO BE PROVIDED BY UNCDF PROGRAMME OFFICER**

III. PROJECT IMPLEMENTATION STATUS

A. The FRP

Current Project Status

- *** TO BE PROVIDED BY UNCDF PROGRAMME OFFICER**

B. The DDP

Current Project Status

- *** TO BE PROVIDED BY UNCDF PROGRAMME OFFICER**

N.B: The following is from the Project Status in the Mid-Term Evaluation TOR. It needs to be updated!

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.

IV. PURPOSE OF THE EVALUATION

This Final Evaluation is conducted in compliance with the requirement of the Project Documents/Financing Agreements as well as per the rules and regulations of the UN Capital Development Fund.

The purpose of this evaluation is to review the performance of the two projects and to provide guidance for improving UNCDF programme implementation in future.

The evaluation tasks are:

1. Assess overall performance of the projects in delivering project outputs, and the likelihood of attaining the Immediate and Development Objectives (i.e. desired outcomes and impacts).
2. Assess and validate the initial project designs and relevance; whether the project designs were feasible and whether their objectives are still relevant under the current context.
3. Assess the institutional and implementation arrangements and their suitability for the successful attainment of the projects’ objectives; including an assessment of the operational policies of the stakeholder organizations; whether or not they support the institutional and implementation arrangements.
4. Assess the managerial competencies, capabilities and innovation at all levels in the implementation of the project.
5. Assess the sustainability of outputs and the identified “exit strategies”;
6. Assess the monitoring and evaluation system (including review and comparison of project performance indicators with corporate performance indicators; i.e the UNDP and UNCDF Strategic Results Frameworks- SRF)
7. Draw critical lessons learned about project design, implementation and management; and make recommendations to improve them.
8. Recommend ways in which the Govt. of Zambia, UNDP and UNCDF can respectively support decentralization in Zambia after the project ends; specifically, what role can UNDP and the UNCDF Regional Technical Advisor play to support decentralization in Zambia?

While providing all stakeholders with an external, objective assessment on the performance of the projects, the main findings or conclusions will help UNCDF, UNDP and the Government of Zambia understand key issues and problems that need to be addressed, as well as strengths that need to be further enhanced, in future work in these sectors.

Key Issues

FRP

As the FRP project is a pilot for the introduction of labor-based technology for road construction, and the establishment of maintenance systems for the roads, a primary focus of the evaluation should be to assess the development and use of labor-based technology in Zambia, as well as an assessment of the capacities of local authorities at both provincial and district levels in the areas of planning, management and technical know-how in road management and maintenance.

DDP

As the DDP is a pilot to assist the Government of Zambia refine policies and generate lessons and experiences for further development of programmes that support decentralized local governance and poverty reduction, a primary focus of the evaluation should be to undertake an institutional analysis of the ability of the center, districts and communities to manage and implement a decentralized fiscal system.

V. EVALUATION METHODOLOGY

The mission will be carried out in the following way:

1. HQ Briefing

A briefing of the team-leader at UNCDF headquarters. Relevant documentation will be provided to the team members prior to the mission.

2. Review of relevant project documents and files

As there has been several evaluation and study missions conducted recently that are related to this project, the evaluation team should utilise the data and information already available from these missions. Critical documents include -

- i. Project documents for both projects
- ii. Project Reports – Quarterly Reports, Annual Progress Reports, Audit reports, Terminal report (Nov. 2001), etc.
- iii. Inception reports for both projects (DDP & DFR)
- iv. Reports on Lessons Learned from the DDP (Dec 2001) and FRP (May 2001).
- v. Aide Memoires related to Ms. Hitomi Komatsu's (Programme Manager) missions.
- vi. Mid-Term Evaluation Reports
- vii. UNCDF Strategy for Policy Impact and Replication
- viii. Taking Risks, UNCDF (September 1999)
- ix. Taking Risks: Background Papers. UNCDF (September 1999)
- x. UNCDF Policy on Poverty Reduction & Local Governance: The Way Forward.

3. Establishment of Evaluation Methodology and Workplan

At the beginning of the mission, the team leader should consult with the other team members and propose a detailed methodology on how to proceed with the

evaluation; i.e. the feasibility of sample surveys, participatory learning and action/participatory rural appraisal (PLA/PRA), focus-group discussions, etc. The team leader and the team members should produce on the 2nd day the Evaluation Methodology and Workplan, outlining the methodology to be used for the review and the workplan. This should include the tasks to be performed by the different team members, a time schedule for the mission and a table of contents for the evaluation report. See PART II Detailed Terms of Reference. In preparation for their information gathering activities, the team may wish to prepare Participation facilitation materials to aid their consultation of the various project stakeholders; i.e. questionnaires, survey forms, PRA materials, etc

4. In-Country Consultations

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. The staff of UNDP/UNCDF Zambia and Ministry of Local Government and Housing will assist the team.

Field trips and site visits to conduct the evaluation will be planned in consultation with UNDP, Government of Zambia and project staff, to meet with the relevant project-related authorities and the beneficiaries/users, and if possible, population groups outside the project areas for comparison purposes. The mission should visit an appropriate, representative sample of Districts and communities. The mission will conduct 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 decentralization; and project staff. The team will also contact VNG in the Netherlands for their feedback on the support they provide to the project. Wherever possible, all evaluation data should be disaggregated by gender.

5. Drafting of Aide Memoire

On the basis of their findings, the mission should draft an Aide Memoire, which will be shared with key stakeholders (Govt. of Zambia, UNDP/UNCDF in Zambia and HQ, and other relevant partners) prior to the mission "wrap-up" meeting, where stakeholders can comment on the missions' findings.

6. Mission Wrap-Up meeting

The Mission Wrap-Up meeting is held and comments from participants are noted for incorporation into the final report. The UNCDF PO should record the minutes of this meeting for submission to the mission, all relevant stakeholders, and UNCDF HQ.

7. In-country Debriefing session with the UNDP Resident Representative and Govt. of Zambia focal point

8. Debriefing of UNCDF HQ in New York by the team leader

9. Finalization of the Report

VI. ORGANIZATION OF THE MISSION

A. Composition of the Mission

The Final Evaluation is to be conducted by a team of 4 - a Decentralized Planning and Policy expert, a Roads Engineer/Infrastructure expert, a Planning and Financing Systems expert, and a Gender/Participation expert.

The Decentralized Planning and Policy Expert (Team Leader) should be an international consultant with extensive rural development experience, especially in decentralization policy development and local governance institutions in Africa, including the workings of center-to-local fiscal transfer systems. S/he should also have applied experience with LFA (Logical Framework Analysis). Familiarity with Zambia would be an advantage. In addition s/he should have excellent team-management and writing skills. The DDP Expert is responsible for the DDP report.

The Roads Engineer/Infrastructure Expert should be a qualified roads/civil engineer. S/he should have experience with rural roads and infrastructure construction projects and is able to conduct qualitative and quantitative technical assessments and costs appraisals of the roads and infrastructure built by the project, as well as assess the viability of the operations and maintenance systems in place. Familiarity with labor/community based construction, management, operations and maintenance is required. The Roads Expert is responsible for the FRP report.

The Planning and Financing Systems Expert should have strong experience in the development and operation of decentralized systems of planning and financing at province, district and sub-district levels. S/he should also have a sound knowledge of participatory planning and community financing and maintenance systems. Substantial knowledge of the local government planning and service delivery system would be an advantage. The Planning and Financing Systems expert will assess both the planning and financing systems of the FRP and the DDP and provide the appropriate inputs for both reports.

The Gender/Participation Expert should be specialised in Gender studies, with experience in gender impact assessment, designing gender mainstreaming activities and knowledgeable about gender issues in the Zambian context. She should also have experience in participatory planning systems and is familiar with participatory appraisal tools (Rapid Rural Appraisal (RRA), Participatory Rural Appraisal (PRA) Participatory Learning Appraisal (PLA) and Focus Group Discussion (FGD) technique. Substantial knowledge of the local council planning and service delivery system would be an advantage. The Gender/Participation expert will assess gender and participation issues in both FRP and DDP and provide the appropriate inputs for both reports.

B. Duration of the Mission

The assignment will be undertaken in March/April 2002; field work will begin **XXXXX** and be completed by **XXXX**, and the draft report should be available by **XXXXX**. The mission will require a total of 85-89 person-days (i.e. 25-29 work-days for the team leader, 20 work-days per team member. (i.e. all team members have 12-16 days for information gathering, discussion and meetings, and 5 days for report writing. Team leader has extra 3 days for report compilation and finalization and 2 days for HQ debriefings.)

Specifically, the (tentative) schedule is as follows-

XXXX - Briefing and orientation of 1 day at UNCDF headquarters for the team-leader;
XXXXX – 15-19 days of in-country evaluation work (3 days orientation and desk-review followed by 12-16 days field work);

XXX - 2 days for Aide Memoire preparation and Evaluation Mission Wrap-Up meeting

XXXX - 3 days report drafting;
1 day debriefing by the mission leader at UNCDF headquarters (date to be arranged);
3 days to incorporate feedback received during debriefing (NY).

VII. REPORTING

The Consultants shall work as a team and report to UNCDF Evaluation Unit. In the field, the mission should report to the UNCDF representative (i.e. the Resident Representative UNDP or his appointee).

The detailed **Evaluation Methodology and Workplan Proposal** should be submitted on the second day of the mission to the UNCDF Programme Officer and shared with the Evaluation Unit. This is a brief proposal regarding his/her understanding and interpretation of the ToR and overall evaluation. This will also include the proposed methodology and break down of the work programme and technical requirements..

Near the end of the mission (upon completion of information gathering and assessment), the mission should draft an **Aide Memoire** briefly stating their key findings. Ideally, time should have been allowed for discussion of findings in the field with the project beneficiaries during the in-field consultations.

The Aide Memoire becomes the basis of discussions at the **Evaluation Wrap-Up meeting, tentatively scheduled for XXXXXX**, to which representatives of key stakeholders are invited. UNCDF HQ should receive a copy of the Aide Memoire as well prior to the meeting. At the Wrap Up meeting, the mission should discuss its main findings and recommendations with the UNDP Resident Representative, government authorities, and other project partners concerned. While the consultants are free to raise any subject relevant to the evaluation of the project, the mission is not empowered to make any commitments on behalf of UNCDF.

The **Minutes of the Evaluation Wrap-Up Meeting** is to be prepared by the UNCDF Programme Officer and submitted to the mission team, all relevant stakeholders, and the Evaluation Unit at UNCDF HQ

The comments of the Government, the UNDP Resident Representative, and other relevant stakeholders on the Aide Memoir and at the Wrap Up meeting should be incorporated or addressed appropriately in the **Draft Evaluation Report**. The mission should submit the Draft Evaluation Report by **XXXXXXXX** after completion of the Evaluation Wrap-up meeting. An electronic version of the Evaluation report, including the "summary of project evaluation", (in Microsoft Word 6 format) should be submitted to UNCDF headquarters for review and comments. The team leader will conduct an Evaluation Debriefing of UNCDF HQ at a date to be arranged.

After the Evaluation Debriefing, the team leader should then finalise the **Final Evaluation Report and Summary** as per the format outlined in Part II, including the Evaluation Summary, which should be prepared as per the outline below (See outline as per Part II. 1. ix). The team leader should also prepare an **Evaluation Follow-Up Matrix** which contains all the main recommendations, proposed actions, responsibilities and timelines.

One bound copy and an electronic version of the report containing summary, matrix and relevant annexes should be submitted to UNCDF-HQ. UNCDF-HQ will share with the Zambia Country Office for distribution to all parties concerned.

In summary, the outputs required of the evaluation team are -

1. **Evaluation Methodology and Workplan**
2. **Aide Memoire**
3. **Evaluation Report and Evaluation Summary**
4. **Evaluation Follow-Up Matrix**

VIII. MISSION COSTS AND FINANCING

The costs of the mission will be charged to ZAM/93/CO1 and ZAM/93/CO2 budget line 16.02 (mission costs). The final payment of fees will be paid only upon acceptance by UNCDF of the final evaluation report with 50% of the agreed amount upon acceptance of the draft evaluation report.

IX. FORMAT FOR THE EVALUATION REPORT

The evaluation report should follow the outline provided in Part II: Detailed Terms of Reference

PART II: DETAILED TERMS OF REFERENCE

1. Contents of the Evaluation Report

There should be two evaluation reports; i.e. one focused on the FRP and one on the DDP. Each report should contain the following items:

- i. Table of contents
- ii. Executive Summary, 2-3 pages providing an overview of the report, and a summary of the main findings and recommendations.
- iii. List of abbreviations
- iv. Project data sheet, providing key facts and figures on a single page
- v. Introduction to the Evaluation, briefly stating the purpose of the mission, composition of the evaluation team, a schedule of activities carried out, the methodology used, and the structure of the report.
- vi. Chapters as per sections 2 outlined below
- vii. List of persons interviewed
- viii. List of documents and references used in the evaluation
- ix. An **Evaluation Summary**; a 4-5 page annex to the main report. This is distinct from the Executive Summary, and should serve as a self-contained summary that may be read without reference to the main report. The evaluation summary should follow the this outline:
 - a. Basic project data
 - b. Background of the project
 - c. Description of the project
 - d. Purpose of the evaluation
 - e. Findings of the evaluation mission
 - f. Assessment of the project design
 - g. Policy implications and lessons learned
 - h. Recommendations of the mission
 - i. Members of the evaluation team
- x. An **Evaluation Follow-Up Matrix**; a matrix containing all the key recommended actions, and indicating the responsible parties and timelines, which will be used by the UNCDF Programme Manager as a monitoring tool for compliance.

UNCDF will provide examples of Evaluation Reports and Summaries and the Evaluation Follow-Up Matrix to the team leader.

2. EVALUATION REPORT CHAPTERS

Unless specified, the following applies to both reports.

A. INTRODUCTION AND BACKGROUND

The evaluation reports should include a brief description and overview of the projects from inception to the present, focussing on changes that may have occurred since inception. It should indicate briefly:

The country and sector; the situation existing at the time the project started; selected data to illustrate prevailing conditions in the areas targeted by the project; the origin and evolution of the project. The project rationale; the substantive approach; the development objectives; immediate objectives; expected results (outputs); activities; project inputs; implementation arrangements; costs and financing, including the Government's funding commitments; plan of operations; and arrangement for monitoring and evaluation (M&E).

B. PROJECT DESIGN AND RELEVANCE

Design

- i. *Assess the approach adopted to solve the problems identified in the project document. Is it the most effective? Specifically, in the **FRP** - Comment on the technical options chosen; i.e. labour-based instead of capital-intensive methods of road construction, and comment on the consequences the technology choice will have on the overall development objective.*
- ii. *Are the objectives and outputs well defined, realistic and quantifiable?*
- iii. *Are beneficiaries and users of project results properly identified?*
- iv. *Assess the planned sequence of implementation of activities vis-à-vis supporting implementation arrangement such as allocation of funds (amount, channel of disbursement, accountability), and staff requirements. Establish the extent to which achievement of the activities envisaged is commensurate to logistical arrangements (vehicle and office equipment)*
- v. In the **DDP**, Assess the design of the current planning and financing strategies for the province, district and sub-district levels;
Specifically, assess -
 - the appropriateness of the planning roles (i.e. which is the appropriate district planning level – district or sub-district?),
 - the participatory approaches used (i.e. , the linkage between the sub-district level participatory planning approaches and the district and province level planning processes; are they complementary and consistent?)
 - the process of fund allocation (including a review of the allocation formulas; whether they are poverty and gender sensitive).

Relevance

- i. Assess the relevance of the projects and their strategy given the current context. Are the objectives realistic and appropriate given the current context?
- ii. Particular attention should be given to assessing the relevance of the DDP given the implementation of the Local Government component of the Public Service Reform Programme (PSRP), the Public Service Capacity Building programme launched in 2000, and the current (new?) policy environment.

C. STATUS AND PERFORMANCE OF IMPLEMENTATION

Describe all facts that reflect the status and performance of implementation.

i. Status of Input Delivery

The factual delivery of project inputs and implementation of project processes versus the planned inputs and processes should be documented, describing the procedures, activities, and timing, of the different project stages; covering briefly formulation and inception, but focused mainly on implementation, including the operational processes therein. In this respect, the quality and timeliness of inputs of the various parties to the project should be assessed. The evaluation should assess factors, both internal and external to the projects, which have contributed to or limited the efficiency of input delivery.

In addition, the following information should be documented and assessed -

- Financial Information:

Financial contribution of each partner, total disbursements and utilization of funds; including related, complementary support, such as the Government of Zambia funding of road management. This should include a discussion of the procedures involved and the timeliness of funding.

- Equipment

Review the inventory of project-related equipment, construction materials, spare parts and facilities (number, type of equipment, location, etc.); including an

assessment of the quality of the equipment and tools procured, appropriateness of construction materials, timeliness of delivery, and actual use on site, their working condition, procurement methods, availability of service and repair, contracting systems and documents, and the quality and adequacy of their maintenance, operation and related loan agreements and credits.

ii. Programme Management and Systems Performance

This section of the report should provide an evaluation of the means, processes and procedures used to implement the projects, and its overall performance in terms of economic efficiency, equity, transparency, timeliness, participation and effective management. This includes, specifically, assessment of the implementation arrangements, management systems, the administrative procedures, and overall teamwork of the projects. The mission should highlight and describe any changes in the actual mode of implementation compared with that specified in the project documents.

a. Implementation Arrangements

1. Assess the implementation arrangements in terms of its effectiveness and efficiency for project management.
2. Assess the respective roles and responsibilities of, and the relationship and coordination mechanism between the implementing agents; PPU, the DPO, the DDDC, MLGH, ILO, VNG, UNDP/UNCDF in Zambia and UNCDF.
3. Assess the flexibility and responsiveness of the management to change.
4. Assess the effectiveness of the integration of the planning and financial processes of the FRP and the DDP in the MLGH.

b. Management systems

1. Assess the overall effectiveness of project management; i.e. management capacity, quality of work-planning, supervision of staff outputs, staff performance appraisal and feedback, competency development planning, management style, management-staff relations, competency and innovation in implementation of the projects, staff qualifications and its relation/impact on the quality of outputs produced.
2. Assess the accountability of project management to donors, government and other stakeholders; e.g. is there regular reporting and communication between project and stakeholders, etc.
3. Assess the quality (adequacy) of the project financial management systems.

c. Procedures

1. Assess the quality (adequacy) of the project personnel recruitment, contracting and procurement procedures and documents and forms developed.
2. Assess the efficiency of the procedures for financial disbursements established under the projects.

iii. Operational Issues

1. Assess the demographics of the work force composition, working conditions, salaries, safety, etc.
2. Assess the appropriateness of rates paid for work done, and whether there have been any adjustments to task rates following experience gained on site
3. Where relevant (FRP), assess the adequacy of the management and organization of the worker camps/construction sites (number of workers, mechanics, supervisors, security, facilities etc).
4. Under the FRP, assess the modalities established for the operation of the road rehabilitation/maintenance works carried out

iv. Monitoring and Evaluation

The evaluation should assess the status and effectiveness of the project Monitoring and Evaluation system. Specifically, the system as it exists should be described, with special attention to both operational M&E as well as to the monitoring and evaluation of project results.

For operational M&E -

- Assess the effectiveness of the existing monitoring system for work supervision and regular reporting purposes; with attention to the linkages between the individual workplans and the project workplans.
- Assess the effectiveness of the monitoring system for quality control of inputs and outputs, in relation to road and infrastructure construction as well as capacity building activities
- Assess the adequacy of the inventory monitoring system

For the M&E of Project Results

- Verify the availability and quality of baseline information
 - Assess the relevance of agreed upon indicators and the level of their acceptance as well as extent to which other key actors are aware of and agree with them
 - Review and compare project performance indicators with corporate performance indicators; i.e the UNDP and UNCDF Strategic Results Framework
 - Check on the regularity and accuracy of data collection
 - Comment on the usefulness and extent of actual use of M&E data collected by project staff, key actors and beneficiaries
5. Assess the strengths and weaknesses of the current monitoring and evaluation system with view to ensure improved service delivery and capability of learning from experiences and best practices.

D. RESULTS

This section provides a discussion of the results - the outputs attained by the projects, and the potential attainment of outcomes and impact.

i. Outputs

The results attained so far should be presented with regard to delivery of all outputs (both physical and process oriented); timeliness, quantity and quality, costs, utilization of outputs, etc.

The evaluators should describe the outputs relative to targets in the project document and workplans, using the established performance indicators as well as any additional relevant indicators.

The outputs of both projects may be categorized accordingly -

1. Physical Infrastructure
2. Capacity Building
3. Institutionalization of Procedures

a. Physical Infrastructure

FRP

Under the FRP, the total length (kilometers) of roads rehabilitated and under regular maintenance should be compared with the targets originally set. Production rates, time and cost per kilometer, work days generated (male/female), etc., should be presented graphically by District. Also, the quality of rehabilitated and maintained roads should be assessed.

DDP

Under the DDP, the number and type of micro-projects should be enumerated and the quality assessed, including assessment of cost-effectiveness, timeliness of construction, workdays generated, etc. Similarly, this should be presented graphically by District.

For both, cost comparisons should be made where possible between project implementation and the relevant comparator rates.

In addition, analyze the types of infrastructure being funded under the DDP to identify sectoral trends, consistency with anticipated demand (e.g. jetties for fisher-folk, demand for micro-credit schemes, etc.), and preferences between private and public infrastructure.

b. Capacity building

a. Training

Information on the following activities should be documented and their quality assessed.

- the number and type of training for small-scale private rehabilitation and maintenance contractors to carry out labour-based road works or infrastructure construction.
- number and type of training for District Council staff
- the field training, mentoring and supervision of contractors
- the contribution of on-the-job, or on-site training of contractors
- the appropriateness of the training provided (including training methodology and approach)
- the appropriateness of training for the District Personnel
- effectiveness of on the job training - training
- does project maximize the use of locally available resources for capacity building

b. Technical Assistance

Assess the relevance and quality of the various types of technical assistance provided by the project, from different sources - UNCDF, UNDP, and other partner agencies. (Duration, number of people, subjects, costs, the method of transfer of technology.

c. Institutionalization of Procedures/Systems

- Assess the appropriateness of the selection and recruitment process of private contractors
- Assess the appropriateness (cost, utilization) of the road and micro-project selection criteria, construction design standards, the construction methodology and the work-plans.
- Assess the system for disseminating information and sensitization of villagers who have access to the micro-projects or the road
- Assess the effectiveness of the private/public partnership for service delivery
- Assess the quality and adequacy at district level of maintenance and operation for roads and infrastructure completed.

In all the above assessment of outputs, the relevant indicators should be specified and reviewed. (This should include a comparison with corporate indicators as specified in the UNCDF Strategic Results Framework. Please note that the results levels in the SRF may be different from that of the project. Nevertheless, the important thing is to compare the indicators, regardless of the results level where they are placed).

The evaluators should then assess the progress in achieving the outputs in relation to the potential for attaining the immediate and development objectives as stated in the project document.

ii. Immediate Objectives)

The mission should assess the likelihood of the projects attaining their immediate objectives.

FRP

The evaluators should –

- Assess whether or not the system established for long-term maintenance for the rehabilitated rural roads is in operation and sustainable.
- Assess the capacities of local authorities at both provincial and district levels in the areas of planning, management and technical know-how, and also assess whether or not they will be able to work competently and independently with the completion of the project.

DDP

The evaluators should –

- Assess the status of the development of the national decentralization policy and implementation process.
- Assess the capacity of district councils to produce sustainable infrastructure using decentralized fiscal transfers of discretionary and conditional grants, participatory development planning, and localized production arrangements in Eastern Province.

Specific issues to be considered -

a. Institutionalization and Sustainability of the FRP and the DDP

With regard to the issues of institutionalization and sustainability, which applies to both projects' outcomes, it should be noted that institutionalization and sustainability is defined as introducing something that is qualitatively new, by way of institutional practices or organizational arrangement, such that it can be sustained as a normal part of those practices and arrangements. This definition also includes resource investment and maintenance. In this section, assess the prospects and conditions for future sustainability of the projects outcomes and their related effects (technically, financially, institutionally and otherwise). The issues that have implications for the sustainability of the results of the two projects are -

Policy Environment

- The evaluators should refer to the UNCDF Strategy Paper for Policy Impact and Replication as the framework to review and assess the policy environment to determine if it is conducive for attainment of the projects goals; i.e. assess the extent to which policies are supportive or are a deterrent for project implementation. Relevant donor policies (including UNCDF and UNDP policies) should be reviewed as well as government policies. Specific attention should be given to the linkages, or lack thereof, between the PSRP and the DDP, at the District, as well as Provincial and National level.

Institutional Issues

- Review the institutional bottlenecks of the central and district administration that are affecting the effectiveness of the projects in the context of its overall objective
- Assess the ownership and actual support provided by relevant central and local government officials for the FRP and the DDP; e.g. assess understanding and ownership of the projects by officials at all levels; indicate actual supportive

actions taken, timeliness of support, etc; e.g. are officials that are trained by the project retained in relevant positions to utilize their training?

Sustainability of Financing

- Assess local financing of capacity building; percentage of capacity building / training costs covered by the Districts, central government or any other alternative source.
- Assess the potential of local financing for operations and maintenance.
- Assess the relationship between the FRP and the National Roads Fund (NRF) and the sustainability of NRF financed maintenance after project completion.

Replicability

- Again, with reference to the UNCDF Strategy Paper for Policy Impact and Replication, assess the replicability of the project interventions

b. Operational Capacity

The operational capacity of the Government to manage and implement the various systems and procedures put in place by the projects is a critical issue.

The evaluators should -

- Assess the capacity and efficiency of the Government to manage and implement the project, the suitability and availability of staff in the PPU, the District Councils and their motivation (civil service, salaries), the quality and timeliness of reporting (progress, audit etc.)
- Assess the technical supervision, financial management, staff management, equipment operation and repair of equipment capacity of district supervisors
- Assess the district, village and community capacity to continuously deliver on and maintain rehabilitated roads, infrastructure and other goods and services, including covering of recurrent costs by local or other resources.
- Assess the motivation and availability of staff in the Districts responsible for the maintenance of the roads rehabilitated and infrastructure constructed.
- Assess the technical, financial and managerial capacity, and the performance and operation of contractors
- Assess the suitability, quality, efficiency and durability of the technical assistance provided by UNDP, UNCDF and other technical assistance providers, including the quality and suitability of the experts and the training methods utilized;

iii. Impact -

Impact assessment may not be possible at this point, however, the evaluation team should assess the potential impact on poverty (measured broadly by human development and other relevant socio-economic indicators) by the project activities and results attained so far. The evaluation team should also, assess the availability of village level socio-economic data, comment on the availability or quality (if available) of baseline data for future impact assessment, and make recommendations for work that needs to be done to support future impact assessment. This would involve a review of data on changes in quality of life indicators as basis for the socio-economic impact analysis. . It is important that, wherever possible, all data gathered should be disaggregated by gender, socio-economic and social groupings.

Examples -

- Assess whether and how the inclusive participation, efficiency and effectiveness of the local governments have enhanced improved delivery of services and accountability in general.
- Assess how the project has enabled the institutionalization of dialogue between the communities, civil society, private sector and the local governments.

- Assess the progress made by the Project in empowering different categories of civil society in local governance and development management.

E. OTHER ISSUES

i. Gender issues in the SDP

The mission should assess the extent to which gender issues are mainstreamed into the project, and identify issues that need to be addressed -

For example - the following should be reviewed -

- How do men and women feature in the decentralization policy
- How do men and women feature in the implementation of the decentralization policy as piloted in the project? For instance, how does the local level project formulation, establishment and implementation phases take into account the different needs of women and men, so that both can serve in a complementary manner to enhance the outputs of the project? What are the strength and gaps?
- To what degree has the project and the local level planning process facilitated dialogue between women and local governments and to what degree are District and Village administration responsive to the needs of women and gender issues.

ii. Partnerships and Coordination Role of the Project

The evaluation should assess the nature and quality of the partnerships the project has forged with local actors, as well as the effectiveness of the coordination role the project plays in aligning the efforts of different players towards the project objectives. This should not be limited to government and donor partners, but should include a discussion of the role of civil society partners.

iii. Externalities/spillovers

The mission should assess whether there were any externalities which effect the project negatively or positively,; for example, are there any adverse effects on the environment due to project activities? This review of externalities should include an examination of the implementation of other projects which have implications to the project.

iv. Any other issues identified

The evaluation should raise here any other critical issues that need to be addressed.

F.CONCLUSION: KEY FINDINGS AND RECOMMENDATIONS -

In reference to the above sections C, D and E, state the key findings and recommendations relevant to solve or improve the current situation. In addition, the evaluation should also extract policy lessons learned that will be discussed with the Government, be incorporated in the operation of the project, and be useful for the development of future projects in these sectors.

Annex 4
Schedule for the DDP/FRP Final Evaluation Mission

Date/Day	District to Visit	Stakeholders Meetings	Type of Meeting ⁷
Mon-Wed	Desk Review		
Thursday	Meetings:	See separate meeting schedule below	
Friday	TPM: Field Visits, Scheduling	See separate meeting schedule below	
24 th : Sunday	Travel to Chipata		
25 th : Monday	Chipata	<u>Project Staff</u> -PM, FMA, NRE, DPIA, CPIA, FAO -Agricultural Private sector -small group (3) of LB consultants /contractors	Individual & Group Meetings
26 th : Tuesday	Lundazi	<u>District Level:</u> -Councillors -Officers -DDCC -Civil Society/NGOs -Private Sector ⁸ <u>Community Level:</u> -ADCs -NGOs/CBOs -Women Groups <u>Village Level:</u> -Beneficiaries ⁹ -Self-help Initiatives ¹⁰	-Focus Groups & Key informant meetings
27 th : Wednesday	Chipata	<u>Provincial Level:</u> Dep. PRE, PCW, -FRP-Project staff -LB Consultants /contractors -ZAMSIF	-Focus Groups & Key informant meetings
28 th : Thursday	Chadiza	District & Community	Same as Lundazi
29 th : Friday	Chipata	<u>Provincial level:</u> PLGO,	Complete meetings
	Travel to Petauke	District Council	Same as Lundazi
30 th : Saturday	Petauke	Community Level	Same as Lundazi

⁷ Key Informant = Individual Meetings; Focus or Group Meetings = More than One person

⁸ Ranging from Building Contractors, Transport Operators, to Service Providers

⁹ Beneficiaries: those employed in road and micro projects, ordinary people at village level (not adjacent to the town) who use the socioeconomic infrastructure, Kiosk owners

¹⁰ Self-Help Groups in e.g. community road repairs, building of schools/wells/health facilities

Date/Day	District to Visit	Stakeholders Meetings	Type of Meeting ⁷
	Travel to Lusaka		
31 st : Sunday	Lusaka		

Date/Day	District to Visit	Stakeholders Meetings	Type of Meeting ¹¹
1 st : Monday	Meetings & Write-up	See separate meeting schedule below	
2 nd : Tuesday	“		
3 rd : Wednesday	“		
4 th : Thursday	In house debriefing	Discuss initial findings and revise accordingly for final presentation on 8 th at MLGH	
5 th : Friday	Meetings and revisions		
6 th : Saturday	Revisions		
7 th : Sunday	Revisions		
8 th : Monday	Mission Wrap-Up Meeting ¹²		
9 th : Tuesday	Team Review Meeting/Jane Departs		
10 th : Wednesday	Revisions/		
11 th : Thursday	Rosern Departs		

¹¹ Key Informant = Individual Meetings; Focus or Group Meetings = More than One person

¹² To be attended by District, Provincial, National Stakeholders and Donor Representatives

Annex 5
FRP Interview Schedule and List of Persons Met

Date	Time	Name	Title	Organisation
18/03/02	8.30	Mr. G. C. Chilufya	Programme Analyst Governance	UNDP/UNCDF
18-20 /03/02		Continuing document review, awaiting arrival of team leader, and setting up of appointments ¹³		
21/03/02	8.30	Mr. D. P. Zulu Mr. P. Choolwe	Senior Transport Economist Principal Transport Economist	Ministry of Communications and Transport (MOCT)
21/03/02	9.15	Mr. P. Lubambo	Director	Department for Infrastructure and Support Services (DISS) of the Ministry of Local Government and Housing (MLGH)
21/03/02	10.00	Mr. N. Siame	Senior Engineer Roads	Feeder Roads Section (FRS) of the DISS, MLGH
21/03/02	11.30	Mr. I. P. Manda Mr. G. Phiri Mr. H.D: Zulu Mr. A. Mwanza Mr. E. Kamoto Mr. N. Kabwe Mrs. M. B. Manda	Chairman Member Member Member Member Member	Eastern Province Labour-based Road Contractors Association (EPLBRCA)
21/03/02	15.00	Mr. N. Gananadha Mr. R. Mawenga	Executive Secretary and RMI Consultant Highway Engineer	National Roads Board
22/03/02	11.00	Mr. M. Akolwa	Director (Purchasing Works)	Zambia National Tender Board
22/03/02	13.30	Mr. L. Ndaba- Hagame	Country Director	International Labour Organisation (ILO)
24 to 30 /03/02		Eastern Province – see separate meeting lists		
02/04/02	14.30	Mr. L. Motlana	Deputy resident representative	UNDP
02/04/02	16.00	Mr. C-E Hedstrom	Project Co-ordinator /CTA Labour-Based Techniques	Road Sector Programme Roads Training School (MOWS)
02/04/02	17.30	Mr. R. Ndhlovu	Director of Works	Petauke District Council
03/04/02	8.30	Dr. M.S. Mashambe	Executive Secretary	National council for Construction

¹³ The team leader had been expected to arrive on the Tuesday 19th, however this was delayed until Thursday 21st. Due to a difficulty in the UNDP e-mail system, this news did not reach the team until midday on the 19th. It was thus decided to try and arrange FRP meetings rather than wait for the team leader. However it was not easy to secure meetings at short notice, especially as the Zambian Parliament was in session.

<i>Date</i>	<i>Time</i>	<i>Name</i>	<i>Title</i>	<i>Organisation</i>
03/04/02	11.00	Prof. V. R. N. Chinene	Programme Co-ordinator	Smallholder Enterprises and Marketing Programme (SHEMP)
03/04/02	12.00	Ms. S. Olsen	Minister Counsellor	Royal Danish Embassy
03/04/02	14.00	Mr. B. Hunnestad	Second Secretary Infrastructure	Royal Norwegian Embassy
03/04/02	15.00	Mr. F. Mwalusaka	Ex-National Roads Engineer	Eastern Province Feeder Roads Project
03/04/02	16.00	Mr. L. Zulu	Managing Director	Zulu Burrow Ltd. Integrated Engineering and Development consultants
04/04/02	14.30	Ms. B. M. Mumba	Procurement Specialist (& Infrastructure)	World Bank
04/04/02	15.30	Ms. P. Ciccarelli	Civil Engineering Advisor	European Union
04/04/02	17.00	Mr. L. Motlana Mr. M. Soko Mr. G. C. Chilufya	Deputy resident representative Governance Governance	UNDP (In house Debriefing)
06/04/02		Mr. T. Stenstrom Mr. D. Sahle	Technical Advisor S. Technical Advisor	ILO/ASIST
07/04/02	15.00	Team presentation to NCC and invited guests - MLGH		

List of L-B Contractors met either in Lusaka or in Eastern Province

<i>Name</i>	<i>Contracting Company</i>
Mr. I. P. Manda	Kawaye Chataya GDC Ltd.
Mr. G. Phiri	Libean Contractors Ltd.
Mr. H. D. Zulu	Mtondo Building Contractors Ltd.
Mrs. M. B. Manda	Kalumbu Contractors Ltd.
Mr. A. Mwanza	Rapid Construction Company Ltd.
Mr. E. Kamoto	Wheeltrax Contractors Ltd.
Mr. N. Kabwe	Camper Construction Ltd.
Mr. D. Kapenda	Domlanka Contractors
Mr. A. Banda	Hambert Contractors Ltd
Mr. P. Zulu	Ansel General Dealers
Mr. D. Ngoma	J.A. and K.R. Contractor
Mr. N. Kabwe	Camber Construction

List of Project Staff met

<i>Name</i>	<i>Position</i>
Mr. A. S. Sakwiya	Project Manager DDP/FRP
Mr. E. Kapamba	Financial Management Advisor - DDP
Mr. D. Nkhata	Community Participatory Planning Advisor - DDP
Mr. F. K. Siyunyi	District Planning and implementation Advisor - DDP
Mr. S. Tembo	Formerly TA – FRP Presently Production Engineer II - DDP
Mr. W. K. Chisanga	Production Engineer I - DDP
Mr. P. Mutimushi	Technical Officer - DDP
Mr. M. Banda	Finance / Administration Officer
Ms. M. Jiagaba	Administration Assistant I
Ms. K. Chisanga Mishengo	Administrative Assistant II

Other Key informants

<i>Name</i>	<i>Organisation</i>	<i>Position</i>
Mr. G. Musonda	Deven consult	Consultant
Mr. N. C. Kwalomboto	Clark Cotton Co.	Agricultural Manager
Mr. T.Y. Phiri	Chipata Municipal Council	Engineering Assistant
Mr. S. Mwanza	ZAMSIF	Regional Facilitator E.P.

Additional Focus Group Discussions

	<i>District</i>	<i>Location</i>
Focus Group	Lundazi	Lundazi – Mwase Feeder Road
Focus Group	Chadiza	Chadiza – Tafelansoni Feeder Road
Mini-Focus Group	Petauke	Chilazida Road – Culvert Construction - DDP
Focus Group	Petauke	Sichilima – Sasali Feeder Road

Lundazi District

<i>Name</i>	<i>Organisation</i>	<i>Position</i>
Mr. D. J. Sikazwe	District Council	Council Secretary
Mr. E. Sikacheja	District Council	Deputy Council Secretary
Mr. D. Msimuko	District Council	District Planning Officer
Mr. E. D. Phiri	District Council	Treasurer
Mr. F. Sikwanza	District Council	Acting Director of Works
Mr. B. F. Nkhoma	District Council	Officer-in-charge, Water

District Development Consultative Committee

<i>Name</i>	<i>Organisation</i>	<i>Position</i>
Mr. F. L. A. Moyo	DAO	District Administrator
Mr. D. J. Sikazwe	District Council	Council Secretary
Mr. D. Msimuko	District Council	District Planning Officer
Mr. A Muwewe	Min. of Education	Chief Education officer
Mr. H. G. Mphande	Statistics	Statistical Officer
Mr. E. B. Lungu	Min. of Agric. & Coop.	District Agricultural Co-ordinator.
Mr. J. C: Tumeyo	MACO	S.L.O.?
Mr. P. Chilulani	Zambian Police	Officer in Charge?
Mr. P. Banda	Zambian Police	Officer in Charge?
Mr. L. Sandashi	Junior Executive Officer	Office of the President
Mr. A.S.D. Mvula	Parish Clerk	Roman Catholic Church
Mr. B. J. Phiri	District Chairperson	Evidence for Human rights and Justice
Mr. D. Nyirenda	Senior Manager?	Radio Chikaya
Mr. A. Njazo	Assistant Manager	Dept. of Youth Development
Mr. A. M. Banda	Councillor	YWCA
Mr. M. P. Nyendwa	Buildings Dept.	District Works Supervisor
Mr. B. F. Nkhoma	District Council	Officer-in-Charge Works
Mr. E. D. Phiri	District Council	Treasurer
Mr. G. N. Chikunjiko	Thandizani	Chairman AIDS taskforce
Mr. M. Chavula	Rudep and Lungonet	Chairperson
Ms. R. C. Muyange	DWA - EPWDA	Chairperson
Mr D. S. Kasonga	District Council	Assistant District Planning Officer
Mr. J. Gondwe	Journalist	Eastern Voice

NGOs / CBOs / Women's Groups / Private Sector

<i>Name</i>	<i>Organisation</i>	<i>Position</i>
Mr. J. Mukuwa	PPAZ	Chairperson
Mr. M. Chavula	Rudep and Lungonet	Chairperson
Mr W. Mtonga	Evidence for Human Rights	
Mr. I. Chilupula	Care for Children in Need	
Mr B.B. Chirwa	Evidence for Human Rights	
Ms. B. Zulu	YWCA	President
Mr. M. Mulenga	Clark Cotton	Marketing officer
Mr. S. Sicalwe	Lutheran World Federation	
Ms. R. Muyanga	LDWA	
Ms. I. Zganmbo	Mukaya Home Based Care	

NGOs / CBOs / Women's Groups / Private Sector continued

<i>Name</i>	<i>Organisation</i>	<i>Position</i>
Ms. M. Nyendwa	Mukaya Home Based Care	
Mr R. Khondowe	LDBA	Chairperson
Mr. R. Nyendwa	Chikayar Station	
Mr. G. Chikunjiko	Thandizani CBPC	
Mr. A. Lungu	COCONET	
Ms. F. Ndhlovu	Women's Lobby	Chairperson
Ms. M. G. Tembo	Faweza & Widows Assoc.	

Chadiza District

<i>Name</i>	<i>Organisation</i>	<i>Position</i>
Mr. W. Mozah	DAO	District Administrator (DA)
Mr. Ngumbe	DAO	District Administrator's Office
Mr. R. Z. Chinjili	DAO	District Administrator's Office
Mr. J. W. Zulu	District Council	Council Secretary
Mr. S. G. Mutinta	District Council	Director of Works

<i>Name</i>	<i>Organisation</i>	<i>Position</i>
Mr. E. Moyo	ADC	Chairperson
Ms. A. Banda	ADC	Vice-Chairperson
Ms. M. Kasanga	ADC	Treasurer
Mr. P.M. Zulu	ADC	Member
Mr. T. Banda	ADC	Member

<i>Name</i>	<i>Organisation</i>	<i>Name of Organisatin</i>
Ms. M. Nyrenda	NGO	YWCA
M? Misozi Zulu	NGO	DWDA
Ms. D. Ngala Kapambo	NGO	WAAPO
Ms. D. Chipeta	NGO	WAAPO/YWCA

<i>Name</i>	<i>Organisation</i>	<i>Position</i>
Mr. W. A. Mozah	DDCC	DA Chairperson
Mr. W. Bwalya		Deputy Council Secretary
Mr. A. A. Zulu		District Treasurer
Mr. W. Tembo		Chairperson EHRJ
Mr. J. Zimba		Asst. District Manager LWF
Mr. D. D. Ndlovu		Magistrate
Mr. H. Mukulumoya		Agric Officer
Mr. K. T. Chirwa		Marketing and cooperatives officer
Ms. F. M. Tembo		D/ Chairperson WC Group
Mr. S. G. Mutinta		DoW
Mr. J. Ngalamina		Dist Agric Coordinator
Mr. L. Masamba		District Coordinator EEOA
Ms. L. Chinkubala		Prog. Coord. Plan International
Mr. A. A. Banda		President Redcross
Mr. P. Chisumpa		Assist Registrar NRC
Mr. W. Siwale		DEO

<i>Name</i>	<i>Organisation</i>	<i>Position</i>
M Mr. r. D. L. K. Palata	DDCC	OIC Immigration
B.A.Phiri		OIC Police
P. Mayamba		OIC Prison
Mr. S. Munshi		Chadiza Fashions
Mr. M. Ngulube		OIC OOP
Mr. C. R. Jere		DAO
Ms. M. Chipumbu		ADDRA Project

Petauke District

<i>Name</i>	<i>Organisation</i>	<i>Position</i>
Mr. A. Masenga	District Council	Council Secretary
Mr. O. N. Changwe	District Council	Deputy council Secretary
Mr. C. Phiri	District Council	Treasurer
Mr. E. chabu	District Council	Assistant District Planning Officer
Mr. B. Mbewe	District Council	District Environmental Facilitator

District Development Consultative Committee

<i>Name</i>	<i>Organisation</i>	<i>Position</i>
Mr. J. Pelekamoto	Min. of Education	
Mr. C. Phiri	District Council	
Mr. J. Lunga	District Council	
Mr. J. Samboko	District Council	
Mr. M. Tumba	Min. of Health	
Mr. E. Chabu	District Council	
Mr. J. L. Lungu	Min. of Works and Supplies	Buildings Department
Ms. V. S. Kamoela	District Council	
Mr. A. G. Masenga	District Council	
Mr. B. Mbewe	District Council	E.S.P.

Annex 6
FRP Staffing Schedule

FRP Staffing Schedule¹⁴

No	Name	Designation	Start date	Last date in post
1.	Project Manager	Alfred Sakwiya	Sept. '96	In Post
2.	Chief Technical Advisor	Frans Blokhuis	May, '96	Contract Expired May '99
3.	Technical Advisor/NRE I	Simon Tembo	Dec. '96	In Post
4.	NRE II	Kennedy Ndui	Mar. '97	Deceased Jul. '98
5.	NRE III	Fred Mwalusaka	Oct. '98	In Post

Support Unit shared with DDP

No	Name	Designation	Start date in post	Last date in post
2.	Finance/Admin. Officer	Charles Mulenga	Aug. '97	Left Dec. '99
3.	Finance/Admin. Officer	Terence Muchengwa	Mar. '2000	In Post
4.	Assistant FAO	Masauso Banda	Jul. '99	In Post
5.	Assistant Admin. Officer	Merylin Hamalambo	Mar. '97	Left May '99
6.	Assistant Admin. Officer	Rabecca Lusumpa	Sept. '99	In Post
7.	Secretary	Sheila Ibrahim	Oct. '97	Left Apr '99
6.	Secretary	Maria S. Phiri	Feb. '99	In Post
7.	Drivers	Patrick Banda	Jul '97	In Post
8.	Office Orderlies	Maria Banda	Jul '97	In Post

¹⁴ Taken from Terminal Report, Rehabilitation and Maintenance of Feeder Roads in Eastern Province of Zambia, projects no ZAM/93/009 and ZAM/93/CO2, December, 2001

Annex 7
Financial terminal Report

Rehabilitation and Maintenance of Feeder Roads in Eastern Province, Zambia

Duration of Projects: Five Years

Project Number: ZAM/93/009 & ZAM/93/CO2

ZAM/93/CO2 (UNCDF) Budget Revision J: US\$4,910,982.00

ZAM/93/009 (UNDP) Budget Revision M: US\$ 1,300,541.00

GRZ Contribution: US\$ 1,042,400.00

Project Cost and Financing: **US\$7,253,923.00**

1. Rehabilitation & Maintenance of Feeder Roads Project – ZAM/93/009

Below is schedule showing total advances from UNDP under ZAM/93/009 from 1996 to December 2001

A Summary of Advances Received – ZAM/93/009

YEAR	US DOLLARS
1996	0
1997	0
1998	10,252.00
1999	20,228.00
2000	31,422.00
2001	25,659.00
TOTALS	87,561.00

The total Budget - ZAM/93/009 under Revision 'M' was US\$1,300,541.00 out of which US\$710,143.00 was budgeted for staff salaries. Therefore, the advances received do not include salaries and payments made by UNDP through RDP's from Project budget lines.

For Expenditures on UNDP please refer to table 1 attached to this report.

Notes to the Statement of Expenditure – ZAM/93/009

Budget Line 11.01, 11.02 Project Personnel & International Staff: These budget lines were used to pay International staff and consultants. As at 31st December 2001 a total of US\$532,172 has been spent from the total budget of US\$484,661.00. This means therefore that there is over expenditure of -US\$47,511.00 on these budget lines.

Budget Line 13.01, 13.02, 13.03 & 13.04 Admin Support: This budget line was used to pay staff salaries and wages for Project support staff, as at 31st December 2001 a total of US\$60,247.00 has been spent from the total budget of US\$56,118.00. This means therefore that there is over expenditure of -US\$4,129.

Budget Line 15.01 Duty Travel: Travel expenses for Project staff are paid from this budget line. As at 31st December 2001 a total of US\$62,122.00 was spent, leaving a balance of US\$2,684.00 from the budget of US\$64,806.00.

Budget Line 15.02 Duty Travel Project Manager: Travel expenses for the Project Manager is paid from this budget line. As at 31st December 2001 a total of US\$22,262 was spent leaving a balance of US\$5,186.00 from the budget of US\$27,448.00.

Budget Line 17.01, 17.02 & 17.03 National Professionals: All National Professional (Technical staff) are paid from here. As at 31st December 2001 a total of US\$174,067.00 has been spent from the total budget of US\$169,364.00. This means therefore that a total of US\$4,703.00 has been overspent on these budget lines.

Budget Line 30 Training: Under this component of the budget, we have a total expenditure of US\$370,864.00 leaving a balance of US\$19,430.00 from the total budget of US\$390,294.00 under training component. This amount was spent from various budget lines which are as follows:

- US\$83,657.00 to Fellowships BL 31.01 all the training support to the council staff and the contracts are paid out of the same.
- US\$7,518.00 to Individual training 31.02, training of Project staff, workshops and meetings such as NCC and quarterly review meetings
- US\$4,583.00 In Service Training 31.03 training of Project staff was paid from this budget line.
- US\$3,162.00 Study Tours 32.01 this BL was used to pay travels to and outside the council by Council and Project staff.
- US\$271,517.00 RTS Services 33.01 this BL is where training of contractors on road rehabilitation skills and contract management was paid from.
- US\$427.00 NESU Training BL 33.02 this BL is where training of project staff on the procedures of national executed projects was paid from.

Budget Lines 45. Under this component of the budget, UNDP procured survey equipment and computers and other office equipment for works done in the councils. As at 31st December 2001 total of US\$88,980.00 was spent from the total budget of US\$86,397.00 leaving a deficit balance of - US\$2,583.00

Budget Line 53.01 Sundries. Out of this budget line a total of US\$23,261.00 was spent from the total budget of US\$20,174.00 leaving a deficit balance of -US\$3,087.00. This budget line was used to pay all administrative expenses such as: telephones, water & electricity, posted and other petty items.

Therefore, from this brief summary of expenditures on UNDP funding ZAM/93/009 the budget was overspent by -US\$34,714.00.

2. Rehabilitation & Maintenance of Feeder Roads Project – ZAM/93/CO2

A summary of Receipts from UNCDF for Operations, UNCDF BL 21.01 and Loan Recoveries by FRP and Village Industry Services (appointed Debt Collector) on a total Budget of US\$4,910,982.00

Year	Advances from UNCDF Operations (ZAM/93/CO2)
1996	0
1997	0
1998	54,317
1999	55,597
2000	130,787
2001	353,890
Totals	594,591

Note that from table above only US\$594,591 was received by the Project Office as request for advance of funds as operational funds. Please refer to table 3 for receipts from UNCDF and loan recoveries by VIS and FRP and table 4 that shows source and application of funds for the balance of funds remaining on this budget line.

Expenditures ZAM/93/CO2

Refer to table 2, which show expenditures on ZAM/93/CO2 from 1996 to December 2001

Notes to the Statement of Expenditure – ZAM/93/CO2

Budget Line 16.01 Mission Costs: All costs incurred direct related to formation of the project was paid from this budget line, to date total expenditure is US\$76,502.00 leaving a negative balance of US\$-5,872.00

Budget Line 16.02 Monitoring & Evaluation: This budget line was used to pay expenses to the mission from HQ – Newyork as they come to evaluate project performance. To date a total of US\$78,693.00 has been spent leaving a balance of US\$12,131.00

Budget Line 21.01 Rehabilitation Contractors: This budget line pays direct related expenses to rehabilitation of Feeder roads such as certified works, Retention's, Surveys and Contract preparation costs. Below is the analysis of total expenditure on this budget line from the total budget of US\$4,002,637.00:

A summary of total payments from 1996 to 2001

- Certified Works	US\$3,549,166.00
- Retention Certificates	US\$110,563.00
- Consultancy Works	US\$74,051.00
- Miscelaneous Expenses	<u>US\$30,374.00</u>

Totals **US\$3,764,154.00**

From the above summary total expenditure on this budget line is US\$3,764,154.00 which leaves a balance of US\$238,459.00 from the total budget of US\$4,002,637.00. Below is a table, which shows how much money has been collected from contractors as Interest on Loan from the time FRP took over from VIS in the year 1999. From the table below, Total interest received was only US\$45,701.00 and total amount spent was US\$44,814.00 leaving a balance of **US\$887.00**

Contractor	Intererst Rate	Amount Collected
Kawaye Chataya GDC Ltd	1%	7,130
Libean Contractors Ltd	1%	4,637
Rapid Construction Ltd	1%	6,826
Mtondo Building Construction Ltd	1%	5,827
Wheeltrax Construction Ltd	1%	7,737
Camber Construction Ltd	1%	7,310
Kalumbu Contractors Ltd	1%	6,234
Total amount received		45,701
Total Expenditure		44,814
Balance on Interest		887

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Budget Line 45.01 Tools for Maintenance Contractors. This budget line was used to procure hand tools for maintenance contractors. To date US\$20,270.00 has been spent leaving no balance as at 31st December 2001

Budget Line 45.02 Office Furniture. The renovation and construction of new office block and procurement of office furniture was paid from this budget line. As at 31st December 2001 total expenditure was **US\$40,624.00** leaving a positive balance of **US\$8,508.00** from the total budget of **US\$49,132.00**

Budget Line 45.03 Photocopier & W/Processor. The project photocopier, binding machines and computers were procured from this budget line. To date a total of US\$12,458.00 has been spent leaving a negative balance of US\$-6,705.00

Budget Line 45.04 Training Equipment: Training equipment was procured under this budget line. Training equipment includes survey equipment and other hand tools. To date a total of US\$21,333.00 has been spent leaving a deficit of -US\$185.00 from the total budget of 21,148.00.

Budget Lines 45. 05 Diesel stations wagon (1). There was no Provision of funds on this budget line but a total of -US\$18,976.00 was spent against Zero to procure Diesel landcruiser for Feeder Roads Project Office.

Budget Line 45.06 Diesel Pick – up (3). This budget line was used to procure 3 Diesel pick – up for Project office. To date a total of US\$41,670.00 has been spent leaving zero balance as all provided for in the budget was spent.

Budget Line 46.03 Diesel Pick – up (5). This budget line was used to procure 5 Diesel pick – up for District Councils namely: Lundazi, Chipata, Katete, Chadiza and Petauke. This was done to assist easy monitoring of Contract Management Units (CMU`s) of local authorities. These vehicles were procured in 1996,1997 and 1998 and total of US\$167,869.00 was spent leaving zero balance from the budget of US\$167,869.00.

Budget Line 51.01 Maintenance of Project Equipment. The operation and maintenance of project equipment, which includes vehicle Insurance, Fuel & oils and servicing and also maintenance of office equipment and furniture are paid out of this budget line. There was a provision of US\$243,422.00 on the budget out this a total of US\$187,202.00 has been spent leaving a balance of US\$56,220.00 as at 31st December 2001

Budget Line 53.01 Sundries. The cost of telecommunication, stationery, postage and other petty office items such as cleaning materials are paid from this budget line. There was a provision of US\$53,219.00 in the budget out this a total of US\$48,395.00 was spent leaving a balance of US\$4,824.00 as at 31st December 2001

Budget Line 93.02 Support Costs. The Project pays for the services provided by UNCDF. On this budget line there was a provision of US\$144,408.00 to meet such costs and to date a total of US\$143,308.00 has been spent leaving a balance of US\$1,100.00 as at 31st December 2001

3.GRZ Counterpart Funding

The Project receives counterpart funding from the government through Ministry of local government & Housing. The fund is 10% of the total annual contribution from UNCDF and UNDP. Counterpart funding is used to facilitate smooth running of CMU`s, cost of maintaining the rehabilitated roads and costs of sensitising communities the importance of community participation in the rehabilitation of Feeder Roads. The current budget on GRZ counterpart

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funding is US\$1,042,400.00. Below is summary of actual receipts from GRZ from 1996 to 2001 and expenditures to date.

A summary of Receipts from GRZ 1996 to 2001

Year amount Received

1996	47,468
1997	113,601
1998	132,201
1999	9,524
2000	1,334
2001	0

Total US\$314,128

Balance US\$728,272.00

percentage received 30.14%

A summary of expenditures from 1996 to 2001 GRZ Counterpart funding.

Item	Budget	Exp. 1996	Exp. 1997	Exp. 1998	Exp. 1999	Exp. 2000	Exp. 2001	Cum. Exp	Balance on Budget
Staff Housing	24,000	0	3,471	0	0	0	0	3,471	20,529
Running Costs – CMU's	114,000	1,361	3,862	17,442	10,245	11,483	1,883	46,276	67,724
Maintenance Contractors	800,000	0	41,261	85,794	51,624	25,981	48,472	253,132	546,868
Sundries	104,400	0	1,669	4,129	4,129	157	153	10,237	94,163
Grand Totals	1,042,400	3,357	52,260	109,363	67,997	27,621	52,509	313,116	729,284

From the table above note that only 30.04% has been spent due to lack of funding by GRZ.

Conclusion.

ZAM/93/009 UNDP Budget

From the table above you will note that the budget was overspent by - US\$34,714.00. As at 31st December 2001 the bank balance on this budget shows a total of US\$244,564.97 and the current balance now stands at US\$238,138.94 as at 7th March 2002. This amount has reduced due to payments towards outstanding obligations by FRP.

ZAM/93/CO2 UNCDF Budget

From the above table you will note that total expenditure is US\$4,620,542.00 from the total budget of US\$4,910,982.00 that leaves a balance of US\$290,440.00. As at 31st December 2001 UNCDF Bank balance was showing US\$62,884.81 on Rehabilitation account, which is used to pay Rehabilitation Contractors. This amount currently has reduced to **US\$37,593.97** as at 7th

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March 2002 as they were still outstanding obligation to Contractors. The balance remaining of US\$37,593.97 will be used to Retention Certificates and outstanding works on the ground.

3 Financial report

			Total		Prior years		2001		Proposed final revision (re-phasing) for 2002	
Code	Description	Original budget (A)	W/m	US\$	W/m	US\$	W/m	US\$	W/m	US\$
61	Formulation	0	0	0			0			
62	Appraisal	4,750	0.5	4,750	0.5	4,750	0			
63	Technical Support	76,000	12.7	120,651	9.3	88,351	5	47,500	3.4	32,300
64.01	Monitoring	57,000	5.8	55,100	2.6	24,700	0		3.2	30,400
64.65	Evaluation	28,500	0	0	0		0			
65	Evaluation	0	0	0	0		0			
66	Travel and DSA	55,000	0	40,749		40,421		13,639		329
90	Totals	221,250	19	221,250		158,222		61,139		

3.1 Comments on the STS budget

- Budget Line 62 was used as envisaged for the appraisal
- Budget Line 63 was revised upwards early in the project as the need for technical support in terms of external input was assessed greater than first anticipated. There is however funding left on this budget line and it is discussed in section on recommendations how these funds could be utilised
- Budget Line 64/65 were early revised down wards for the benefit of technical support. The funds used here is mainly for the mid term evaluation. It was anticipated that the remaining funds should have gone towards the final evaluation. This is however not the case. It is discussed under recommendations how these funds could be utilised.
- Budget Line 66 was early revised slightly downwards and has been sufficient to cover travel and DSA for backstopping of the project.

Annex 9
List of Equipment

PROJECT NAME : FEEDER ROADS PROJECT					
COMPONENT / BUDGET LINE NO: 41.02					
FIXED ASSET NAME : OFFICE FURNITURE					
ACQUISITIONS					
DATE	DESCRIPTION	SERIAL	QUANTITY	ORIGINAL	LOCATION
		NUMBER		COST	
Okt 96	BRYNSTONE L-SHAPE 3 DRAWER		1	360,00	PROJECT OFFICE
Okt 96	BRYNSTONE L-SHAPE 3 DRAWER		1	360,00	PROJECT OFFICE
Okt 96	SPEEDY L-SHAPED 3 DRAWER		1	178,00	PROJECT OFFICE
Okt 96	CONFERENCE ROOM		0.5	453,00	PROJECT OFFICE
Okt 96	LIFTMASTER VISTORS CHAIR		12	1.920,00	PROJECT OFFICE
Okt 96	METAL FILING CABINET 4 DRAWER		6	1.497,00	PROJECT OFFICE
Okt 96	METAL COMBINATION CUPBOARD		5	1.447,50	PROJECT OFFICE
Okt 96	STATIONERY CUPBOARD 72"		3	779,01	PROJECT OFFICE
Okt 96	METAL TRAY 5 TIER		6	90,00	PROJECT OFFICE
Sep 97	EXECUTIVE CHAIRS		17	5.447,00	PROJECT OFFICE
Jul 99	SOFAS		1	958,00	PROJECT OFFICE
Sep 97	SECRETARY's CHAIR		1	183,00	PROJECT OFFICE
Jul 00	COFFEE TABLE		1	52,00	PM'S OFFICE
Mai 00	2*3LAYER BOOKSHELVES		2	201,00	COMM'S OFFICE
Jul 00	3LAYER BOOKSHELF		1	81,00	FAO'S OFFICE
Jul 00	3*3LAYER BOOKSHELVES		3	202,00	FRP OFFICE
Aug 99	CARPET FOR PM'S OFFICE		1	445,00	PM'S OFFICE
Sep 98	3LAYER BOOKSHELF		1	72,00	DPIA'S OFFICE
Sep 98	3LAYER BOOKSHELF		1	65,00	PM'S OFFICE
Sep 98	OFFICE CARPET		1	7.641,42	PROJECT OFFICE
				22.431,93	

ACQUISITIONS					
DATE	DESCRIPTION	SERIAL	QUANTITY	ORIGINAL	LOCATION
		NUMBER		COST	
Jan 97	GATEWAY 2000P5 166 COMPUTER	SN15009A28 7143	1	1.825,00	SECRETARY FRP
Jan 97	GATEWAY 2000P5 166 COMPUTER	SN15009A28 7143	1	1.825,00	DPIA
Jan 97	GATEWAY 2000P5 166 COMPUTER	SN15009A28 7143	1	1.825,00	FMA
Jan 97	GATEWAY 2000P5 166 COMPUTER	SN15009A28 7143	1	1.825,00	CO
Aug 97	APC SMART UPS	NS994433166 7	1	410,00	FRP
Jan 97	HEWLETT PACKARD LASERJET 5 PRINTER	US1SO41918	1	1.450,00	FRP
Jan 97	TOSHIBA NOTEBOOK COMPUTER (LAP TOP)	SN01765016	1	3.450,00	NRE
Jan 97	TOSHIBA NOTEBOOK COMPUTER (LAP TOP)	SN0177314 4-3	1	3.450,00	TA
Aug 97	CALCOMP DRAWING BOARD	4BS1475375	0.5	247,50	PROJECT OFFICE
Jun 97	US ROBOTIC EXT33.6 FAXMODEM	211Q6238883 4	1	190,00	FRP OFFICE
Aug 97	PANASONIC FAX MACHINE	5L BFG211875			PM
				16.497,50	
ACQUISITIONS					
DATE	DESCRIPTION	SERIAL	QUANTITY	ORIGINAL	LOCATION
		NUMBER		COST	
Mrz 98	GATEWAY 2000P5 133 COMPUTER	SN000870358 0	1	1.690,00	CHIPATA DOW
Mrz 98	GATEWAY 2000P5 133 COMPUTER	SN000870358 2	1	1.690,00	KATETE DOW
Mrz 98	GATEWAY 2000P5 133 COMPUTER	SN000870358 4	1	1.690,00	CHADIZA DOW
Mrz 98	GATEWAY 2000P5 133 COMPUTER	SN000870358 3	1	1.690,00	LUNDAZI DOW
Mrz 98	GATEWAY 2000P5 133 COMPUTER	SN000870318 1	1	1.690,00	PETAUKE DOW
Nov 01	COMPAQ COMPUTER	SN8143FR42 0752	1	1.690,00	R C ASSOCIATION
Mrz 98	CRYSTALSCAN 14" MONITORS	SN15009A28 7240	1	1.690,00	CHIPATA DOW
Mrz 98	CRYSTALSCAN 14" MONITORS		1	1.690,00	KATETE DOW
Mrz 98	CRYSTALSCAN 14" MONITORS		1	1.690,00	CHADIZA DOW
Mrz 98	CRYSTALSCAN 14" MONITORS		1	1.690,00	LUNDAZI DOW
Mrz 98	CRYSTALSCAN 14" MONITORS		1	1.690,00	PETAUKE DOW
Nov 01	COMPAQ MONITOR	133BM69DV P30	1	1.690,00	R C ASSOCIATION
Mrz 98	APC SMART UPS	GS964650557 1	1	410,00	CHIPATA DOW
Mrz 98	APC SMART UPS	GS972052944 4	1	410,00	KATETE DOW
Mrz 98	APC SMART UPS	GS972052944 8	1	410,00	CHADIZA DOW
Mrz 98	APC SMART UPS	GS972781034 0	1	410,00	LUNDAZI DOW
Mrz 98	APC SMART UPS	GS972781035 2	1	410,00	PETAUKE DOW

Mrz 98	APC SMART UPS	NS001613075 1	1	410,00	FRP SECRETARY
Mrz 98	HP SCANJET 4C	SG718240C4	1	795,00	FRP OFFICE
Mrz 98	LASERJET 5L PRINTER	CNVN00420 4	1	580,00	PM'S OFFICE
Mrz 98	LASERJET 6L PRINTER	JPHT006641	1	580,00	CHIPATA DOW
Mrz 98	LASERJET 6L PRINTER	JPHT006683	1	580,00	KATETE DOW
Mrz 98	LASERJET 6L PRINTER	JPHT006589	1	580,00	CHADIZA DOW
Mrz 98	LASERJET 6L PRINTER	JPHT005122	1	580,00	LUNDAZI DOW
Mrz 98	LASERJET 6L PRINTER	JPHT000672	1	580,00	PETAUKE DOW
Mrz 98	LASERJET 5L PRINTER	US1S041774 8	1	580,00	MAMBWE DOW
Mrz 98	LASERJET 6L PRINTER	JPHT006719	1	580,00	NYIMBA COUNCIL
	GRAND TOTAL			7.895,00	

Annex 10

Contract Management Unit (CMU) Staffing Levels and Assessment

CMU STAFFING SCHEDULE & ASSESSMENT– from 1996 to December 2001¹⁵

District	Position	At Project Inception	November 2001	Remarks
CHIPATA	Director Engineering Services	1	0	<i>Retired in 1999</i>
	Dep. Director Engineering Services	0	0	<i>The council employed a Deputy Director at the beginning of 2001 who has since been moved to the post of Director Social Economic Planning</i>
	Ass Director Engineering	0	1	
	Contract Supervisors	2	1	<i>Out of those trained, one died in 1999</i>
	Totals	3	2	Overallly inadequate capacity to manage contracts due to staffing constraints
CHADIZA	Director of Works	1	1	
	Dep. Director of Works	0	0	Post not in Council's establishment
	Ass Director of Works	1	1	First resigned in 1999
	Contract Supervisors	2	1	One resigned to joint Mpongwe Council
	Site Supervisors	0	2	
	Totals	4	5	Inadequate capacity to prepare contracts. Both staff limited by computer skills
CHAMA	Director of Works	0	1	On contract
	Dep. Director of Works	0	0	
	Ass Director of Works	0	1	
	Contract Supervisors	2	0	One died and the other was dismissed
	Site Supervisors	0	0	
	Totals	2	2	Inadequate capacity both in numbers and skills of staff
KATETE	Director of Works	1	1	
	Dep. Director of Works	1	1	
	Ass Director of Works	0	0	
	Contract Supervisors	2	2	
	Site Supervisors	0	2	
	Totals	4	6	There is adequate capacity both in numbers and skills to manage contracts
LUNDAZI	Director of Works	1	1	First resigned. New appointed in 1999
	Dep. Director of Works	1	1	First was dismissed. Replaced in 1999
	Ass Director of Works	0	1	
	Contract Supervisors	2	2	
	Site Supervisors	0	1	

¹⁵ FRP Terminal Report December 2001

	Totals	4	6	There is adequate capacity both in numbers and skills to manage contracts
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DISTRICT	Position	At Project Inception	November 2001	Remarks
MAMBWE	Director of Works	0	1	
	Dep. Director of Works	0	1	
	Ass Director of Works	0	0	These position may be considered as redundant to small councils
	Contract Supervisors	0	0	
	Site Supervisors	0	0	
	Totals	0	2	Adequate capacity to manage contracts
NYIMBA	Director of Works	0	1	
	Dep. Director of Works	0	0	
	Ass Director of Works	1	1	
	Contract Supervisors	2	2	
	Site Supervisors	0	0	
	Totals	3	4	Adequate capacity to manage contracts
PETAUKE	Director of Works	1	1	
	Dep. Director of Works	0	0	Employed in 1999 but resigned to join Mambwe as DoW in 2000
	Ass Director of Works	0	0	Employed in 1999 but resigned to join Mazabuka Council
	Contract Supervisors	2	0	
	Site Supervisors	2	1	One resigned
	Totals	5	2	Inadequate staff though there is adequate skills to manage contracts

Annex 11
Original Key Performance Indicators

Socio-Economic Indicators

KEY PERFORMANCE INDICATORS (KPI)

IMPROVEMENT OF SERVICE DELIVERY OF DISTRICTS ROADS AUTHORITY

	<i>Socio-economic objective</i>	<i>Target Group</i>	<i>KPI</i>	<i>Baseline Data Required</i>	<i>Sources of data and methods</i>	<i>Frequency of Monitoring</i>	<i>Users of Information</i>
	Capacity Building for contractors in:	Private Sector;	Setting-up of contractors specialized in Labour-based systems:	<ul style="list-style-type: none"> 9 rehabilitation contractors (7 in 5 Project Districts) and 25 maintenance contractors 	<ul style="list-style-type: none"> project records interview with Contractors 	Annually and bi-annually	<ul style="list-style-type: none"> LRA staff HQ staff External evaluator
	a) Rehabilitation	Civil Society at District level and community	<ul style="list-style-type: none"> Rehabilitation 	<ul style="list-style-type: none"> Quality of training for Contractors (technical, management, accounting and finance) Quality of training for site supervisors Quality of training for mechanics and operators 	<ul style="list-style-type: none"> LRA records Training manuals 		<ul style="list-style-type: none"> UNCDF /UNDP/ ILO
	b) Maintenance		<ul style="list-style-type: none"> Maintenance 	<ul style="list-style-type: none"> access to equipment/tools cash flow in the bank registration as contractors 	<ul style="list-style-type: none"> RTS Observation of work done 		

<i>Socio-Economic Objective</i>	<i>Target Group</i>	<i>KPI</i>	<i>Base-line Data Required</i>	<i>Sources of Data and Methods</i>	<i>Frequency of Monitoring</i>	<i>Users of Information</i>
Capacity Building	District Councils	<ul style="list-style-type: none"> • Increase quality of Monitoring of contracts • Increase quality of District Roads • Increase capacity of staff to analyse and explain issues • Improve capacity of staff to propose and consider course of action 	<ul style="list-style-type: none"> • number of trainees and districts • quality of training 	<ul style="list-style-type: none"> • Projects Records • LRA records • RTS 	Annually	<ul style="list-style-type: none"> • LRA staff • HQ staff • UNDP/UNCDF/ILO • PI-GO/MI-GI-1

<i>Socio-economic objective</i>	<i>Target Group</i>	<i>KPI</i>	<i>Baseline Data Required</i>	<i>Sources of data and methods</i>	<i>Frequency of Monitoring</i>	<i>Users of Information</i>
Rehabilitation of Roads	District Councils	Rehabilitation of 600 km of feeder roads to good standards	<ul style="list-style-type: none"> • Total of 600 km of Feeder Roads • quality of roads rehabilitated, level, surface, grading • quality of the drainage system • quality of water crossing (bridges, culverts, drifts) 	Districts records and observations	Bi-annually	<ul style="list-style-type: none"> * GRZ * MLGH/P1-GO * MWS/PRE * District Councils * UNDP/UNCW Field Office * UNCDF (H.Q.) * ILO
Maintenance of Roads	Districts Councils	Maintenance of 600 km + 192.8 km i.e. 800 km to good standards	<ul style="list-style-type: none"> • Total of 800 km of feeder roads • quality of roads maintained (surface, grading etc) • Quality of the drainage system • Quality of water crossings (culverts, bridges, drifts) 	District records and observations	Annually or bi-annually	<ul style="list-style-type: none"> * GRZ * MLGH/P1-GO * MWS/PRE * District Councils * UNDP Field Office * ILO
Employment Generation	Population in the Districts	a 760,000 worker days for rehabilitation o 140,000 worker days for maintenance	<ul style="list-style-type: none"> • number of worker days • number of men employed • number of women employed • daily wage 	Contractors' records	Bi-annually	<ul style="list-style-type: none"> * GRZ * MLG1-11P1-GO * District Councils * UNDP/UNCDF/ ILO * External evaluators

Annex 12
Latest Key Performance Indicators for DDP and FRP, October 2000

<i>Monitoring Support to DDP Eastern Province, Zambia</i>			
LOGICAL FRAMEWORK MATRIX OF DDP/ FRP			
LOGICAL FRAMEWORK - SUPPORT TO THE DECENTRALISATION AND LOCAL GOVERNMENT IN ZAMBIA		Date of drafting: 3.10.2000	
Programme: DDP / FRP		Planning period: 1212000 - 1212001	
Narrative Summary of Strategy	Indicators and Targets	Means of Verification	Assumptions
Development Objectives 1. Poverty alleviation through decentralised development 2. Poverty oriented decentralised development policies implemented in other parts of Zambia	no indicators specified		
Immediate Objectives 1 MI-GH uses lessons from Eastern Province for national decentralisation policy and implementation process	1.1 Strategic approaches used in Eastern Province put forward by MLGH to Government and Donors for funding and implementation in other areas 1.2 Strategic approaches used in Eastern Province incorporated in formulation of decentralisation policy	see detailed specification of data required in separate Monitoring Plan	Cabinet office issues a legal provision for decentralisation policy latest by 12/2001
2 Stakeholders involved in District development produce and maintain sustainable infrastructure using decentralised fiscal transfers of discretionary and conditional grants, participatory development planning and localised production arrangements in Eastern province	2.1 DCs conduct annual routine maintenance of approx. 30 - 40 km of feed roads through private contractors using labour based technology 2. 2 DCs implement and manage income generating investments through private contractors and entrepreneurs 2.3 Total number of ADCs which successfully implement at least one socio-economic infrastructure project on the basis of communal needs assessment, priority setting and participation 25 ADCs by 12/000 and 40 ADCs by 12/2001		

October 2000

Cont/

Monitoring Support to DDP Eastern Province, Zambia

Narrative Summary of Strategy	Indicators and Targets /	Means of Verification	Assumptions
3 Local government demonstrates effective and responsive leadership and facilitation of the development process.	<p>3.1 DCs implement the Strategic District Development Plan as specified in the annualised plan and within the budget foreseen</p> <p>3.2 DCs are able to attract additional resources from national and / or Donor funds to implement at least 5 micro projects per year as listed in the Strategic District Development Plan</p> <p>3.3 Total number of DCs which achieve at least 75% of Performance Indicators (thus receiving a bonus) 2 DCs by 12/2000 and 5 DCs by 12/2001</p> <p>3.4 DCs actually provide services according to specified quality (defined in the Local Government Acts 22 from 1991), costs and fees for consumers DDCCs meet quarterly and formulate recommendations and technical advice to DCs and District Administrators</p>	see detailed specification of data required in separate Monitoring Plan	

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Monitoring Support to DDP Eastern Province, Zambia

Narrative Summary of Strategy	Indicators and Targets	Means of Verification	Assumptions
Outputs 1 Results 1. Capacity to manage financial and administrative affairs of District Council increased in 8 Districts of Eastern Province	1.1 Total number of DCs which have a comprehensive financial management system in place according to Local Authority Financial Guidelines and at least 3 members of DC trained accordingly <i>2 DCs by 12/2000 and 5 DCs by 12/2001</i> 1.2 Total number of DCs which have Local Government Administration modules on Human Resources and Performance Management in place and at least 3 members (including one councillor) trained in the use of the modules <i>Targets will be specified after survey of Districts; latest 11/12000</i>	see detailed specification of data required in separate Monitoring Plan	Trained personnel is retained in the DC at least according to the "minimum conditions" as specified by the project Continued acceptance of divergent political and social opinions at District level
2. Inclusive District Planning system introduced in 8 Districts of Eastern Province	2.1 8 Districts assisted to elaborate and prepare District Strategic Development Plan through a participatory process based on DDP format <i>draft plan by 12/12000 and final plan by 12/2001</i> 2.2 At least 75% of DDCC members in 8 Districts trained in implementing decentralised district and community development programmes through PRA (by 12/2000) and Monitoring & Evaluation (by 12/2001)		
3 Operational capacity of different District stakeholders improved for the production of district and community based infrastructure and delivery of services	3.1 7 roads rehabilitation and 14 roads maintenance contractors have successfully completed pilot contracts under the mentorship of the project by 12/2000 3.2 6 DCs have successfully managed contracts under the mentorship of the project by 12/2001 3.3 7 consultants have successfully designed and prepared contract documents under the mentorship of the project by 12/2001 3.4 In each of the 8 Districts there is at least one building contractor competent to execute a community based infrastructure project by 12/2001		Trained contractors stay in the province and remain capable to execute contracts Treasury maintains funding from NRB to Districts at least at the level of year 2000 Government and donors have an explicit commitment and policy which favours employment intensive approaches
<i>October 2000</i>			

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Monitoring Support to DDP Eastern Province, Zambia

Narrative Summary of Strategy	Indicators and Targets	Means of Verification	Assumptions
4 Instruments for improved accountability and participation developed and implemented in 8 DCs of Eastern Province	4.1 Total number of District which have formally adopted Minimum Conditions 1 Performance Indicators and where an agreed support strategy has been implemented according to MoU 1 DC by <i>12/2000</i> and 8 DCs by <i>12/12001</i> 4.2 Total number of ADCs formed which have at least 30% female membership and which received initial training and money from DDIF 30 ADCs by <i>12/2000</i> and 45 ADCs by <i>12/2001</i> 4.3 Total number of performance assessment cycles by PAC (for the 8 Districts) covering all financial sources and activities of DCs 7 cycles by <i>12/2000</i> and 9 cycles by <i>12/12001</i>	see detailed specification of data required in separate Monitoring Plan	Reliable grants from central Government to DCs sufficient to maintain minimum services which can not be financed from local revenue base No political pressure in the formation and working of ADCs
5 Lessons and experiences disseminated at District, Provincial and National level	5.1 Total number of areas in which lessons have been generated, analysed, documented and disseminated to all levels 1 area by <i>12/2000</i> (e.g. MC / P1) and 5 areas by <i>12/12001</i> (e.g. labour based technology, ADCs, District Planning, <i>DDF</i>) 5.2 PM of DDP is a regular member of technical committee drafting the national decentralisation policy		MLGH and donors make funds available to implement similar programmes in at least two other regions from 2002 onwards
Activities see detailed listing of Activities and Milestones in the Workplan for period 1/2001 – 12/2001			

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Annex 13
FRP Rehabilitation Contracts

FEEDER ROADS PROJECT

Summary Fact Sheet of Road Rehabilitation Contracts as at 6th December 2001

District	Road name	Road Number	Contract number	Name of Contractor	Total length of contracted road (km)	Length completed (km)	Number of culverts completed	Major structures	Total workerdays generated (wds)	Construction Costs			Community impact
										Total ZK	Total USD	USD per km	Total ZK in wages
Chipata	Tamanda Loop	RD 118	FTC-1	All contractors	20.4	20.4	53	1 drift of 25m	52,448	259,473,040	200,675	9,837	105,000,000
	Chiparamba road (A)	RD 121	STC-1/7	Justed Development	8.0	8.0	22	none	24,724	106,569,737	65,780	8,223	50,500,557
	Chiparamba road (B)		STC-2/7	Mtondo Construction	7.4	7.4	21	1 drift of 30m	19,309	120,761,756	80,170	10,871	48,260,727
	East. Dairy - Madzimoyo	U 33	CHI/98/01	Kawaye Chataya	10.0	10.0	41	bridge repair	24,967	227,901,086	111,058	11,106	48,147,094
	East. Dairy - Madzimoyo		CHI/99/01	Kawaye Chataya	16.1	16.1	37	2 vented drifts	34,226	339,726,693	146,859	9,122	63,629,230
	Chizongwe School road		ERM/2/2	Libean Contractors	1.8	1.8	8	none	3,378	34,696,714	16,057	9,087	8,533,664
	GER - Stadium road		ERM/2/1	Mtondo Construction	3.0	3.0	31	vented drift	12,208	99,916,982	44,799	15,109	34,233,500
	Nzamane - Kazimule	RD 595	CHI/99/02	Libean Contractors	19.6	19.4	64	3 x vented drifts	31,926	566,939,753	204,095	10,520	119,723,659
	<i>Kapata - Chizongwe road</i>	<i>U01</i>	<i>CHI/01/01</i>	<i>Wheeltrax Contractors</i>	<i>5.0</i>	<i>0.5</i>	<i>31</i>	<i>none</i>	<i>2,571</i>	<i>23,298,930</i>	<i>6,289</i>	<i>12,577</i>	<i>23,332,624</i>
	Chikando road	RD 596	CHI/00/01	Libean Contractors	5.0	5.0	21	none	6,593	225,227,260	67,202	13,464	23,332,624
					96.2	91.5	329.1		212,350	2,004,511,949	942,984	10,306	524,693,679
Lundazi	Lundazi - Mwase	RD 110	STC-3/7	Wheeltrax Contractors	6.1	6.1	8	none	11,457	79,980,729	53,064	8,699	27,782,500
	Lundazi - Mwase		LUN/98/01	Wheeltrax Contractors	15.3	15.3	28	none	17,286	172,260,550	84,568	5,545	49,437,505
	Mwase - Lundazi		LUN/98/02	Mtondo Construction	20.1	20.1	38	none	46,969	390,660,498	183,653	9,155	128,950,050
	Lundazi - Mwase		LUN/99/01	Wheeltrax Contractors	9.7	9.7	27	none	21,887	257,667,166	108,799	11,216	69,061,410
	Mphamba - Chitungulu	D 104	LUN/99/02	Camber Construction	20	20.0	47	3 x vented drift	43,563	634,809,351	226,287	11,314	134,983,330
	<i>Chiginya - Phikamalaza</i>	<i>R 245</i>	<i>LUN/01/01</i>	<i>Camber Construction</i>	<i>8</i>	<i>6.0</i>	<i>9</i>	<i>1xvented drift</i>	<i>6,697</i>	<i>88,006,817</i>	<i>24,968.48</i>	<i>4,161</i>	<i>23,950,700</i>
					79.1	77.1	157.1		147,859	1,623,385,110	681,339	8,836	434,165,495
Chadiza	Nsadzu - Naviluli - Mlolo	U 3	STC-4/7	Libean Contractors	13.2	13.2	8	1 drift of 55m	15,420	110,662,077	69,348	6,799	34,201,509
	Nsadzu - Naviluli - Mlolo		STC-5/7	Kawaye Chataya	7.9	7.9	11	none	10,734	94,201,798	62,995	7,974	24,797,155
	Vubwi - Zozwe	RD 406	CHA/98/01	Libean Contractors	18.2	18.2	73	none	39,116	367,925,935	167,599	9,209	89,349,487
	Chadiza - Tafelansoni	RD 405	CHA/99/01	Wheeltrax Contractors	20.0	20.0	55	2 x vented drifts	53,735	549,519,704	184,040	9,202	156,431,770
					59.3	59.3	146.7		119,005	1,122,309,513	483,982	8,156	304,779,921
Katete	T6 - Kalambana	RD 585	STC-6/7	Camber Contractors	6.0	6.0	8	none	11,335	60,893,961	41,723	6,947	24,240,300
	T6 - Kalambana		KAT/98/01	Camber Contractors	4.6	4.6	12	none	8,204	71,856,904	38,471	8,363	23,554,707
	T4 - Chikhombe	U 23	KAT/98/02	KC/Justed	10.1	10.1	51	none	22,054	235,652,878	112,103	11,077	65,987,564
	T6 - Kalambana	RD 585	KAT/98/03	Camber Contractors	17.9	17.9	71	none	27,829	315,081,093	143,233	8,006	89,130,507
	T4 - Chikhombe	U 23	KAT/99/01	KC/Justed	10.8	10.8	41	none	18,456	265,457,692	111,351	10,310	54,326,577
	Mbinga - T6	U 29	KAT/99/02	Rapid Construction	17.5	17.5	51	bridge repair	34,915	436,951,831	160,327	9,162	157,182,809
	Kavulamungu - T6	Unclassified	KAT/00/01	Rapid Construction	6.1	6.0	21		11,400	172,256,671	53,488	8,858	49,787,500
					73.1	72.9	254.3		134,193	1,558,151,030	660,697	9,057	464,209,964
Petauke	T4 - Mumbi (Minga)	RD 415	STC-7/7	Rapid Construction	7.7	7.7	18	none	14,079	91,152,249	60,305	7,832	29,079,800
	T4 - Mumbi (Minga)		PET/98/01	Rapid Construction	10.0	10.0	33	none	17,605	136,232,439	64,882	6,488	51,631,920
	Sichilima - Mawanda	RD 135	PET/99/01	Rapid Construction	11.3	11.3	27	2 drifts 60m	23,751	239,394,093	105,579	9,339	77,652,862
	T4 - Chikalawa, section 1	R 13	PET/99/02	Mtondo Construction	20.0	20.0	57	none	49,222	502,740,802	188,686	9,434	157,445,254
	T4 - Chataika	RD 413	PET/99/03	Kawaye Chataya	21.7	21.7	70	1 x vented drift	36,195	614,928,046	225,567	10,395	129,248,843
	T4 - Chikalawa, section 2	R 13	PET/00/01	Mtondo Construction	5.0	5.5	12	none	12,587	146,156,294	43,739	7,979	40,000,000
					75.7	76.2	217		153,439	1,730,603,923	688,759	9,040	485,058,679
Mambwe	Mambwe - Msoro		MAM/99/01	Kalumbu Contractors	20.0	19.9	76	1 x Vented drift	34,329	647,779,451	209,235	10,514	101,771,705
					20.0	19.9	76		34,329.0	647,779,451.4	209,235.1	10,514.3	101,771,705.0
<i>* contracts in italics are on-going</i>													
Totals :					403.4	397.0	1,181		801,175	8,686,740,977	3,666,996	9,237	2,314,679,443

Annex 14
Contracts external to the FRP won by the Rehabilitation Contractors

PRELIMINARY DETAILS			CONTRACTORS' ACTIVITY	
Contractor	Class of Registration	Head Office Address	Project	Funding agency
Rapid Construction Ltd	G3	Chipata	Culvert Construction.	Village Service Centre
			construction of church	St Anne's Parish
			construction of bridge	Chipata Municipal Council
			rehabilitation of Road	Kapeya Farm
			Road rehabilitation	Chipata Motel Community
Wheeltrax Ltd	G.M	Chipata	rehabilitation of Road	Dimon
			Road rehabilitation	Provincial Admin.
Libean Contractors Ltd	G3	Katete	Construction of a vented drift across Lunkwakwa stream	Council/ NRB
			conversion of tarvern to office block	DDP
			Culvert Construction.	NRB
			rehabilitation of Road	HIPC
			Construction of a vented drift	EEOA
			rehabilitation of Road	HIPC
Kawaye Chataya GDC Ltd	G2	Chipata	Construction of a guest house	DDP
			Road rehabilitation	EEOA
			Landscaping at Kapata Hall	DDP
			Construction of walkways	DDP
			Road rehabilitation	RIF
			construction of vented drift	MLGH - HIPC
			Road rehabilitation	Lutembwe Community
			conversion of tarvern to guest house	DDP
Kalumbu Contractors Ltd	Not yet registered	Chipata	Road rehabilitation	HIPC
			Road rehabilitation	HIPC

				Road rehabilitation	HIPC
				Road rehabilitation	HIPC
Mtondo Building Constr	G2	Chipata		Construction of Kovyane and Chitimba vented drifts	EEOA
				Construction of Kaulu, Kaombwe and Mphala vented drifts	EEOA
				Construction of Chafulu Road in Sinda	EEOA
				Construction of Toilet Block	DDP
				Construction of Msipazi vented drift	World Vision International
				Rehabilitation of T4 - Katete Secondary School Road	Katete Secondary Sch.
				Construction of Simwenda road	EEOA
				Construction of 5no. culverts	DDP
Camber Construction Ltd	GM	Chipata		Construction of a vented drift	EEOA
				Road rehabilitation	HIPC

OUTSIDE FEEDER ROADS PROJECT

District	Contract Date	Total Contract Sum (ZK)
CHIPATA	Aug-00	85,850,000
CHIPATA	Jun-00	
CHIPATA	Aug-00	
CHIPATA		
CHIPATA	Sep-00	
Chipata	Jul-00	40,700,000
Katete	Aug-00	
Chipata	Mar-00	98,000.000.00
Katete		
Chadiza		
Nyimba		
Chadiza		
Katete		
Mambwe	Jun-00	324,000,000.00
Petauke	Aug-00	
Chipata		
Petauke		
Chadiza		
Chadiza		
Chipata		
Chadiza		
Lundazi	Aug-00	70,000,000.00
Lundazi		

Lundazi		
Lundazi		
Petauke	Nov-96	1,071,000,000.00
Petauke	Feb-98	
Katete	Sep-99	
Lundazi	Jun-99	
Chipata		
Katete	Jan-00	
Petauke	Sep-00	
Petauke	Sep-00	
Katete	Nov-98	64,000,000.00
Chama		

Annex 15

Training Overview

Training carried out and/or facilitated through the FRP

District Staff

<i>Type of training</i>	<i>Target Group</i>
L-B Contract supervision	Supervisors (10 +4)
On-the job training during trial contracts	Rehabilitation and RM Supervisors (10)
Seminar on contract documentation, with on-the-job follow-up	Rehabilitation Supervisors
Contract Management Seminar, Harare	Directors of Works (5)
Survey instrument training	Supervisors (12)
Workshop on road inventories and supervision procedures	Supervisor
On-the job training in preparation of tender document	Directors of Works
Meetings/workshops on procurement of consultancy services	Director of Works (6)
Computer training	Director of works
Materials testing workshop	Directors of works and supervisors
Workshop on supervision guidelines	Road Inspectors
Workshop on tender procedures	District Administrators, Treasurers and Directors of Works
EU funded diploma course on contract management (facilitation only)	Directors of Works (5)

Contracting Companies

<i>Type of training</i>	<i>Target Group</i>
L-B Routine maintenance (RM) Contracting	RM contractors (21)
L-B Rehabilitation Contract management	Rehabilitation Contract Managers (10)
L-B Rehabilitation implementation	Rehabilitation Technicians / supervisors (20)
Mentorship /continued training in trial contract period	RM & Rehabilitation Contracting Companies
Follow-up workshop / seminars at trial site (3)	Rehabilitation Contracting Companies
Enhanced mentorship	Rehabilitation Contracting Companies (7)
Workshop on planning of works, financial management, and technical issues	Rehabilitation Contracting Companies
Culvert construction workshop and practical application	RM contractors (14)
Survey instrument workshop	Rehabilitation Contracting Companies
VAT workshop	Rehabilitation Contracting Companies
Cost sharing training initiative for gangleader level site staff proposed by EPLBCA	Gangleaders for Rehabilitation Contractors
Equipment maintenance workshop	Rehabilitation Contracting Companies
Business management workshop	Rehabilitation Contracting Companies
Training for new directors and site managers	Rehabilitation Contracting Companies
Workshop on identified gaps in management and maintenance of equipment	Rehabilitation Contracting Companies

Consultants

<i>Type of training</i>	<i>Target Group</i>
Filed assessments and preparation of rehabilitation contracts	Local Consulting Companies (7)

Others

<i>Type of training</i>	<i>Target Group</i>
L-B introductory course in Delft, Holland	National Roads Engineers (2)
Regional Seminar for L-B practitioners - Uganda	National Roads Engineers (2)
Mentorship /advice from ILO/ASIST	National Roads Engineers (2)
On-the-job experience in preparation of rehabilitation contracts with the FRP	University of Zambia students (4)
On-the-job experience in labour-based contracting and consulting through local companies	University of Zambia students (7)

Annex 16
Questionnaire survey

Questionnaire on Evaluation of DDP/FRP in Zambia
(To be Completed by all Stakeholder Groups)

March-April 2002

UNCDF/UNDP has been providing joint assistance to the Eastern province since 1995 to support two projects: the Feeder Roads Project (FRP) and the District Development Project (DDP), to improve planning, management and implementation capacities of district and municipal councils through the Ministry of Local Government and Housing. The main thrust of the two projects was to develop and institutionalize an inclusive decentralized district and local planning process based on improving councils' and communities, (ward level) capacities to plan, manage, implement, monitor and evaluate development programmes. A study on lessons learned and the terminal reports have already established performance of the two projects as regards delivery on their outcomes. The added-value of this terminal evaluation to assess the likelihood of the two projects in meeting their intended immediate objectives and impacts. This questionnaire therefore is part of various instruments being used to corroborate findings from various stakeholder groups as regards their perceptions on the impact the two projects may have attained.

Specifically, since the FRP was a pilot for the introduction of labor-based technology for road construction and establishment of maintenance systems for the roads, the primary focus of the evaluation will be to establish whether there has been development and use of labor-based technology in Zambia, as well as an assessment of the capacities of local authorities at both provincial and district levels in the areas of planning, management and technical know-how in road management and maintenance. The DDP was also a pilot to assist the Government of Zambia in refining its decentralization policies and generate lessons and experience for further development that support decentralized local governance and poverty reduction. The primary focus of the DDP evaluation therefore is to establish whether the necessary institutions have been put in place to enable the center, districts and communities to manage and implement a decentralized fiscal system.

Most of the questions that follow are multiple choice. A few questions call for brief narrative responses in order to provide an opportunity to explain or elaborate your answer to a previous question. If you believe that a question is not applicable to you, or that you lack sufficient information to answer, please circle the bottom choice, "No Opinion."

The information you provide in this questionnaire will be treated with total confidentiality. The results of the questionnaires will be incorporated with results from *Focus Group and key informant Interviews* that we are conducting concurrently. The results will be tabulated and reported in aggregate formats, so that the views of any individual respondent will not be identifiable.

Please check or fill in your Organizational Type:

- Government Ministry: _____
- Provincial Official _____
- District Official: _____
- Sub-District Official _____
- Civil Society _____
- Community Based Organizations _____
- Private Sector: _____

Perception of Services in the Eastern Province:

Please Circle your choice on a 1 – 5 scale: 1 = strongly disagree, 5 = strongly agree

Service Delivery:

2. There has been improved access to health and education services since the DDP implementation in 1996.

- 1 = Strongly Disagree
- 2 = Somewhat Disagree
- 3 = Neither Disagree nor Agree
- 4 = Somewhat Agree
- 5 = Strongly Agree
- 6 = No opinion

3. There is easier delivery of inputs in, and outputs out of the district since the feeder roads program started.

- 1 = Strongly Disagree
- 2 = Somewhat Disagree
- 3 = Neither Disagree nor Agree
- 4 = Somewhat Agree
- 5 = Strongly Agree
- 6 = No opinion

Inclusive Planning:

4. The planning process in the districts was undertaken through a participatory approach involving various stakeholders to reflect needs at the community level.

- 1 = Strongly Disagree
- 2 = Somewhat Disagree
- 3 = Neither Disagree nor Agree
- 4 = Somewhat Agree
- 5 = Strongly Agree
- 6 = No opinion

Training:

5. The training you received has equipped you with the necessary skills to perform your role better.

- 1 = Strongly Disagree
- 2 = Somewhat Disagree
- 3 = Neither Disagree nor Agree
- 4 = Somewhat Agree
- 5 = Strongly Agree
- 6 = No opinion

Institutional Mechanisms:

5. ADCs are good institutional mechanisms that have facilitated better linkages between the communities and the District Councils.

- 1 = Strongly Disagree
- 2 = Somewhat Disagree
- 3 = Neither Disagree nor Agree
- 4 = Somewhat Agree
- 5 = Strongly Agree
- 6 = No opinion

Labor-based Technology:

6. Use of labor-based construction methods for feeder roads is more appropriate than use of heavy equipment based on the experience in the Eastern Province.

- 1 = Strongly Disagree
- 2 = Somewhat Disagree
- 3 = Neither Disagree nor Agree
- 4 = Somewhat Agree
- 5 = Strongly Agree
- 6 = No opinion

Annex 17
Documentation List

Documentation List¹⁶

First to Twenty First Quarterly Progress reports for Rehabilitation and Maintenance of Feeder Roads in Eastern Province, Zambia. Projects no ZAM/93/009 and ZAM/93/CO2 for the quarterly periods from 12th June 1996 to 31st December 2001.

Quarterly Combined District Development and Feeder Roads Projects Reports, for the quarterly periods from 1st October 2000 to 31st December 2001.

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Consultancy for Preparation of Year 2000/1 Road Maintenance Tender Documents, Eastern Province: 'The Rationale', FRP-EP

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1st Technical Review Mission Back-to-office Report; ZAM/93/C02 – Feeder Roads in Eastern Province; Leonardo Romeo, 15 May 1996

'Draft Technical Manual'; Road Rehabilitation and Gravelling by Labour based Contract; Norconsult A.S, May 1997

'Annual Progress Report'; Rehabilitation and Maintenance of Feeder Roads in Eastern Province of Zambia; January 2001

'Final Report'; Study Tour to Malawi; UNDP-UNCDF, November 2001

'Final Report' Rural Travel and Transport Programme, Institutional Strengthening for Feeder Roads Management Study; Black & Veatch Africa, 28 February 2000

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Enhanced Road Maintenance by Labour-based Contract; Contract Document ERM/2/5 Chitandika Road; Feeder Roads Project, EP, November 1998

Enhanced Labour-Based Road Maintenance Programme; Progress Report no. 01; Richard J. Ndhlovu, 14th February 2000 to 15th September 2000

¹⁶ Due to the extensive amount of documentation available, some documents were studied in greater depth than others

Rehabilitation and Maintenance of Feeder Roads in Eastern Province of Zambia; Projects no. ZAM/93/009 and ZAM/93/C02; Draft Inception Report, February 1997

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Preparation of Enhanced Training Programme for District Staff, Forming Key-Staff of Contract Management Units; Consultancy Report; John Clifton, June 1999

Road Infrastructure Development; FRP support to Councils in Eastern Province; Simon Tembo, Technical Advisor/ FRP

The Feeder Roads Project District Development Project, Promoting Labour Based Technology in Eastern Province Zambia and Opening up rural areas to the “Outside World” ; GRZ/UNCDF/UNDP/ILO, 9th October 2000

Feeder Roads Project Eastern Province; ‘Monthly Report’ Village Industry Service, for January 1999, February 1999, and March 1999

Rehabilitation and Maintenance of Feeder Roads Eastern Province; Inspection of Contractors’ Equipment and Assessment of the Maintenance Capacity and Training needs of Contractors; I.T. Transport Ltd., May 2001

Introduction to Surveying Principles for Rehabilitation Contractors; ‘Survey Workshop’, 18th February 1999

Feeder Roads Project Eastern Province; ‘Technical Report ’Tractor Hitches, Culvert Mould, Village Industry Service – Jim Hamper (Consultant), May 1999

Road Rehabilitation and Gravelling by Labour Based Contract – Contract Document Volume I; Road no. RD 595 Nzamane-Kazimule Chipata District; Deven Consult, August 1999

Road Rehabilitation and Gravelling by Labour Based Contractors; ‘Works Inspection Report’ Lundazi-Mwase Road, contract no. LUN/99/01; March 1999

‘Taking Risks’ Background Papers UNDP/UNCDF

‘Taking Risks’ UNDP/UNCDF

‘Business Plan’ A tool for internal management; UNCDF, 2001-2002

‘Employment and Sustainable Livelihoods’ Zambia Human Development Report, 1999/2000

2000 Results – Oriental Annual Report, UNCDF

‘Lundazi Township Market Aqua-Privy Toilet Operational Manual’, District Development Project Eastern Province, ZAM/93/005 & ZAM/93/C01

‘Lessons Learned from the Implementation of the District Development Planning and Implementation Project’, Thomson Kalinda. Ph.D. – December 2001

‘Maintenance Manual for use by Communities’, UNDP/UNCDF – February 2002

‘Community Contracting Manual for use by Communities’, UNDP/UNCDF – February 2002

‘Area Development Committee Operations Training Module for District Trainers’, District Development Project – March 2002

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‘Economic Expansion in Outlying Areas (Sida funded)’; Training workshop, Basic Contract Management for Small Scale Contractors; Co-operative Centre, 13th to 17th December 1999

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Labour Based Contracting Development, Training Programme – Trial Contract Arrangement, Mentorship Arrangements, Training Assessment; Roads Training School, September 1996

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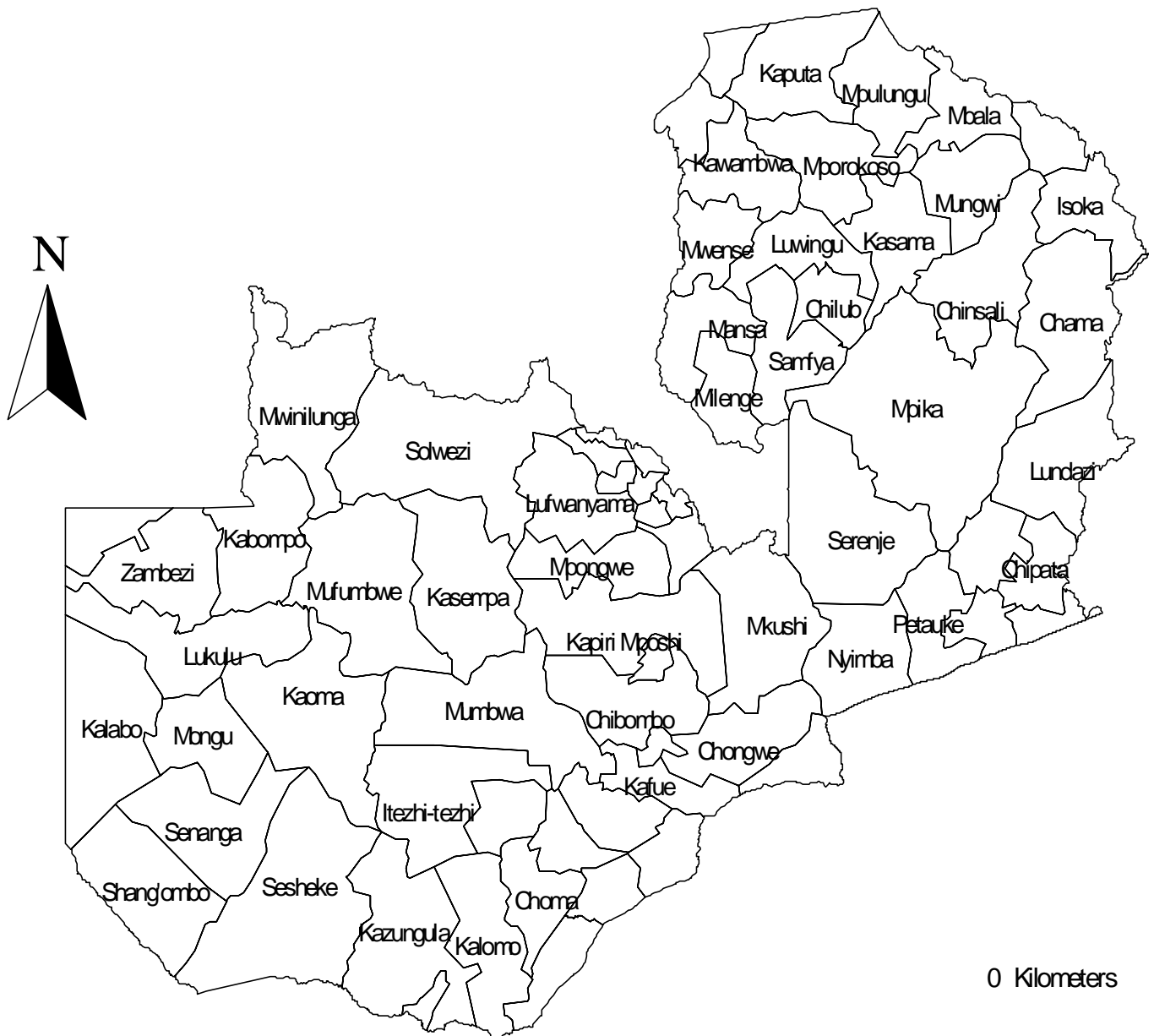
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Annex 18
Map of Zambia

Map of Zambia



11 Key Findings And Recommendations

11.1 Findings

The FRP has been successful in achieving the main targets under the immediate objectives and contributing to the development objective. The FRP has demonstrated the capacity that can be created in District Councils and the local construction industry for improving and preserving road infrastructure for the people of Eastern Province and for replication within Zambia and beyond its borders.

11.2 Recommendations

To safeguard these achievements, the evaluation team proposes the following recommendations:

11.2.1 Improvement of the Operational Environment

- The streamlining and decentralisation of systems for awarding and effecting payment for roadworks needs to be addressed. This requires a two-fold approach: one is the increase in the limits set for the tendering of contracts at Provincial and more particularly at District level to allow the handling of at least maintenance contracts within the district, and rehabilitation contracts within the Province. The second approach is to decentralise payment. At the moment the NRB at central level effects all payments and this requires the passage of paper work through several layers of Government. Late payment can have severe effects on labour-based operations, as prompt payment is required to cover wages. An assessment of relative district capacity and close monitoring and auditing by central agencies rather than direct management would be an appropriate solution to decentralising these activities.
- The cost of design, contract preparation and supervision of works must be included in the funds sent to the Districts to enable the CMUs to carry out their own work and/ or hire consultants. Pressure must be brought to bear on the national institutions and their agency partners who are responsible for the distribution of maintenance funds. If routine maintenance funds do not reach the Districts, then the impact of the FRP will be severely reduced. Without repetition and practice of the planning and management skills the Districts have acquired under the project, these skills may well diminish. Equally the capacity created within the private sector may disappear out of the roads sector if maintenance contracts are not available. There is promise of some contracts being awarded in April/May, but the past two years have seen no maintenance funds reach the feeder road network in Eastern Province, and many other Provinces.
- If the existing policy statements within the NRB and ROASIP on the increased use of labour-based methods are to be translated into actions, then amongst the measures that need to be taken, is the sizing of rehabilitation contracts to suit the local provincial and district-based construction industry.
- With the success of the FRP, there has sprung up an interest in establishing small local contractors. Unfortunately some of the contractors registered have no training in the application of labour-based methods and some of the works reflect this lack of knowledge. Without curbing the liberalisation of the private sector it should be possible to register contractors properly based on their staff qualifications and training, experience, financial standing etc. This should be done as soon as possible either through the Ministry of Works and Supplies, the Ministry of Local

Government or the National Council for Construction. Proper registration of contractors will assist District Councils and communities in their selection of suitable contractors. With ROADSIP intending to train additional contractors, this registration could also be used to assess the companies who would benefit from increasing their skills and capacities.

- The Roads Training School should continue to play a central role in training programmes for the Roads Sector within Zambia. This will ensure incorporation of lessons learnt and a uniformity of approach to training across the country.

11.2.2 Additional Outputs and Contributions to Lessons Learned

- It has been proposed that part of the remaining STS funds be used for a comparison of labour-based and machine-based rehabilitation and maintenance. This should be supported, as comparisons are not easy to make when road standards and amounts of work vary from contract to contract. The comparison also needs to take into account full costs including contract preparation and supervision as well as the direct works. It is therefore best to carry out such comparisons as a separate dedicated study. This study would provide evidence of the costs, which would be useful to policy makers.
- The contractors' handbook and the supervision manual should not only be finalised, but also the final versions printed and distributed.
- A complete set of project documents should be collated and placed in a secure "home" within Zambia where the information can be accessed by any interested party. A copy of the documents should be stored separately and ILO/ASIST in Harare could provide this service and make the information available to a much wider audience.
- There has been a request from the MLGH for support to the FRS/ DISS /MLGH at central level on policy setting, standardisation, and guidance for DCs. This would be based on the results of the FRP and the incorporation of the lessons learned into this central body. It is anticipated that the formulation of this assistance will be followed up through the ILO /UNDP STS agreement, but it deserves the full support of the UNDP and UNCDF if the lessons from the FRP are to achieve a national impact.
- The ILO and other project partners should build on the interest shown by the Universities for the integration of labour-based methods into the appropriate curricula.

11.2.3 Continued Support

- Support to Eastern Province in the form of technical assistance should not be brought to a halt just as the capital investment funds finish. There is a need for further technical backstopping and support of a less hands-on type for the CMUs and a need for mentorship /advice for the contractors. At present the logical solution for this technical assistance would be for a national consultant with knowledge of the FRP to be placed within the office of the Provincial Local Government Officer in Eastern Province as an extension of the project. However, given that the transport policy may be approved shortly, the agreement would need to remain flexible to allow transfer of this assistance to the relevant office, should a new set-up at provincial level be proposed. This technical assistance would need to be supplemented with a budget for further training, problem-solving seminars etc. for principally for the public sector but also the private sector. The minimum period should be 12 months.

There is a possibility that the NRB will appoint a consulting company at Provincial level to support the Districts in their management of the road network. If this is the case, the ToRs for the two consultancies would need to be compared and overlap avoided. A solution would be to involve the NRB in the selection of the FRP consultancy company, with the view to the company having sufficient capacity to carry out both functions and avoid any possibility of conflicting advice being given to the districts, and safeguarding continued training and capacity building.

Given that the total number of kilometres to be put under maintenance at present is 833km, there is insufficient capacity within the 13 trained routine maintenance contractors to achieve this. Even with the involvement of the rehabilitation contractors in routine maintenance, there is insufficient trained capacity to maintain all the maintainable roads. If additional stretches of road were to be spot improved, then there would be an even larger shortfall.

It is therefore strongly recommended that additional funds for training are made available. A training programme should be devised by the RTS together with the TA in the PLGO's office, for increasing the number of routine maintenance contractors. It is recommended that a further 20 routine maintenance contractors are trained. The trial contracts however will remain dependent on the release of routine maintenance funds from the NRB/MLGH.

This training budget would be in addition to the budget covering inputs for further strengthening and capacity building for the District Council - CMU staff, and mentorship and problem solving seminars for both the CMUs and the locally-based private sector. The approach for the capacity building and the budget should also be discussed with the RTS.

Depending on the plans developed, the period of the Technical Assistance at the Provincial level may need to be increased beyond the minimum recommended 12 months.

- With the delays in the management of the equipment loans and the abrupt finish to funding of rehabilitation and maintenance, there has been little opportunity for the contractors to emerge from the "safe haven" of a project to gradually face the rigours of the real world. There is a need for continued advice, perhaps even to a wider cadre of contractors, on running a business, credit, marketing, equipment depreciation and replacement, and effective lobbying. This could be managed through the EPLBRCA, the Association of Small Scale Local Contractors or the National Council for Construction (NCC). If this were done through the NCC the same expertise would be available to the labour-based consultants as well as contractors and to a wider group of new enterprises. This component would need to be compatible with the other proposed activities and therefore should be developed together with all stakeholders, the RTS, and if in place, the TA in the PLGO'S office.

This component could also take up the issues of including equal opportunity measures and HIV/AIDS awareness as compulsory in all contracts, paid for under items in the Bill of Quantities. Contractors are part of the private sector that are trying to make a profit from their businesses, therefore issues of social concern should be well defined and paid for in the contract, and adequately monitored by the Government agencies.

- With the proposed continued funding of the DDP, any roadworks chosen through the DDP planning system should be made available on a competitive basis to the trained consultants and contractors in order to ensure that the private sector which has been trained, and which should produce good quality works, are those that are being employed.
- The project partners should continue to support and provide inputs to the decentralisation and road sector policy consultations. It is important that UNDP and UNCDF use their links to Government Ministries and other donors effectively. In particular the World Bank was included as a UN Cooperating Agency in the original project document. They are supporting the NRB and as such would be a useful discussion partner, together with the MTC, MOW, MLGH and the NRB.

11.3 General Recommendations For Future Programmes

- An exit strategy should be included at the design stage of the project and should be regularly adjusted to meet the requirements of the national environment within which the project is operating. Particularly where anticipated policies have not been developed, then the exit strategy must be altered to take this into consideration, and acted upon before the end of the project period.
- There has been a considerable loss of trainees over the project period and therefore it is recommended that for all future training programmes extra capacity be trained to ensure that sufficient skilled staff stay in post in both the District Councils and the private sector.
- The contractors bought a package of equipment, some items of which did not perform well. It was difficult to include them in the original selection of equipment as they had no previous experience of labour-based works, but some will have had experience of operating individual items of equipment (i.e. water pumps or pick-ups).

For future projects of this nature a one-year hire of equipment by the contractors from the project followed by an option to buy, with the hire sums being subtracted from the price, might be a better option. This would mean that the contractors could choose which items of equipment they wished to buy and which items they would prefer to source elsewhere. Therefore should difficulties be experienced with any items of equipment, the contractors would be in a position to decide not to purchase and look for a suitable local alternative.

- There have been few women involved in the private sector companies, which underwent training, except more recently as Directors dealing with finance. This situation is a reflection of the small number of young women taking science and engineering subjects. However every opportunity should be used to look for positive role models, even when staffing projects. The DDP and FRP professional staff are all male.
- The delivery of access to local communities is a major part of the infrastructure responsibilities of District Councils. Through road access, economic opportunities can be increased as well as service provision. Through labour-based methods of work more of the funds for the road sector will remain in the Districts and benefit the population. The appropriate size of contracting and consulting companies enhance the Districts capacity to manage their own infrastructure maintenance and improvement works. This is entirely compatible with the aims of capacity building for decentralisation and the resulting improvements in governance. Therefore the

inclusion of a feeder roads component should be favourably considered in future projects that support decentralisation.

- Future Programmes should build on the experience of the FRP in benefiting from the synergies achieved, through accessing the expertise offered by various agencies and sections of the private sector, in contributing to the project implementation and local capacity building.