

JOINT COUNTRY PROGRAMME ZAMBIA

FINAL MIDTERM EVALUATION REPORT

NORWEGIAN CHURCH AID ZAMBIA

RESOURCE GOVERNANCE PROGRAM

PERIOD: JANUARY 2016 TO DECEMBER 2018.

BY THE JOINT COUNTRY PROGRAM (JCP)



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LIST OF ABBREVIATIONS

AMI	Alternative Mining Indaba
CA	Christian Aid
CCC	Cooperation, Coordination, Committee (of JCP)
CDoS	Catholic Diocese of Solwezi
CS	Civil Society
CSCC	Civil Society Coalition on the Constitution
CSPR	Civil Society for Poverty Reduction
CSOs	Civil Society Organizations
CSO	Central Statistics Office
CTPD	Centre for Trade Policy and Development
DCOs	District Coordination Officers
EITI	Extractive Industry Transparency Initiative
EU	European Union
FBOs	Faith Based Organisations
FORUT	Campaign for Development and Solidarity
FPPs	Focal Point Persons
GDP	Gross Domestic Product
GESA	Gender Equity Self-Assessment
GRZ	Government of the Republic of Zambia
HAP	Humanitarian Accountability Principles
JCP	Joint Country Programme
JCTR	Jesuit Centre for Theological Reflection
MGCD	Ministry of Gender & Child Development
MOU	Memorandum of Understanding
NCA	Norwegian Church Aid
NGOs	Non-Governmental Organizations
NOK	Norwegian Kroner
PDRs	Performance & Development Reviews
PMER	Planning Monitoring, Evaluation & Reporting

POs	Programme Officers
PRM	Public Resource Management
PWYP	Publish what you pay
RG	Resource Governance
RHs	Right Holders
SHG	Self Help Groups
ToC	Theory of Change
UPND	United Party for National Development
WASH	Water, Sanitation and Hygiene Promotion
ZAMI	Zambia Alternative Mining Indaba
ZEC	Zambia Episcopal Conference
ZGF	Zambia Governance Foundation
ZINGO	Zambia Interfaith Networking Organization
ZLA	Zambia Land Alliance
ZMW	Zambian Kwacha

EXECUTIVE SUMMARY

The Resources Governance (RG) Program aims at achieving equity accountability and transparency in national resources to reduce poverty and spur development in the country. In this regard the program is careful to strengthen governance, responsibility, ownership and accountability structures by promoting pro-poor policy and legal framework.

Communities around the extractive industries have been empowered to demand for services, raise complains and follow to the end promises made by the investing companies. The outreach groups spread across the country have succeeded in mobilizing the host communities, train them on their rights and empowered them to advocate for change in their communities. Evidence is available on changes and gains from the efforts of this program to the communities: Kansanshi Mines has put a community outreach office outside the mine to receive complains, integrate with the community and facilitate the entire community projects through it. Consistent advocacy from the communities has resulted to delivery of services from the mining companies including good classes for schools children, community health clinics and roads network.

Success has been noted in budget tracking by the various outreach groups under the Resource Governance program. This is as a result of improved access to information from the councils on the projects approved for funding and the corresponding budgets. Empowered outreach and community members have made known the activities and programs of RG and the benefits to the communities and have succeeded in creating a good relationship with the councils to an extent that they get information otherwise previously classified confidential. It has made the social audit of community projects be easy and meaningful hence promoting transparency and

accountability. There is evidence of successive tracking of stalled projects that now have been implemented:

Holding the duty bearers to account as an outcome has been made successful through the coordinated Indaba meetings. It brought together stakeholders to discuss pertinent aspects affecting the communities and councils, also providing and interaction and questioning the duty bearers. During these meetings, stalled community projects were reignited; use of public resources reflected and Government plans were shared to the public. However tracking and accountability needs to go beyond the infrastructure demands to services in the particular structures: in schools to demand for more teachers' presence, in hospitals for nursing staff and enough medication. At the same time use elaborate accountability, tracking and analysis models that are all inclusive to realize greater results.

Outreach groups for the FBO and the CSOs are a critical resource for the success of the RG program. The opportunities in them should be properly harnessed to produce more sustainable results and impact to the community. This is in terms of formalizing their internal governance, leadership, roles and responsibilities. It also calls for further training to be able to articulate issues of budget tracking, monitoring, reporting, communication and relationship management. Mobility and facilitation is quite necessary to this team who operate expansive and vast areas which will make it easy for them to coordinate and carry out the planned and targeted activities.

Grant holders of the RG program through their outreach networks can consolidate at provincial and National level to challenge legal and policy framework for the extractive industries and budgeting process. Sustaining such interventions, legally binding transparency structures, processes and measures are necessary to be put in place. The CSO, FBO and other alliances should advocate and push the government to identify, legislate and enforce such provisions in law. Legal and Policy changes

require formidable movement to put pressure on the legislators and the Government to enact changes favorable to host communities in terms of compensation, tax, service delivery and investment contracting, all of which should be angered to the main constitution. The National coalition will then be the audience to validate progress made and provide checks and balances among themselves.

Media engagement has been used to get out to the public information on the advocacy works by the program, complains from the communities on service delivery, training and skills sharing. Media network in Livingstone is bringing together decision makers to change the constitution and allow access to information become law. The campaign to meet legislators, ministers of justice and group of advocates is a sign that there will be changes to constitution favorable to the common man. There is need to engage media more in the implementation of RG program and also find innovating strategies to pass the information across.

PART ONE: INTRODUCTION

1.1 Background

In Zambia, natural resources have the greatest potential to bring wealth and stability by better harnessing revenues to support education, health, agriculture and environment. The question is “why do One-third of the world’s poorest people live in resource-rich countries”. Corruption and mismanagement of natural resources are the leading reasons.

Policy advocacy requires hard work and long term commitment and the advocacy organizations should agree to bring together the resources, time, energy and talent to skillfully take advantage of opportunities to influence the policy process.

This will require:

- Clarifying roles, relationships, assignments and responsibilities
- Share out the leadership functions within the networks according to various strengths
- Take interest in each organization’s achievements
- Innovate and create problem solving avenues to foster trust, confidence and commitment.

The network will be required to assess the local and national political environment, realities, opportunities and gaps so as to plan appropriately and face reality of policy advocacy. Take self-audit to strengthen the network by looking deep on the following:

- Crystalize mission
- Review membership and how to attract other talents
- Available skills and resources
- Identify gaps
- How to stay focused and informed
- Have in place new strategy and roadmap.

The starting point will be to actively do **proper outcome harvesting**- assess all the gains and achievement within the period of the partnerships, challenges and gaps to date, then strike a balance on what exactly has to be followed going forward. A critical roadmap be put in place and using the

advocacy champions available, change the approaches and ensure you are more active and result oriented.

Resource Governance Program ideas were well conceived to improve the financial transparency in the extractive industries in Zambia, empower the citizens and host communities to hold the government accountable for the minerals being extracted.

Resource Governance (RG) program is as a result of the previous overall JCP program implemented in the years 2011 to 2015 under the headline “Resource, Finance and Accountable Governance (RFAG)”. It is among the four other programs run by JCP in a strategic framework of 5 years starting 2016 to 2020. The programs are closely interconnected with an overall vision of “a Zambia where all women, men, girls and boys on equal terms are empowered to enjoy civil, political, economic, social, environmental and democratic rights, so they are benefitting from a restored, resilient and sustainable growth of the country”

Resource Governance was comprehensively defined to operate within the three years of 2016 to 2018 with the overall goal to contribute to a Zambia that is transparent and accountable in the management of National resources and guarantees citizen’s benefits. Its implementation is through partnerships with national established FBO, and advocacy civil societies with a national outlook and well established outreach groups.

Core program partners and who are the grant holders include the following:

- CSPR- Civil Society for Poverty Reduction
- CTPD- Centre for Trade Policy and Development
- JCTR- Jesuit Centre for Theological reflection
- CCZ- Council of Churches in Zambia
- Caritas Zambia - in a consortium with , Publish What You pay and Catholic Diocese of Solwezi

The implementing partners are spread in the five provinces of Northwestern, Eastern, Western, Southern and Copperbelt where JCP works.

Overall this program was required to deliver on four specific outcomes as indicated below:

- Rights holders have influenced the development of public plans and budgets to be more aimed at reducing poverty
- Women and men contributed to public budgets being implemented according to plan
- Women and men influenced policies and legal frameworks governing extractive industries
- Duty Bearers have been held accountable to community rights in the mining industry areas

1.2: Approach and Methodology

Quantitative and qualitative data collection approaches were used for the purpose of improving community engagement and validate the data accurately.

Most of the data received from the Partners and the coordinating teams of the program were quantitatively analyzed and the evaluation team in addition had face to face interviews with community members and partners. Interviews supported the evaluation team to get to the depth of implementation with structured questions targeting thematic areas.

Qualitative data was quite useful as the team engaged the interviewees on discussions and triangulation which also include field observations, project sites visits to learn on the opportunities and challenges. Interviews were administered successively using open ended loose questions focused on critical incidents of the program

Community process interviews included a mixture of qualitative and quantitative to address delivery of issues under evaluation.

No.	CATEGORY	NAMES	No.
Community Members Focus group discussion (9)	Chwala Community- Ndola district- Copperbelt Province.	21	
	Zimba Community, Mufulira District	16	
	Futurepreneurs Youth group – Mfulira	9	
	Kakaindu Community- Solwezi District	20	
	Kyafuma Community – Kalumbila District	18	
	CCZ SEJ Group Mamba Community outreach group in Sinasongwe	25	
	Natural Resource Watch Group Mamba community in Sinasongwe	22	
	Ngwenywa Community	15	
	Liguyu Compound, Livingstone, Southern Province	13	
Outreach Groups 58	Father Francis Mukosa, Director Diocese of Ndola (Caritas)	1	
	JCTR Outreach Team Ndola	2	
	Natural resource Watch group (CTPD) Mfulira	5	
	Publish What You Pay : Mfulira District	8	
	CCZ Serge Group Mfulira District	10	
	North western Enterprise Club	8	
	Youth Alliance for Development		
	Food for living & human development services		
	Youth, governance & Environmental development		
	Zambia Land alliance		
	CCZ Anglican Church of Zambia Serge group Solwezi	6	
	Bishop Anthony - Catholic Diocese of Solwezi	1	
	Musele Nkisu Task Force Outreach Group Caritas Solwezi	10	
	JCTR Livingstone Outreach Team	7	
Media 12	SUN FM Media, Cooper belt Province, Ndola Zambia	1	
	Times of Zambia' Newspaper- Ndola	1	
	Publish What You Pay- Mfulira	5	
	Zambia News & Information Agency-Sinazongwe	2	
	Times of Zambia – Livingstone	1	
	Press Club journalists Livingstone	1	
	106.8 FM Radio Mosi-Oa-Tunya Livingstone	1	
Government Offices 23	Principal Planner office of the Director, Ndola City	1	
	Zambia Agency for Persons with Disabilities, Office of the Provincial Coordinator- Ndola	1	
	Area Councilor- Zimba Compound- Mfulira	1	
	Assistant Permanent Secretary Republic Provincial Government Headquarters North West Province	2	
	District Commissioner, Provincial Government Headquarters North West Province Solwezi	1	
	District Commissioner, Kalumbila District, North West	1	

		Province	
		Government Officials (Civil Engineer, Provincial Agriculture Planner and Senior Planning Officer North West Province)	3
		District Commissioner's (DC) Sinazongwe District	5
		Social Welfare Department at District Commissioner's (DC) Sinazongwe, Southern Province, Zambia	2
		District assistant for planning and statistic officer	1
		SPPMT Chairperson Southern Province, Southern Province, Zambia	1
		Regional Water Social Welfare Government of Zambia	1
		Health Planning Officer, Ministry of Health Libuyu Clinic - Livingston, Southern Province	2
		Social Welfare Government of Zambia - Livingston, Southern Province	1
	Mining Companies 6	Kanshansi Miming	2
		Barrick Lumwana	2
		Collum Coal Mining Industries Limited, Southern Province, Zambia	2
	Implementing Partners 26	JCTR	5
		Centre for trade and policy development	5
		Caritas	7
		Council of Churches Zambia (CCZ)	4
		Center for Poverty Reduction (CSPR)	5
	JCP Coordinating team (NCA Officials	Snr Programme Coordinator RG	1
		Communication Coordinator	1
		Head of Programmes	1
		Country Director	1

Table 1.1: Sample Size

The documents received from JCP coordinating office including annual Reports, implementing partner's biannual reports, proposals, strategic plans and baseline survey provided quantified data for the evaluation and also basis for validation and analysis. The implementing partners provided hardcopies for progress in various thematic areas, print out on legal and policy frameworks and strategic directions and visions.

Community Focus group discussions were also held with the host communities who gave their relationship status with the mining companies and Government officials. The discussions validated

the opportunities and challenges reported in the program milestones. Participation in the discussion was controlled to ensure most members participated in the discussions mostly women and the questions were targeted towards achievement realized within the period.

No.	Interviewees	Planned	Interviewed	Variance %	Share %
1	Community Members (FGD)	6	9	183.33	7.44
2	Outreach group officials	15	41	186.67	33.88
3	Media	2	12	300.00	9.92
4	Government Officials	8	23	212.50	19.01
5	Mining Company officials	4	6	150.00	4.96
6	Implementing Partner officials	10	26	220.00	21.49
7	JCP Management team	4	4	125.00	3.31
			121		

Table 1:2: Sample distribution

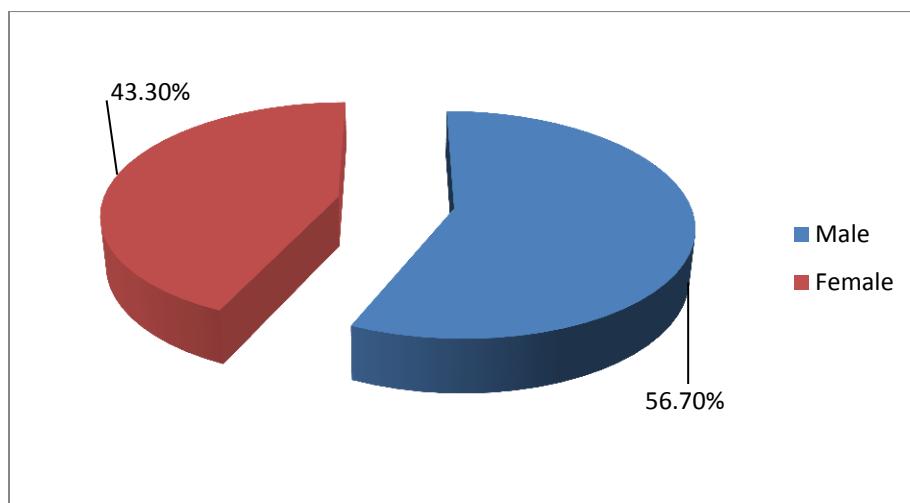


Figure 1:1: Sample distribution according to Gender

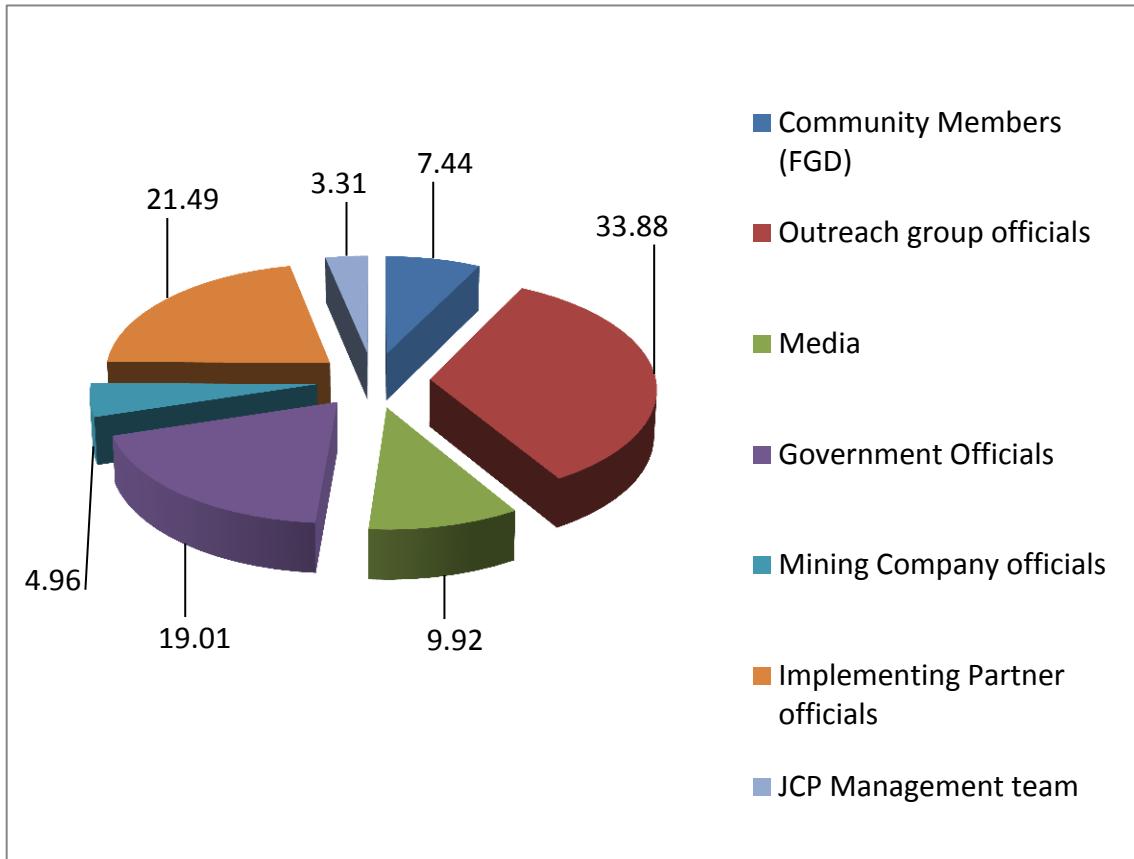


Figure 1.2: Sample distribution

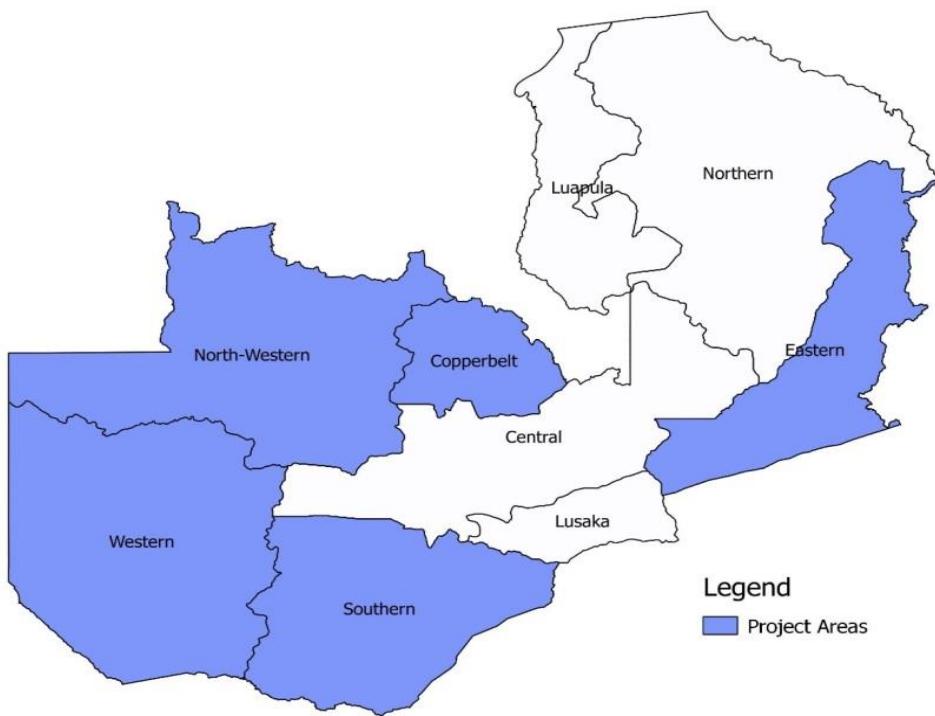


Figure 1:3: Project areas RG in the country

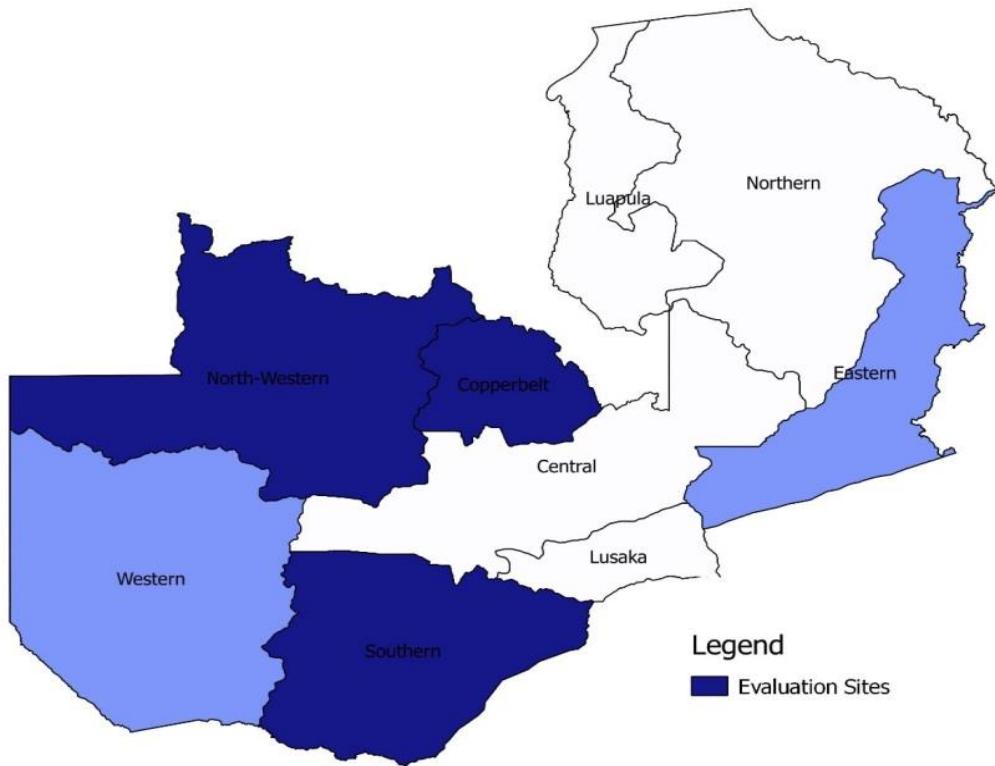


Figure 1.4: Area visited and evaluated.

PART TWO: KEY FINDINGS:

2.1: Outcome Based Evaluation Findings

2.1.1: Outcome 1: Communities have influenced the Development of Public Plan & Budgets to be More Aimed at Reducing Poverty.

Capacity Building on the budget cycle and process has been achieved to a larger extent as testified by the community members and outreach group leaders interviewed. This also includes sharing on the government National Development Plan. The Community members gained the knowledge to know when the budgets are to be formulated and how they can participate. How do you consider the training you received on planning and budgeting process?

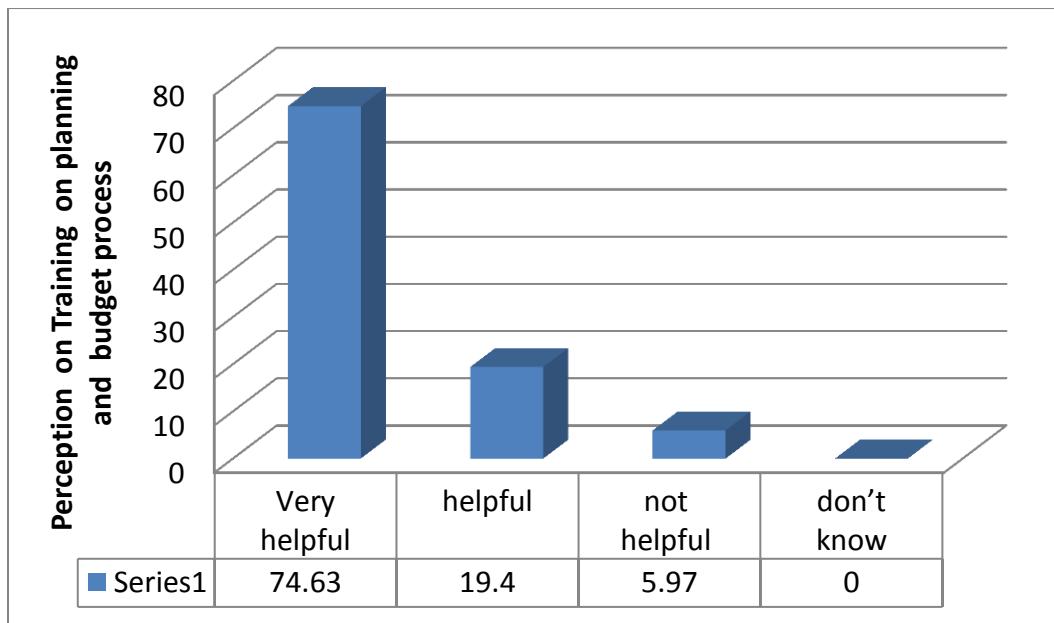


Figure 2.5: Community perception on capacity training

Implementing partners have been successive in holding round table meetings with minister of Finance and other experts in the finance ministry. This has been helpful in pinpointing areas of community participation, rural planning and service delivery budgets. At the same time the partners have built the capacity of service providers in the areas of planning and inclusiveness through sensitization workshops and training.

There have been more opportunities to submit budgets by the public. Ministry of finance is now receiving submissions from provincial level unlike the previous years when it will only receive at national level. Resource Governance groups at provincial level are now getting the opportunity to submit budget estimates for community projects. Other partners in the RG are directly submitting the budgets to the ministry of finance taking into consideration community and rural project. Departmental heads at some Districts are also including the communities through various avenues to submit their budgets (Health, Education, Water, Agriculture, Roads and transport).

The wards Development committees is the lowest level of community participation but the evaluation found out that their mandate and roles are work in process. In some areas it is operating perfectly and in some other areas it is not completely working and it is not recognized by law through the minister of finance.

Analysis was done through the interviews and desktop review on achievements by the community towards influencing the budgeting and planning processes at local councils. Planning and budgeting process is supposed to start from the ward level spearheaded by the ward budget committees. The committee is said to be a composition of selected individuals in every ward. At the council there are councilors elected from every ward who make decisions together with the council administrators.

2.1.1.1; Existence of the Ward Budget Committees

On the existence of the ward budget committees; of the community members interviewed; 78% of them confirmed to be fully aware of the existence of ward budget committees; while 22% of them were not aware of the existence of the ward budget committees.

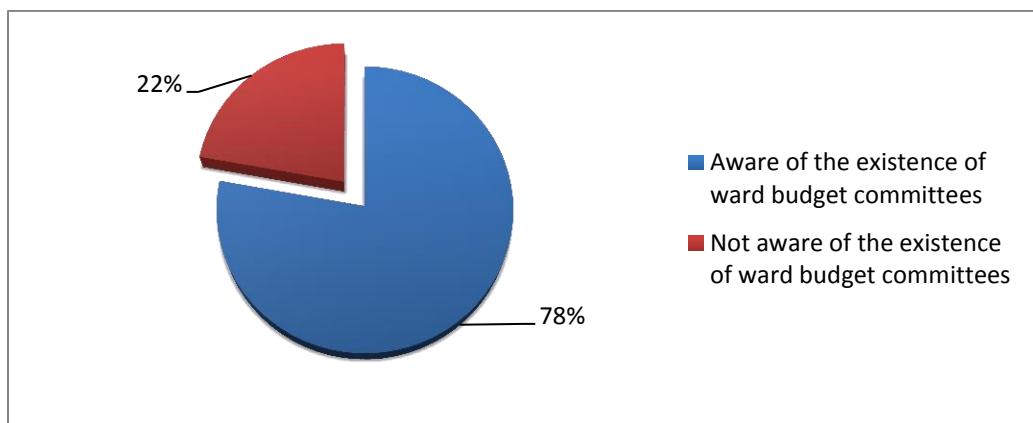


Figure 2.6: Community Awareness on ward budget committee

2.1.1.2: Formation, Composition and Mandate of the Ward Budget Committees

On the formation, composition and mandate of the ward budget committees; of community members interviewed 50.7 % of them understood how the ward budget committees are formed, composition and their mandate while 49.3 % were not informed of the formation, composition and the mandate of the ward budget committees.

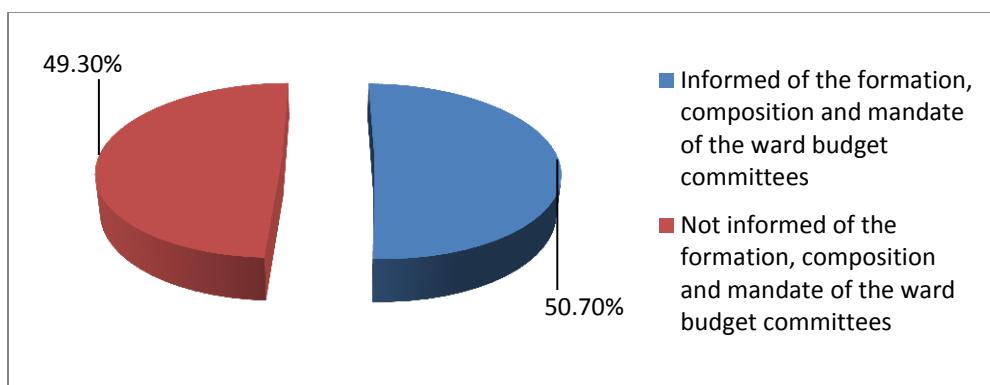


Figure 2.7: Community informed on the composition and mandate of the ward budget committees

According to the evaluation findings, these ward budget committees are at the center of influencing the development of public plans & budgets. Conflicting operations will need to be resolved and their existence legitimized

2.1.1.3: Information on Budget Formation at the Local Government:

From community members interviewed on knowledge on how local government budget is prepared; 62% of them confirmed they fully understood how the local budgets are prepared while 38% were not aware of how the local budgets are prepared.

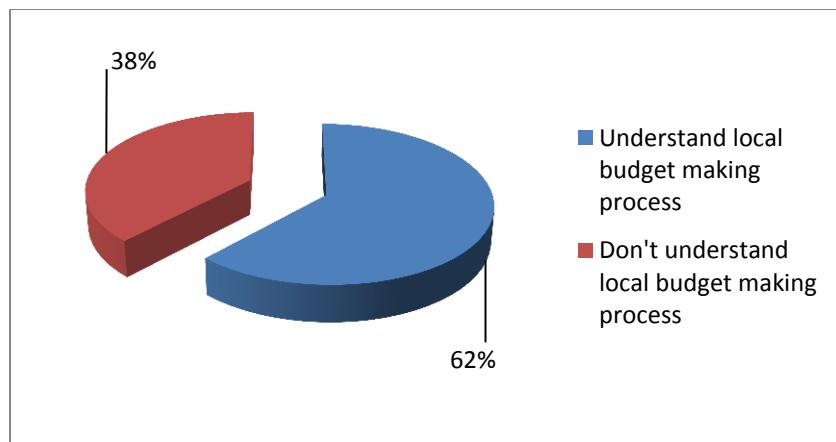


Figure 2.8: Community level of knowledge on the budget making process

2.1.1.4: Do the plans and budgets approved take into consideration the community priorities?

The community members interviewed 82.4% said the plans and budgets are not a true reflection of community priorities while 17.6% agreed that the plans and budgets reflected community priorities.

Most community members interviewed suggested that the plans and budgets are as a result and influence of few councilors, mayor and administrative officers and it leaves out most pressing budget priorities.

The partners have put a lot of effort and resources to ensure the Planning and budgeting act is passed by parliament but this is still delayed and not achieved. If passed the Act will be a platform for inclusiveness by affording the citizens and local communities a desirable opportunity in law to meaningfully make contributions and participate in the planning of the economy.

2.1.2 Outcome 2: Community Contribute to Public Budget Being Implemented According to Plan.

Local host communities from the findings were able to follow up promises and plans for service delivery from the mining companies and the Government and as a result schools, health clinics, boreholes and roads were implemented. RG program through the partners and outreach groups

have formed community structures and empowered them to follow-up on budgets and community projects. How do you rate the success in tracking Budgets for planned projects in your community?

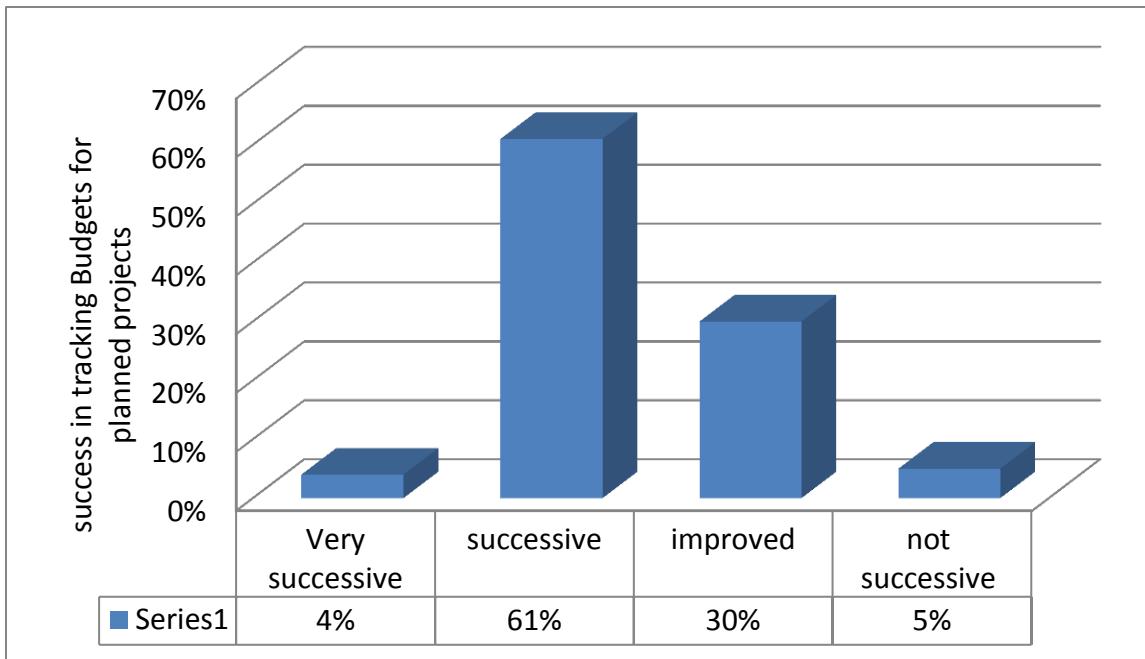


Figure 2.9: Community Perception level on level of success or failure on budget tracking

Improved access to budgetary information is a yardstick for analyzing and tracking projects. Communities are now able to get Government Budget (yellow book) and also the Auditor General report every year to analyze and follow up on various projects earmarked for their community. There is evidence and success from the budget tracking by various communities who have taken up ownership of the process and demanding for actual delivery of the projects. How can you rate the effectiveness of getting information from the Government offices these days:

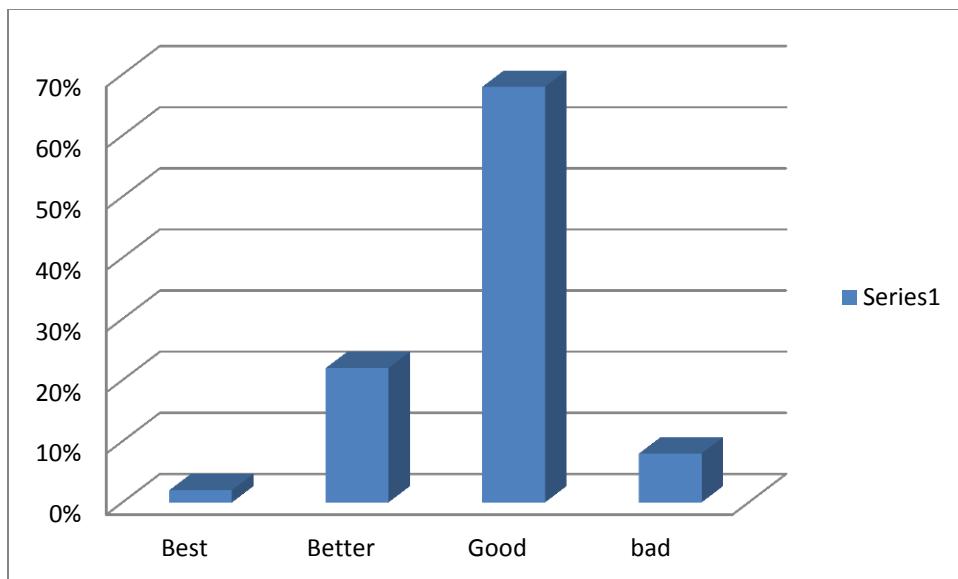


Figure 2.10: Ease of getting information from the Government offices

The champions of budget tracking are also using local and social media to demonstrate the facts and status of various stagnant projects or those that have not been completely implemented as budgeted. The main problem remaining is prompt disbursement of the budgets as designated in the yellow books and hence will require higher level of budget tracking.

From the evaluation findings, community in RG project areas who were interviewed indicated that they were involved in monitoring community project through various approaches. These approaches included:

2.1.2.1 Budget tracking

- i. Increase in knowledge of the government budget cycles. Initially the communities didn't know they had a right to demand for particular services from the government. After engaging them in training e,g. education sector, water and sanitation, health services, had led to a new paradigm shift on improvement in health services. Budget tracking had made government departments to understand the budget systems and implementation and appreciated that advocacy. For example, Munilunga primary school hadn't been constructed but could be appearing in the Yellow Book but money remained at the provincial offices, after disbursement. After follow-up with the administration, the school was built.

ii. The community through RG advocacy had been able to fast track the supply of clean water and are still advocating for the expansion of the whole water supply system. For instance:

In Ndola, outreach members from the local community were able to advocate for quality and reliable supply of water and effective sanitation system. The success in WASH had contributed to acceleration of water supply, zero outbreaks of waterborne diseases and increased collaboration in exchange of information in education, health and water, though no immediate results had been observed, it was on course.

iii. Through JCP programme, communities have been involved in ensuring that local revenue is shared equitably.

In Mfulira the community had influenced and ensured the construction of community market constructed using money contributed by mining companies and local authority.

iv. There were budget consultative forums based on Auditor General's Report on misappropriation of funds in Education and Health, monies were deducted from the implicated worker's salaries. Maramba Primary School absolution block completed, Community submitted budget proposals to the government for consideration on water and sanitation in Liguyu compound and Ngwenya compound, they then had piped water •

2.1.2.2: Participatory Field appraisal by community members

Various community members would bring on stakeholders such as parents, Parents-Teachers Association, Ministry of Gender, youths, elders and women. At first they focused on grants to procure books, desks, boarding secondary schools, construction of classrooms done by Constituency Development Fund (CDF) money. This was evident to the mining communities in Kalumbila & Solwezi. RG program had helped them gain skills to engage confidently with other stakeholders like the government and mining companies on issues of water and sanitation, health and education.

They wrote letters to mining companies and the provincial government on the importance of corporate social responsibility, for example, a community in Manyama demanded benefits of minerals resource extraction in their area. And Makavola community as a result had two boreholes.. The community contributed and took water samples for testing in Lusaka. It was discovered that water had higher levels of lead, cadmium and chloride. The community members had united, the local councilors and were moving to court to sue the Mufulira Water Company for negligence. Meetings and coordination between communities and mining companies had improved. Communities realized environmental responsibilities between the government and mining companies..

2.1.2.3; Document Analysis

Most sensitive documents from the Government are now being analyzed by communities to give correct statement on what is planned for the community. It is evidence of progress or lack of it as most communities have relationships of getting information from the local councils.

The community organizations do analysis of documentation of extractive industry on how much the company was disbursing to the municipality and national government; and the utilization of resources by the municipal to the community.

2.1.3: Community influence policies and legal framework governing extractive industries.

2.1.3.1: Policies on revenue sharing and host communities

Host communities through the empowerment process of the program have continued championing for their shares from the mining companies by engaging them on service delivery and community development. There has been success and other communities are now getting 10% of rates paid locally being channeled to community priority projects.

RG program has been active in championing Property rating Act, to enable local councils have the capacity to receive land rates from the mining companies.

2.1.3.2 Active participation on the E.I.T.I Bill implementation

Zambia is a global member of Extractive Industries Transparency Initiative having complied with the prevailing terms and conditions, and has put in place the corresponding Bill. The RG governance partners have actively contributed to the bill that is in place

The Bill describes how licenses and contracts are allocated and registered, who are the beneficial owners of those operations, what are the fiscal and legal arrangements, how much is produced, how much is paid, where are those revenues allocated, and what is the contribution to the economy and employment arrangements.

2.1.3.3 Coordinating Alternative Mining Indabas

RG program has facilitated both provincial and National Indabas to bring together partners, communities, mining companies and the Government. This is an opportunity to discuss amendment and review of existing laws and policies to make the more favorable to the communities. At the same time new approaches and strategies to manage the mining industry were discussed. Delays in implementing the policies and Bills still remain a major gap that has to be continuously addressed.

2.1.3.4. Participation on tax Regime Improvement

Minister of finance scrapped the 5 years tax holiday incentive after provisions and pressure from the resources Governance partners. The tax incentive to investing companies was punitive to the tax collection system and its remove will improve quality of tax and broaden the base. The progressive changes are limiting the loss of tax income and closing all the loopholes will mean the country will benefit in generating enough tax to sustain the national Budget.

2.1.3.5 Mines and mineral act Reviewed

The mines and minerals Act has been reviewed and enacted with the support from the partners in the RG program. It now guides all the needs in the mining sector, spells out exploration of mines, minerals processing and environmental protection.

Uranium Extraction policy submissions have been made through the effect of the RG partners so as to regularize the sector and ensure there are benefits to the Government and communities while also

addressing the environmental and health challenges that comes along with uranium mining. However in this section still advocacy to include areas not addressed continues and also reviewing areas that still remain gray in the Act.

2.1.3.6 Employment policies in extractive industry an host communities

On employment of Locals in the mines, the evaluation indicated some progress being made. For instance, Kanshansi Mine has employed quite a number of women. Through a partnership the Ministry of General Education under the establishment of Solwezi Trade Institute 35 girls were recruited to be trained on skills such as welding, brick laying, igniting ('Kwambula') and electrical are being taught to women who have been sponsored by the joint effort.

Barrick Lumwana mines had put in place procurement policies that ensured that the local community could trade and benefit from the company procurement opportunities. This was as a result of the engagement with the mining companies by RG partners.

2.1.3.7. Policies on information sharing guiding extractive industry and host community

Through PWYP a lot of information is being shared across from the community, mining companies and Government on the existing injustices. This has led to many changes in the mining industry and also to the Government officials.

Kanshansi Mines established Complaints office for community outside the mines through the advocacy by RG program to take care of community grievances. The grievances are addressed within 48 hours.

2.1.3.8. Extractive industry CSR Policies and host communities

In Kalumbila, the Chief and community engaged the mining companies in their area and demanded for corporate social responsibility which led to provision of water and sanitation services in the area. Kanshansi mine came up with the foundation to resolve Gender-Based Violence, the company had provided a one-stop center at the general hospital. A safe house was provided by YWCA and a

victim support unit provided by Caritas. In 2017, 285 orphaned and vulnerable girls were returned to school.

Mines were constructing feeder roads in the neighborhood and that had spurred employment and investment in area. They at the same time had contributed to the development of the general hospital by building a standalone admiration block.

In terms of Water provision Kanshansi had sank a number of boreholes in the community while Barrick Lumwana copper mine had provided safe water, education and health facilities. In each community there was community liaison officer that articulated grievances from the community. There was Lumwana Community Trust which disbursed money to the local Council accounts for community projects and livelihoods committee. However issues of accountability and selfishness arose as it has been difficult for the communities to hold their chiefs accountable for the resources given to them by the mine.

2.1.4: Duty Bearers have been held accountable to community rights in the mining industry areas:

Local Communities, through the RG program and in partnership with Faith based organizations and other alliances are being empowered to defend their rights along the mining areas ranging from land rights, environmental conservation, resources utilization, economic and employment rights.

Implementing partners have mobilized, capacity built communities and facilitated platforms for engagement within mining areas and have taken a firm stand to ensure that community in mining areas know their rights to hold government, mining companies, community and traditional leaders accountable to uphold the rights of men, women, boys and girls. There is evidence that the communities are holding the traditional leaders, mining companies and Government to account on going against their rights.

2.1.4.1 Land ownership and role of traditional leaders

Traditional leaders (Chiefs) in some areas have the mandate over land and can allocate it to mining companies with little consultation from the community members. While in other areas the chiefs are progressive and have allowed communities benefit from the land and incase of mining they consult widely and appropriate decisions are made.

RG program has championed the right of community members and is evident they are demanding land ownership rights and pushing the authorities to compensate them in cases where the land is taken for mining. Members of community have been trained on land security and land rights.

2.1.4.2 Advocacy on Mines and Minerals Development Act

The Implementing partners of the Resources Governance participated actively in the formulation of the act and the provisions in it are progressive and favor mining communities.

The process of educating the communities on the act is still on going to make them understand and apply the provisions so that they are not disadvantaged by mining companies or traditional leaders. Evidence is available from various communities who have defended their land and displacement without benefits or compensations.

2.1.4.3. Platform for advocacy

Communities are invited to attend alternative indabas at national, provincial and district level where all the stakeholders meet to discuss on issues affecting them. The opportunity is good for the communities to come out and report the injustices they are facing and answers are sort from the relevant authorities.

2.1.4.4 Role of ZEMA and private consultants

The Zambia Environmental Management Agency (ZEMA) role is to: advise on policy formulation and make recommendations for the sustainable management of the environment; ensure the integration of environmental concerns in overall national planning through co-ordination with

appropriate authorities; review environmental impact assessment (EIA) and strategic environmental assessment (SEA) reports; monitor trends of natural resources, their use and impact on the environment and make necessary recommendations to the appropriate authority; and publicize information on any aspects of the environment and facilitate public access to information on the environment.

Most mining companies use private consultants to develop Environmental impact assessment reports which could be biased. It is then the basis of conflict with the host communities who are left out in the process and are not briefed adequately on the pollution and entire effects to the surrounding when the mines start.

It is required that ZEMA publishes all EIAs and SEAs carried out in the country on their website, including all policies and laws that concern the environment. It also supposed to carry out research and awareness raising on environmental issues, as well as natural resource management such as the impact of deforestation and environmental degradation. They are required to work closely with the host communities on all issues and advice as the Government representatives to remove the pain that the mining communities are facing.

ZEMA is the main authority for implementing environmental safeguards by ensuring development interventions are preceded by appropriate EIAs and/or SEAs. The RG program should ensure that ZEMA is supported to deliver its mandate and support the communities without compromise. Most cases will be handled by ZEMA to safe from the long and protracted process in the courts which takes many years to solve complains and compensations.

2.2 Findings in Implementation competencies

2.2.1 Relevance

Community participation in budget making process has improved as a result of RG Program interventions. According to the evaluation finding, JCP program has been able to train and equip the community members and outreach groups with the right skills and information to effectively participate in budget making process. The communities are represented in the ward development committee at the local level. Through these ward development committee communities are able to give input into the budget making process. The communities have been able to lobby for the

inclusion of priority areas based on their need to be included in government plan and budget. In the recent past there has been great improvement in the budget being pro-poor. This can be attributed to both the community involvement in the budget process and policy advocacy through RG.

There was increased capacity and participation of the communities and grassroots CBOs to effectively participate in budget tracking. There has been record increase in citizen participation in planning, budgeting and expenditure oversight this can be attributed to the technical skills of individuals working in the community based organizations that are performing the oversight and monitoring. “Budget analysis and advocacy are not sporadic activities, since they must build on solid knowledge.” Therefore, training and research are the main tools used to strengthen the skills of CSOs and communities.

Various developmental initiatives have been initiated through RG advocacy. From the evaluation findings, it was revealed that the implementation of RG advocacy led to communities giving pressure on the government and mining companies to carry out various development projects. Some communities have benefited from construction or expansion of schools, supply of text books, infrastructure development, better provision of services like health service, water supply and many other public utilities. For example communities in Livingstone, Mufulira and Ndola saw construction and face-lifting of their market as a result of their advocacy through RG. Elsewhere in Solwezi boreholes were done through council of Churches Zambia in a move to encourage the mining companies to sink boreholes for the community, this was seen as leading by example kind of advocacy which later saw the two mining companies (Barrick Lumwana and Kanshanshi) sinking boreholes in the same communities.

In livingstone the advocacy of JCTR outreach groups and community members saw JCTR officers being appointed to various provincial and District public budget and planning committee.

Community Empowered to fight for their rightful share from natural resources extracted from their area. JCP trainings provided platforms for discussing natural resource issues affecting communities in terms of information on their rights and understanding of revenue allocation from mining. *For example, during the provincial Indaba meetings in 2017 held in Solowezi, it was agreed the compensation agreement should be re-negotiate between the communities, the government and mining companies as community had been disadvantaged.*

Community empowered to hold duty bearer accountable. Following RG advocacy and civic education communities have gained the confidence to visit government offices and mining companies to seek answers or solutions on various issues. Some communities wrote letters to mining companies and the provincial government on the importance of corporate social responsibility. Communities realized environmental responsibilities between the government and mining companies emanating from the trade agreement between them. They were therefore able to advocate for safe environment from the government as they realized it's the government which was supposed to oversee that mining comply with environmental policies.

Through RG advocacy there has been great progress in terms of policy advocacy in the country. According to the evaluation findings, JCP has collected submissions from the communities and submitting those submissions for policy reviews. There has been rigorous national level advocacy which despite bureaucratic challenges has recorded some successes. For instance, the 5 years tax holiday which mining companies had for long enjoyed had been abolished and there is a current tax policy to impose sales tax on minerals extracted in Zambia. Mines and Mineral act, Uranium mining policy, EITI compliance and review and other tax regime regulations have been successive through concerted efforts from the partners in the RG

2.2.2: Effectiveness

The program incorporated local volunteers, outreach groups and CBOs which made it possible to effectively and inclusively mobilize communities for participation in the project. The collaboration with already existing community groupings ensured that the project was effective in enhancing a gender inclusive participation with consideration also for youth and people with disabilities. This collaboration with local CBOs has helped to ensure quality participants were mobilized as local CBOs had more knowledge of the society members.

RG program advocacy was designed to ensure active involvement for all stakeholders. Various stakeholders brought a lot of different views to the program. The advocacy program used this factor frequently and allowed a platform for stakeholders to share their opinion. The program was well designed to ensure that new concepts and views emerging can be discussed and reviewed. The program added these views to their advocacy considerations and built on that to enhance improvement in the effectiveness of the program. The program also employed various advocacy methods; stakeholder meetings, posters, cartoon drawing, brochure, media programs, social media

marketing etc. to ensure effectiveness in transfer of information. Public indabas meetings were held to give stakeholders a chance to resolve issues and ensure progressive and effective advocacy.

The assessment of any system or activity can only be achieved through a Monitoring and Evaluation process. When project activities are well planned, coordinated and implemented so as to apply the basic steps of a project life circle, the function of monitoring and evaluation becomes an easy task to identify bottlenecks that may hamper the smooth running of a project.

Since its establishment, Program has not put in place a joint internal Monitoring and Evaluation System of its project activities. The advantage of the system is to enable organisations to jointly monitor and assess the implementation phases of the projects for future improvement based on lessons learnt. The system also helps to identify bottlenecks throughout the project and allows for adjustment. The review of project activity reports confirmed that projects are being carried out without any proper monitoring and evaluation since the same recommendations are being repeated with regard to improvement on the implementation of activities under donors' support.

2.2.3: Efficiency

According to the evaluation findings, funds were being disbursed to the field through a requisition process that involved submission of activity concept note with clear outputs against inputs and upon the submission of progress reports. This ensured there was no misappropriation of funds and value for money. The existing steering committees and sub-committees at the lower community levels ensured that resources were used adequately and efficiently for intended objective.

Sometimes if the budget went overboard on a course, implementing organizations could reduce the number of participants. It is also worth to note that the unstable exchange rates of international currencies, fuel prices that went up in the course of project implementation affected budget efficiency. It is therefore recommended that a caution index for such eventualities should be established in budget formulation for any subsequent funding.

Financial disbursement delays however were noticed and it affected the quality of delivery of activities in time as planed out. In this case some partners will request for moving the activities forward but others with resources will continue with the activities as they wait for the disbursements. The good working relationship with JCP and partners solved the issue amicable but

is a concern going forward should be eliminated through effective planning and timely disbursements.

It was noticed that the distances to the project sites is quite big and partners can plan to hold activities together to save on travel costs by using one vehicle, integrate the budgets and achieve more results within a specific time. It will also take care of any duplication of similar efforts.

2.2.4: Sustainability

From the evaluation findings, building the capacity of community to be able to understand and advocate for their rights by themselves was noted to be the most common sustainability mechanism. Organizations implementing RG strived to ensure that the communities were fully aware of their rights and they had the right skills and knowledge to continue advocating for their rights even after the program comes to an end.

Policy advocacy was also noted to be another sustainability mechanism adopted by RG. When the right policies are enacted, they create the foundation for which reference should be made in ensuring transparency and accountability in resource governance in Zambia. The program has strived to make policy submissions while involving communities, civil societies, mining companies, policy makers and other stakeholders. Various public indabas have acted as the basis for policy development. RG partners continue to engage national and provincial level policy makers with the goal of ensuring policies alike are enacted into law.

Faith Based organizations have established community structures that they use in advocating for change, while other CSOs also have outreach groups for the same purpose. These local structures will sustain the program and there is need to strengthen the local organizations to remain effective by looking at their internal governance strengths and continuously facilitating them to do more.

2.2.5: Knowledge Generation

JCP partners appreciate the concept of collaborative advocacy as opposed to confrontational advocacy when dealing with government and mining companies. From the evaluation findings, JCP partners indicated that they found it easy working as partners with the government to better the lives of Zambians. On issues of policy advocacy they have made various submissions, held discussions with relevant government ministries and on various occasions' educated members of parliament on various policy details. In regard to advocating for the community on mining related issues, JCP

partners indicated that at first the mining companies perceived them as whistle blowers but later the perception changed to that of mediators. The change in perception of civil societies by mining companies was as a result of collaborative discussions to solve existing problems as opposed to blaming the mining companies for ills to the communities. As a result of this change in relationships, there has been great success in advocacy work for JCP.

Some implementing partners saw the need to incorporate and equip religious leaders in their advocacy work. This was because of the complexity in the structure of the church and the influence religious leaders have on both politics and the mindset of the community. Therefore, they saw it necessary to train religious leaders on various issues like policy and human right so that they could become key champions of the same in project implementation and even on sustainability basis.

Research and facts finding is critical in supporting the positions taken by CSOs in advocating for particular issues. This makes the champions of advocacy to debate from points of knowledge than ignorance and hence success in the process. The partners have invested in research to go into the depth and origin of the prevailing circumstance and hence are addressing the root causes than the symptoms that manifest.

2.2.6: Relationships

The target of the evaluation was establishing the working relationship that exists between implementing partners, the government and also the JCP team members.

As for the Government the partners agreed that the relationship was lukewarm , meaning when discussions are not against them they are very good, welcoming and accommodative but if the discussions are centered on accountability on resources and delayed enactment of policies, then they cease to be good friends, But in general the partners were in agreement that the recent days they are receiving good cooperation with Government officials due to the reason that they have understood their roles is more in collaboration and wanting to support than victimization and embarrassment.

On the other hand the relationship of the implementing partners and JCP team was said to be cordial with the team promptly honoring invitations to attend planned activities and offering necessary professional advice and support. JCP was praised on their flexibility in both program

activities rescheduling and financial realignments. They are open to discuss changes to budget lines which are within their mandates of approval and advice accordingly.

Overall two areas of improvement were mentioned for the JCP team: on delayed disbursement and timely communication and planning on executing and coordinating activities.

Delayed disbursement affected quality of implementation in terms of mobilization, execution excellence, and also delayed accounting and reporting. However some organization with extra resources will negotiate to continue with the activities uninterrupted and do reconciliations ones disbursement is channeled. .

Advance communication was suggested in planning the activities giving an example of the current evaluation which was hurriedly planned and executed. Timely communications gives partners humble time to execute activities and programs resulting to meaningful and in depth engagements.

PART THREE: CONCLUSIONS AND RECOMMENDATIONS

3.1: Conclusions

The evaluation seeks to assess achievements made by JCP partners under the RG Programme against Joint Country Programme (JCP) the Results Framework (RF)outcomes, the impact and sustainability. Recommendations from the evaluation shall be used to adjust the programme where necessary.

The mandate is to a larger extent achieved and the findings and recommendations are shared herewith.

We find that the RG Program has achieved greatly in the grassroots advocacy, making the communities aware of their rights and shared skills to demand for change and strategies to resist injustices.

At the national level the program has made collaborative relations with government and succeeded in bringing into being suitable policies. This is work in progress stumbled by delayed policy implementation from the Government.

Program is based on building alliances both nationally and regionally to create a movement capable of sustaining change process in the country. The implementing partners and other networks have

formed the basis for this movement of change and there is need to identify and link to more of other alliances.

3.2 Recommendations

3.2.1: Building alliances and forming a movement for change.

RG program is premised on strong alliances to create a voice that is capable of bringing change to the country in areas of resources accountability and streamlining extractive industries. It is upon the program to identify other networks that are relevant in the push for change within the county and regionally to continue being strong and relevant to the agenda of economic and social change.

The Program seeks to address the key governance issues in the extractive sectors. Full Success of the program requires adequate progress to be achieved along the extractive industry value chain from the point of identification of mines at a given locality, prospectus building, community and local governance participation, environmental impact assessment, displacement, compensation plan, agreements, extraction rules and procedures, index of sharing revenues and actual contribution to the economy. So critical is how loyalties are programmed, licenses and contracts are allocated and registered, to answer to the questions of who are the beneficial owners of those operations, what are the fiscal and legal arrangements, how much is produced, how much is paid, where are those revenues allocated, technical contribution to economy and expansive employment plans. The Government at both levels (National, Province and District) should be compelled to publish or gazette contracts and licenses, production, revenue collection, revenue allocation, and social and economic spending.

The multi-stakeholder and movement group will take decisions on how the National Planning and Budgeting will be handled and how Extractive Industries Transparency Initiative process is carried out in the country. Alliances should endeavor to make significant contributions to improved governance of the extractive sector in several locations, provinces and districts around the country. At the center of the Movement's main responsibility will be promoting debates including beneficial ownership, commodity trading, comprehensive mining, artisanal and small-scale mining for the general good of the country. Recommendations from the debates will be aimed at addressing weaknesses in government systems and improving extractive sector management and furthermore

leads to higher attractiveness for investments hence greater competition around government contracting.

3.2.2: Building internal strength for the resources governance program

- i). A critical joint assessment to be carried out on the consolidated gains made over time in the extractive industries, Budget participation and tracking, remaining gaps and innovative strategies to push for the ultimate reviewed legislations. This assessment should look at the complete Extractive mining value chain excellence: from the point of identification of mines at a given locality, prospectus building, community and local governance participation, environmental impact assessment, displacement, compensation plan, agreements, extraction rules and procedures, index of sharing revenues and actual contribution to the economy. This requires more than just a joint meeting or a progress evaluation conference but rather an intelligent and fact finding intensive exercise using professionals from within the partners as a team of experts and borrowing from other experienced technocrats. The findings will be the strength to plan innovatively on targeted advocacy with renewed expectations and desire to channel resources efficiently for ultimate results.
- ii) Interfaith alliance -Tap to the enormous strength and potential among the faith based organizations. Create inclusive joint committee of Bishops and Shieks, cultivate all the findings, promises not honored, delays in policy implementation and purpose to face the Government, media and all the concerned agencies to get credible answers on justice to the citizens and find renewed timelines and commitments. A professional team should be attached to this group from within the partners to provide support in terms of researched briefs, advice on success and targeted approaches and documentation and feedbacks.
- iii) Strength of the Resource Governance (RG) is also in the hands of the outreach groups well spread and distributed in the country. They are putting pressure on the mining companies and local governments to deliver services, effect change, responsible for mobilizing communities for awareness, sensitization training and are the instant informers of injustices prevailing in the country. In their operations they are left scattered as volunteers and with time they will disintegrate and the support of the program and its gains will flop. We recommend reflections on strengthening their internal governance and leadership structures, to be recognized in planning and strategic visions of

the mother organizations to be in the mainstream of resources support to continue advocating for change.

3.2.3: Media engagement, communication and documentation

The role of the media in advocacy still remains relevant as it is the avenue to bring out injustices for the government to act. RG program is partnering with some media houses in the country and this will require strategic approach and engagement with innovative fronts to demonstrate the needed change. Social media is gaining ground and is a tool to ride on to powerfully share various messages for various advocacy targets. Resources in terms of personnel and finances should be increased in the area of communication and documentation. Internally among the partners and JCP there is potential and talent that can be harnessed to push with unit this component so that the program realizes greater changes. This means working together and devising modalities to document, capture gains and give feedback to the public and partners on sensitive approaches to diversify advocacy.

3.2.4: Professional legal firm

Program will require finding it prudent to closely work with an established legal firm for advice on legal and policy changes, train the teams on advocacy and interpretations of acts and bills. The team can be coopted into the program and will be offering pro-bono services and where there is indulgency the program will support with relevant budgets like litigations from the host communities on compensations and breach of basic rights.

PART FOUR: APPENDICES

Annex 1: Interview questions

Annex 2: Interview Guide and Program

Annex 3: List of Documents reviewed

Annex 4: TOR for Evaluation

Annex 5: Validation meeting Minutes

Annex 1: Interview questions

Partners Project team and JCP Management

Progress on the program outcomes

1. How are communities and outreach groups participating in local government plans and budgets? Any success in influencing plans and budget formulation?
2. How are Communities and outreach groups tracking government projects?
3. How has the program influenced legal and policy framework for the extractive industries?
4. Host communities rights in mining areas are overlooked, are there any successes towards holding the duty Bearers (Government or investing company) accountable?

Progress on implementation of program

Section (A) Relevance

Describe notable achievements in the program? And any Gains to the intended Beneficiaries?

Describe any Planned and not achieved outcomes?

How about gender involvement?

Section B – Effectiveness

What is the general delivery of the program looking at the management processes?

Was the program able to assess itself when looking at the support of M&E?

How have you managed to implement strategies for the program?

How do you rate the future of the program?

Section C –Efficiency

How has the utilization of resources been? How do you compare Results against costs?

Was there under, adequate or over utilization of the resources?

Any mix up of the activities and plans in delivery process?

Section D- Sustainability

How will the achievement be pushed beyond the funding period?

Do you think the gains you have made can be sustainable if you exited?

What will you suggest to be the program sustainability structures and processes?

Section F- Knowledge Generation

Any lessons learnt or innovative strategies or best practice for the program?

How effective were partners and stakeholders involvement?

Was M&E taking lead role on bringing out the lesson learnt?

Section G- Relationships

How can you rate support of the coordinating team of JCP?

How can you rate the Government and extractive (mining) companies' perception and support of program?

Section F- Impact

Any impact realized for the program?

Annex 2: Interview Guide and Program

PROGRAM FOR INTERVIEWS AND MEETINGS RESOURCE GOVERNANCE PROGRAM

BY JCP ZAMBIA

Introduction

The program describes a series of interviews and meetings to all the key individuals that have been actively, directly and indirectly involved in the program. The feedback will validate the progress of the program, provide innovative strategies to address the challenges faced and support the recommendations to be reached.

Proposed Filed Data collection program

Province	Period	District	Targeted Partners	Targeted Groups
Copperbelt	17 TH December 2018	Ndola	JCTR Caritas Zambia	Community action groups Community members Partners Provincial or district staff
	18 TH December 2018	Mufulira	CTPD PWYP Caritas Zambia	NRWC PWYP members Government officials Mining companies Media
North Western	20 th to 21 st December 2018	Solwezi	Catholic Diocese of Solwezi, JCTR CTPD CCZ CSPR PWYP	CDOS management and staff NRWC CCJP PWYP members Government officials Mining companies SEJ Media
	22 st	Kalumbila	CDOS	CCJP

	December 2018	(Lumwana)	Caritas Zambia PWYP JCTR	Mining company JCTR Action groups Councilors Traditional leaders
Southern Province	26 th December 2018	Sinazongwe	CTPD CCZ	SEJ NRWC Mining company Traditional leaders
	27 th December 2018	Choma	CSPR	CRPR coordinator and network members Government officials Community members Media
	28 th and 29 th December 2018	Livingstone	JCTR	JCTR coordinator Government departments Media

Description of interviewees

No.	Interviewees	Description	Proposed numbers	Average Days
1.	Key Personnel for the Program	Those that have been involved in the program implementation and reporting. They could be project managers, senior managers and or officers	6-8	4
2.	Participating agencies	These are Directors (CEO) or representatives of the implementing partners. Persons making decisions and responsible	6-8	4

		for ultimate approvals. They could be the persons who signed the contracts as grantees.		
3.	Local Community Groups.	Communities that have been involved in the programme. They will be sampled and clustered according to different Implementing partners	4-6	2
4.	Local Community Leaders	The sampled local host community leaders who have actively participated in the program.	4-6	2
5.	District Officials	Sampled District officers with full information of the program and have had active participation and support.	6-8	4
6.	Government Staff	Staff for Government departments linked to the program. They could be sampled in the provinces and districts of program operation.	6-8	3
7.	Mining Companies	Extractive companies or industries actively engaged. Individuals from the companies will be sampled on the basis of their understanding of the project. Not necessary supportive.	4-6	2
8.	National Government Officials	Ministries or national departments linked to the program. This could be either on policy or legislation as duty bearers. Individuals responsible in creating an enabling environment	4-6	2
9.	Community members	Those that are directly or indirectly participating in the programme	20-40	5
10.	JCP	Coordinators of the program. They include and not limited to the country coordinating office:	4-6	2

SCHEDULE FOR RG EVALUATION INTERVIEW WITH ASSET AFRICA

Day	Date	Time (Hrs.)	Institution	Targeted interviewees	Venue
Wednesday	9 th January 2019	11:00- 13:00	CSPR	Executive director, HOP, POs	CSPR
		14:00-16:00	CCZ	Executive director, HOP, POs	CCZ
Thursday	10 th January 2019	08:30-10:30	Caritas Zambia	Executive director, HOP, POs	Caritas Zambia
		11:00-13:00	JCTR	Executive director, HOP, POs	JCTR
		14:00-16:00	Family Development Initiative	Sheik Aadam, Sheik Yusef and others	Family Development Initiative
Friday	11 th January 2019	TBA	Chamber of Mines		Chamber of Mines
		TBA	Ministry of mine	PS, Directors	Ministry of mine
		TBA	Ministry of Finance/National planning	PS, Directors	Ministry of Finance/National planning
Monday	14 th January 2019	08:00-10:00	CTPD	Executive director, HOP, POs	CTPD
		10:30	Communication Office r	Bella Zulu	Communication Office r
		11:30	PMER	Caroline Mukosa	JCP office
		14:00	RG Snr PC	Felix Ngosa	JCP office

Tuesday	15 th January 2019	10:00	JCP HOP	Margaret Machila	JCP office
		12:00	JCP County Director	Leif Lennart Reinius	JCP office
Friday	18th Janaury 2019	12:00	Share the first draft to JCP and partners	JCP and partners staff	JCP office
Monday	21st January 2019	14:00 -16:00	Stakeholder feedback meeting	JCP and partners staff	JCP office
Tuesday	22nd Janaury 2019	16:00	Share second draft	JCP staff	
Wednesday	23rd Janaury 2019	TBA	Departure of ASSET AFRICA team		

Annex 3: List of Documents reviewed

1. Resource Governance (RG) Proposal
2. Strategic Plan JCP to 2020
3. Annual Report JCP
4. Annual Reports RG Partners
5. Periodical Reports RG Partners
6. RG PMEL Framework
7. Baseline survey

Annex 4: TOR for Evaluation

Terms of Reference for Midterm Programme Evaluation

Programme Title: Resource Governance (RG)

Programme Goal: A Zambia that is transparent and accountable in the management of National resources and guarantees citizen's benefits

Period under Evaluation: 1st January 2016 to 30th July 2018

Dates of Evaluation: September 2018

Purpose of the Evaluation: The evaluation seeks to assess achievements made by JCP partners under the RG Programme against Joint Country Programme (JCP) the Results Framework (RF) outcomes, the impact and sustainability. Recommendations from the evaluation shall be used to adjust the programme where necessary.

Programme Strategy and Results Framework

The Joint Country Programme for Zambia (JCP) is a fully merged consortium of three international faith-based Non-Governmental Organisations comprising of Norwegian Church Aid, DanChurch Aid and Christian Aid. We work closely with a range of faith-based and secular partners in Zambia within two overall strategic priorities; *Gender Justice and Economic Justice*, focused in 4 programmes: Resource Governance, Economic Empowerment, Gender Justice – free of GBV and Emergency Preparedness & Response. JCP invites applications for a Consultancy for the Mid-term programme evaluation.

The “Resource Governance” (RG) Programme is part of the JCP 5-year (2016 -2020) Strategic framework implemented by JCP-Zambia. Under RG, JCP signed 3-year partnership agreements (2016 -2018) with Civil Society for Poverty Reduction (CSPR), Centre for Trade Policy and Development (CTPD) Jesuit Centre for Theological reflection (JCTR), Council of Churches in Zambia (CCZ) and a consortium of Caritas Zambia, Publish What You pay (PWYP) and Catholic Diocese of Solwezi with Caritas Zambia (CZ) as the grant holder. The Programme builds on the JCP 2011 to 2015 Resource, Finance and Accountable Governance (RFAG) Programme. The overall goal of the Programme is to contribute to a Zambia that is transparent and accountable in the management of National resources and guarantees citizen’s benefits. The Action contributes to JCP’s overall vision of a Zambia where all women, men, girls and boys on equal terms are empowered to enjoy civil, political, economic, social, environmental and democratic rights, so they are benefitting from a restored, resilient and sustainable growth of the country. JCP outreach operations are in five provinces, namely Northwestern, Eastern, Western, Southern and Copperbelt provinces. The Programme is in its third year of implementation.

The RG specific outcomes include:

- OUTCOME 1: Rights holders have influenced the development of public plans and budgets to be more aimed at reducing poverty
- OUTCOME 2: Women and men contributed to public budgets being implemented according to plan
- OUTCOME 3: Women and men influenced policies and legal frameworks governing extractive industries
- OUTCOME 4: Duty Bearers have been held accountable to community rights in the mining industry areas

Main Intervention strategies within RG

The main interventions used in the RG Programme include:

- Empowerment of Rights Holders, mobilisation for effective voice for the poor and marginalised, facilitating participation of key stakeholders in community, district, provincial, national and regional levels
- Accompanying partners to gain/create spaces for engagement in Advocacy for implementation of laws and policies
- Policy Reviews, challenging duty bearers e.g. Government, mining firms and companies
- Campaigns: pro-poor focus; equitable, accountable use of resources e.g. Budget tracking
- Creating spaces and strengthening the various platforms
- Facilitating networking for engagement/linkages/networking e.g. Partner platforms, joint advocacy, sharing best practices, strengthening partnerships

Purpose of the midterm evaluation

The main purpose of the **midterm** evaluation is to assess the extent to which JCP Zambia partners have contributed to achieving the outcomes for the strategic period and assess the relevance of the outcomes in the light of the current Zambian context. The Evaluation should look at JCP and the partners

contributions to these results as well as the added value that JCP brings to the partnerships through capacity building, follow ups, mentorships and reporting.

As a midterm evaluation, the exercise is part of programme monitoring and organisational learning. The findings of the midterm evaluation shall provide basis for recommendations on how best the interventions can achieve the outcomes of the JCP 2016- 2020 strategic plan within RG. The mid-term evaluation shall focus at the implementation of two and a half years.

Objectives of the Midterm Evaluation:

The objective of the midterm evaluation is to fully review and assess the results achieved by the programme during the period of implementation, the impact and sustainability of the programme.

Specific objectives of the Evaluation:

- a) To assess the entire programme in terms of effectiveness, relevance, efficiency, sustainability, focusing results at the outcome and impact levels.
- b) To document key lessons and innovative practices for learning
- c) To identify areas for continued advocacy and intervention at the district and national level
- d) Assess strengths and weaknesses in implementation, which might have affected the project's success.

Specifically, the evaluation focuses on - but not be limited to -reporting on progress in achieving results relating to project outputs and outcomes as follows:

- Has the project resulted in organizations being better positioned and equipped to champion the extractive industry issues?
- Assess the effect of bringing Faith actors in the Resource Governance programme.
- Assess NCA added value in its support to partners' advocacy initiative and engagement with duty bearers.
- To what extent have partnerships to promote extractive industry and natural resources management issues been strengthened?
- How have partnerships contributed to the advancement of sustainable management and equity issues in the natural resources management?
- How have partnerships contributed to the advancement of community rights especially women and children?
- Has there been an increase in the participation of JCP partners and right holders in natural resources management (extractive industry) in influential circles?

- What has been achieved by bringing new research information to the fore and similar initiatives?
- To what extent has training resulted in gains in enhancing and building capacity in skills and knowledge?
- To what extent has local community been restructured towards advocating for poverty reduction through benefits accruing from resources from the natural resources sector?
- To what extent have communities been mobilized to participate in natural resources management
- To what extent has awareness raising been done amongst communities affected by extractive industries been on the implications of extractive industries
- To what extent have the implementing partners contributed to policy development/change in Zambia in relation to extractive industries.

Scope and Focus of the Midterm Evaluation

The **Mid term** evaluation shall look at the following areas: Programme management; Programme activities; reflection of advocacy engagement and partnerships with various stakeholder in Resource Governance and natural resource management. It will address the results achieved, lesson learned and areas for continued advocacy.

The Evaluation Questions:

Relevance	<ul style="list-style-type: none"> • Assess design and focus of the programme • To what extent did the Programme achieve its overall objectives? • What and how much progress has been made towards achieving the overall outputs and outcomes of the Programme? • To what extent were the results (impacts, outcomes and outputs) achieved? • Were the inputs and strategies identified realistic, appropriate and adequate to achieve the results? • Was the Programme relevant to the identified needs? • To what extent has gender specific issues been identified, and women's rights and gender equality promoted in all the programme? How has gender inequality and -power imbalances been addressed?
Effectiveness-	<ul style="list-style-type: none"> • Describe the management processes and their appropriateness in supporting delivery • Was the Programme effective in delivering desired/planned results? • To what extent did the Programme's M&E mechanism contribute in meeting Programme results? • How effective were the strategies and tools used in the implementation of the Programme? • How effective has the Programme been in responding to the needs of the

	<p>beneficiaries, and what results were achieved?</p> <ul style="list-style-type: none"> • What are the future intervention strategies and issues?
Efficiency	<ul style="list-style-type: none"> • Of Programme Implementation • Was the process of achieving results efficient? • Specifically did the actual or expected results (outputs and outcomes) justify the costs incurred? • Were the resources effectively utilized? • Did Programme activities overlap and duplicate other similar interventions (funded nationally and /or by other donors?) • Are there more efficient ways and means of delivering more and better results (outputs and outcomes) with the available inputs? • Could a different approach have produced better results? • How did the Programme financial management processes and procedures affect Programme implementation? • What are the strengths, weaknesses, opportunities and threats of the Programme's implementation process?
Sustainability:	<ul style="list-style-type: none"> • To what extent are partners dependent on funding from NCA SA, and if NCA dependency exists; how should this be addressed in the current strategic period (2016-2020)? • To what extent are the benefits of the Programmes likely to be sustained after the completion of this Programme? • What is the likelihood of continuation and sustainability of Programme outcomes and benefits after completion of the Programme? • How effective were the exit strategies, and approaches to phase out assistance provided by the Programme including contributing factors and constraints? • Describe key factors that will require attention in order to improve prospects of sustainability of Programme outcomes and the potential for replication of the approach? • How were capacities strengthened at the individual and organizational level (including contributing factors and constraints)? • Describe the main lessons that have emerged? • What are the recommendations for similar support in future? (The recommendations should provide comprehensive proposals for future interventions based on the current evaluation findings).
Impact	<ul style="list-style-type: none"> • What are the unintended consequences (positive and negative) resulted from the Programme? • What are the most significant changes in the lives of the rights holders, women and men, and their relation to the duty bearers, or the practice of legal and moral duty bearers, that can be attributed to the programme (either wholly or in part)? • To what extent are the programme strategies relevant to the needs identified

	<p>in the context analysis and especially to the rights deficits identified?</p> <ul style="list-style-type: none"> • To what extent were the programme objectives and outcome indicators achieved? • What were the outcomes and impacts at the level of empowerment, network building, policy change, policy implementation, and the practices of legal and moral duty bearers? • Are there any unintended positive or negative results of the programme?
Knowledge Generation	<ul style="list-style-type: none"> • What are the key lessons learned that can be shared with other practitioners in the sector of RG • Are there any innovative practices? If yes, what are they and how can these promising practices be replicated in other Programmes? What outstanding advocacy and implementation priorities still require action and commitment from district and national-level stakeholders? • How well were partners involved in decision making regarding the planning and implementation of the programme? • Did NCA maintain an effective programme monitoring system that allowed for learning and follow up on challenges?

Evaluation methodology

1) Proposed evaluation design and Data sources

The evaluation shall use a participatory approach, which will start with a desk review of all the relevant documentation and reports on project activities for the duration of the programme period. This shall be followed by a series of interviews and meetings with key individuals within the programme, participating agencies and other stakeholders. Field visits shall be conducted as necessary to selected partners project sites to meet with local community groups set up under this programme. The evaluation shall use both quantitative and qualitative data in order to triangulate findings. Both women and men should be included in the samples for interview. Additional sources of data for the evaluation will include:

- Strategic framework for JCP for 2016-2020 including RF.
- Programme reports
- Programme monitoring data, in the form of quarterly review reports, continuous monitoring forms, and other Programme data
- Interviews with key stakeholders, including Programme and partner staff, district officials, government staff, mining companies, host communities

Proposed data collection methods and analysis

JCP will provide key reports, documents, and monitoring data at the start of the assignment. The consultant will be expected to visit Programme sites and conduct key informant interviews during field work, to validate and interrogate the desk review findings. Secondary data should also be used to support the process. JCP will facilitate spot check during the period of the evaluation.

2) Proposed sampling methods

A simple random sample from the five provinces will be taken in the district areas of operation. Key informants will be purposively selected in discussion with the consultant.

3) Field visits

The consultant will have to conduct field visit Programme districts areas, viewing Programme activities and meeting with Programme participants, beneficiaries and district government staff.

Deliverables

	Deliverable	Description of Expected Deliverables	Timeline
1	Evaluation inception report	The inception report provides the grantee organization and the evaluators with an opportunity to verify that they share the same understanding about the evaluation and clarify any misunderstanding at the outset. An inception report must be prepared by the evaluator before going into the technical mission and full data collection stage. It must detail the evaluator's understanding of what is being evaluated and why, showing how each evaluation question will be answered by way of: proposed methods, proposed sources of data and data collection/analysis procedures. The inception report must include a proposed schedule of tasks, activities and deliverables, designating a team member with the lead responsibility for each task or product.	2th September 2018
2	Draft evaluation report	Evaluators must submit draft report for review and comments by all parties involved. The report needs to adhere to the structure and meet the minimum requirements. The grantee and key stakeholders in the evaluation must review the draft evaluation report to ensure that the evaluation meets the required quality criteria. A validation meeting will be held for comments and JCP will organise the meeting but to be led by evaluator.	1st October 2018

3	Final evaluation	Relevant comments from key stakeholders must be well integrated into the final version, and the final report submitted	16th October 2018
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Required Competencies

- The consultants should possess solid and diversified expertise and experience needed in evaluation of projects, and preferably experience in evaluating projects on Natural Resources Management, transparency and accountability, social accountability and public finance management.
- Should be conversant with the Policy environment in the extractive industries in Zambia
- Should be familiar with the Extractive Industries Transparency Initiative and the Publish What You Pay Initiative, Illicit Financial flows.
- Evaluation experience at least 5 years in conducting external evaluations, with mixed methods evaluation skills and having flexibility in using participatory evaluation methods.
- Specific evaluation experiences in the areas of resource Governance.
- Knowledgeable in various Resource Governance related laws and instruments
- Experience in collecting and analysing quantitative and qualitative data.
- In-depth knowledge of gender equality and women's empowerment.
- A strong commitment to delivering timely and high-quality results, i.e. credible evaluation and its report that can be used.
- Concisely and clearly ideas and concepts.
- A strong team leadership and management track record, as well as interpersonal and communication skills to help ensure that the evaluation is understood and used.
- Good communication skills and ability to communicate with various stakeholders and to express Understanding of ethical issues and approaches to informed consent with regards to collecting information from children.
- Expertise in gender and human-rights based approaches of evaluation added advantage
- Language proficiency: fluency in English is mandatory but local languages will be an added advantage

Timeline of the evaluation process

Stage of evaluation	Key task	Responsible	Number of days	Timeframe
Preparation	Prepare and finalize TOR Evaluation	Senior Programme Coordinator –RG		By April
	Recruitment of external evaluator/Consultant	JCP SMT and procurement	N/A	June 2018

	Compile key documents and existing data	Senior Programme Coordinator- RG		July 2018
Inception	Briefing of the evaluator	Evaluation Task Manager	1	Week 3 August 2018
	Desk review of key documents	Consultant	3	Week 4 August 2018
	Finalize evaluation design and methods	Consultant	2	Week 1 September 2018
	Prepare inception report	Consultant	3	Week 1September 2018
	Review inception report and provide feedback	PMER/SPC	2	Week 1September t 2018
Data collection and analysis	Prepare final schedule for fieldwork and interviews; arrange necessary logistics including transport and accommodation	Fieldwork Coordination Team	1	Week 1 September 2018
	Review and analyse data tools provided	Consultant	2	Week 1September 2018
	Data collection (Office and field visits, interviews)	Consultant	15	Week 2September 2018
Synthesis and reporting	Analysis and interpretation of findings	Consultant	7	Week 4September 2018
	Prepare draft report	Consultant	2	Week 1October 2018
	Review of draft report, consolidation of comments, and feedback provided	JCP, CSPR, CCZ, CTPD, Caritas Zambia, PWYP, CDOS	5	Week 2October 2018
	Incorporate comments and revise evaluation report	Consultant	2	Week 3October 2018
	Submission of final report	Consultant	1	Week 3October 2018
	Final approval of report	Head of Programmes		Week 4October 2018
Dissemination and follow-up	Publishing and distribution of final report	PMER		Week 1 November 2018
	Disseminate report to key stakeholders	Senior Programme Coordinator		

Technical:

- Up to date CV of the consultant
- Technical proposition detailing proposed methodology and resources needed (max 3 pages).
- An example of a report from similar work which demonstrates evidence of the skills and experience required.

Financial offer:

- A list of all expenses expected to be incurred by the consultant to conduct this evaluation.

Annex 5: Validation meeting Minutes

MINUTES FOR THE EVALUATION VALIDATION MEETING BY STAKEHOLDERS ON THE RESOURCE GOVERNANCE PROGRAM

HELD AT JCP MAIN HALL ON 21ST JANUARY 2018

14hrs to 1630hrs

Agenda

1. Opening remarks
2. TOR for Asset Africa Institute
3. Findings and recommendations
4. Questions and answer session
5. Discussing way forward
6. Closing Remarks

List of Attendance

1. Felix Ngosa JCP
2. William Misati -Asset Africa Institute

3. Alex Gathuthi -Asset Africa Institute
4. Lennard Reinius - Country Director NCA
5. Isaiah Mbekxe -CTPD
6. Mumba Emmanuel -JCTR
7. Kryicous p. nshindano -CSPR
8. Moris mchirembo -CTPD
9. Eugene kabulika - Caritas Zambia
10. Edmond kangamungau -Caritas Zambia
11. Wezi v phiri - Family development Initiative (FDI)
12. Bellah Zulu - JCP
13. Pamela nakombe -Ministry of mines
14. Mtwalo msoni – Publish what you pay (Caritas)
15. Chimuka Nachinga -CSPR
16. Fatima Musa Ayami -FDI
17. Christabel Ngoma -CSPR
18. Yussuf Ayami -Family Development Initiative
19. Robert Banda -CCZ
20. George Chibwana -CCZ
21. Ndashe Innocent -JCTR
22. Margaret Machila -JCP (NCA, DCA,CA)
23. Isaac mwapopo -CTPD
24. Isaac Msalia -Caritas Zambia

Moderator (Sheik Yusuf Ayami)

Moderator invited the participants and informed them that the meeting was theirs to listen to all the findings to be presented and objectively submit their thoughts. He reiterated the importance of partners having an opportunity to think together and analyze the program to find achievements and challenges.

The program was shared and the country Director of JCP was invited to give welcoming remarks.

Minute 1/21/1/2019: Opening Remarks- Country Director (Lenard Reinius)

The country Director welcomed all the partners to the midterm evaluation validation as partners and stakeholders who are supporting the program. He further also said that JCP does not directly implement most of the programs but only in very few areas of some work on supporting refugees. JCP team concluded on internal meeting with the evaluation team yesterday and gave out their submissions

You have the opportunity to give more input into the validation evaluation report in the few hours so that we can conclude the exercise that has been going on for some time now.

He requested partners to be more at home, open, articulate and realistic in looking at the evaluation so that we get more ideas to construct the final report.

2/21/1/2019: Senior Program Manager (Felix Ngosa)

The program Manager shared the TOR as agreed with Asset Africa Institute.

He gave a summary of the following:

- Time of evaluation: From January 2016 to December 2018
- Goal: A Zambia that is transparent and accountable in the management of National resources and guarantees' citizen's benefits
- Deliverables- Asset Africa to deliver inception report, Draft valuation Report and Final validated Report.

- Mandate: assesses achievement on outcomes, relevance, effectiveness, efficiency, sustainability, lessons learnt and recommendations.

3/21/1/2019: Presentation of the Findings and Recommendations (William Misati)

Presented the entire report in the following headlines:

- The methodology – said that the evaluation used Participatory approach through simple sampling applying both quantitative and qualitative approaches. The evaluation covered three Provinces out of the five provinces that the RG program operates.
- Outcome findings – the four outcomes were presented separately in terms of achievements , challenges and suggested wayward
- Implementation competencies – expressed relevance, effectiveness, efficiency, sustainability and lessons learnt.
- Relationship – gave brief of the existing relationship between the Government, JCP and the implementing partners.
- Recommendations – all the recommendations were presented in brief aimed at strengthening the RG advocacy mandate and thinking on new strategies going forward.

4/21/1/2019: Questions and answers sessions

Meeting was opened to questions and answers session by the facilitator to the participants. The following observations and questions came up:

- Allocation of Budgets at 17.6% according to submission- The government is generic and puts budgets in lump sum and therefore we need be careful what belongs to us as proposed. What can be done to reflect real truth?
- The report did not indicate an output on increased interactions with the traditional leaders and community members. It is an achievement that we have made.
- Can you suggest a sustainability model for advocacy that we can follow?
- EITI policy is on revenue collection and not allocation
- What are our challenges I see success?

Responses:

- There is no universal model on advocacy. Your advocacy is built on alliances and we are suggesting that you strengthen it the more so that you can achieve result.
- Some of your failures are in form of recommendations and challenges identified. Policy delayed not implemented, not working as a team but as individual organizations, legal litigations, not being able jointly to assess progress.

5/21/1/2019: Discussions on Way forward:

Moderator then encouraged the partners and stakeholders to suggest best way forward. He posed question on what challenges we as partners face in creating an advocacy movement to sustain our objectives.

After length discussions the following came out in brief from the meeting:

- Packaging our policy engagement
- Collaboration efforts and avoid working as individuals.
- Pick and map out advocacy issues
- Sustainability and resilience of CSOs- shrinking space
- Re-thinking the advocacy environment in Zambia
- Solidify our interventions
- Look at budgets to carry out complete engagement (avoid helplessness)
- Ring fence health and education – Debt payment is eating back.
- Strategy paper for the coalition
- New direction and new tactics
- Academic research
- Find out our interconnectedness- strengths and talents
- New strategic thinking

6/21/1/2019: Concluding Remarks (HOP- Margaret)

She stressed that advocacy is not cheap and therefore it is an opportunity for all of us to come again together and plan our wayward. There is every indication that we are very soft and shrinking in the hands of the government, we need to push much harder to realize results.

The meeting ended at 1634hrs.



JOINT COUNTRY PROGRAMME ZAMBIA

Programme for the Validation Meeting of the Mid-Term Evaluation of JCP Resource Governance Programme

21st January 2019 at JCP office

14:00hrs to 16:30Hrs

Moderator: Sheik Yusuf Ayami – FDI

Time	Description	By who
14:00hrs	Introductions	Moderator
	Welcome remarks	JCP Country Director
	Presentation of the Midterm Evaluation TORs	Snr Program Coordinator- RG
	Presentation of findings from the RG evaluation	William Misaiti- ASSET AFRICA INSTITUTE
	Feedback and questions	ALL
	Way forward and concluding remarks	JCP HOP
16:30Hrs	Snacks and departure	All

