

EQUITY

EQUITY

TRANSPARENCY

TRANSPARENCY

PARTICIPATION

PARTICIPATION

ACCOUNTABILITY

ACCOUNTABILITY

DEVELOPMENT

DEVELOPMENT

ACCESS

ACCESS

BUDGET

BUDGET

ENTITLEMENTS

ENTITLEMENTS

RIGHTS

RIGHTS

SERVICE DELIVERY

SERVICE DELIVERY

PRO-POOR

PRO-POOR

VOICE

VOICE

Budget Execution and Service Delivery Barometer



January to June 2010

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BACKGROUND TO THE BUDGET EXECUTION AND SERVICE DELIVERY AND BAROMETER

Civil Society for Poverty Reduction took the initiative to start the Budget Execution and Service Delivery Barometer in 2009. The project which is being piloted for 2 years (2009-2010) is the first measurement system for budget execution and service delivery that CSPR has made an effort to develop. CSPR has facilitated the establishment of a budget tracking and service delivery barometer that would base its assessment on government administrative data, and views and experiences of ordinary members of the public on the budgetary process and public service delivery in Zambia. The establishment of the barometer has particularly been motivated by Zambia's poor performance in budget execution and service delivery to the poor. The Service Delivery and Budget Execution Barometer seeks to respond to this scenario by rating and tracking the Zambian government on service delivery and budget execution in specific critical sectors, including how budget allocations are affecting individuals' livelihoods at community level and consequently at national level. It essentially measures and rates government in terms of service delivery and the timeliness, adequacy, participatory nature and usage of budgets. It considers how budget allocations are affecting individuals' livelihoods at community level and consequently at national level. The barometer is supplemented by information on how efforts to improve budget allocations reaching communities are viewed on the ground.

In a nutshell, the Budget Execution and Service Delivery Barometer has been developed by CSPR as an alternative tool to measuring government's commitment and performance in Budget Execution and Service Delivery mainly from the citizen's point of view. CSPR is going to use the barometer as an instrument to promote debate on budget execution and service delivery reforms, with the purpose of using this debate to lobby government to improve service delivery and expend sufficient resources to address social concerns coming from the citizens. The barometer is going to be published at regular intervals.

A total of six key themes forms the bedrock of priority indicators that are used to rate Government's efforts towards public service delivery and budget execution.

THEMES THE BUDGET EXECUTION AND SERVICE DELIVERY BAROMETER

1. *Citizens' Participation and Civic Engagement in Development Processes*

This thematic area focuses on two main issues of promoting participatory budgeting and promoting community voices in decision-making process. The thematic area also links state obligations with citizen entitlements in as far as ensuring participation in development processes is concerned.

2. Pro-Poor Resource Management and Execution

The thematic area focuses on the prioritisation of resources to key development areas (health, education, water and sanitation, social protection, agriculture and infrastructure), execution of these resources as well as ring-fencing of pro-poor development allocations.

3. Transparency and Accountability

This thematic area focuses on mechanisms used to ring fencing of pro-poor resources, accountability of these resources and the mechanisms used by the local and national government structures to explain and justify its decisions, policies and programmes.

4. Equity

This theme focuses on the rights of access to basic services and extent to which disbursed funds reach intended beneficiaries in full especially for rural areas, the vulnerable, women and children.

5. Human Development

This theme focuses on the effectiveness of impact of the actions applied on local human development

6. Basic Service Delivery and Management

This thematic area focuses on the capacity of local and national government structures in providing basic services effectively and efficiently in health, education, water and sanitation, social protection, agriculture and infrastructure.

METHODOLOGY

There are numerous tools that exist for citizen assessment of national budget. The main features of these assessments and the objectives they seek to fulfil are typically as follows:

1. *Diagnostic*: an assessment is done to identify a problem and its scope;
2. *Monitoring*: an assessment is done at regular intervals to keep a check on the success or failure of an initiative, policy or programme;
3. *Evaluation*: an assessment is done to assess whether an initiative, policy or programme has achieved its pre-defined results and outcomes;
4. *Dialogue*: an assessment also serves to engage citizens and communities in informed discussions about shared goals and priorities.

The Service Delivery and Budget Execution Barometer has adopted this approach in examining its two components, and specifically considers the following:

- **Budget Tracking**: Allocation of Funds to particular sectors, the actual flow of funds towards specific developmental area, the utilisation of funds in addressing developmental issues and evidence of such utilisation

- **Service Delivery Monitoring:** *Perceptions of government services present in the province in general and more specific at district and community level and feedback from service providers and service users on the quantity and quality of specific government services they have received.*

The actual assessment is a two-stage process that starts with field activities involving collection of assessment data from various actors and various stakeholders at community, district, provincial and national levels. Respondents from various backgrounds are asked to assess various aspects relating to the budget process and government service delivery.

The second stage involves a panel of experts that reviews the field data, combines this with other relevant information to arrive at an overall score for each indicator. In doing their assessment, the panel of experts follows three steps:

Step 1: Exchange of information concerning the indicator under review in order to create a common level of understanding

- What is the legal framework?
- What is the political framework?
- What are the specific problems or concerns in that area?

Step 2: Qualitative discussion of the evaluation of the facts, trends observed and primary data collected

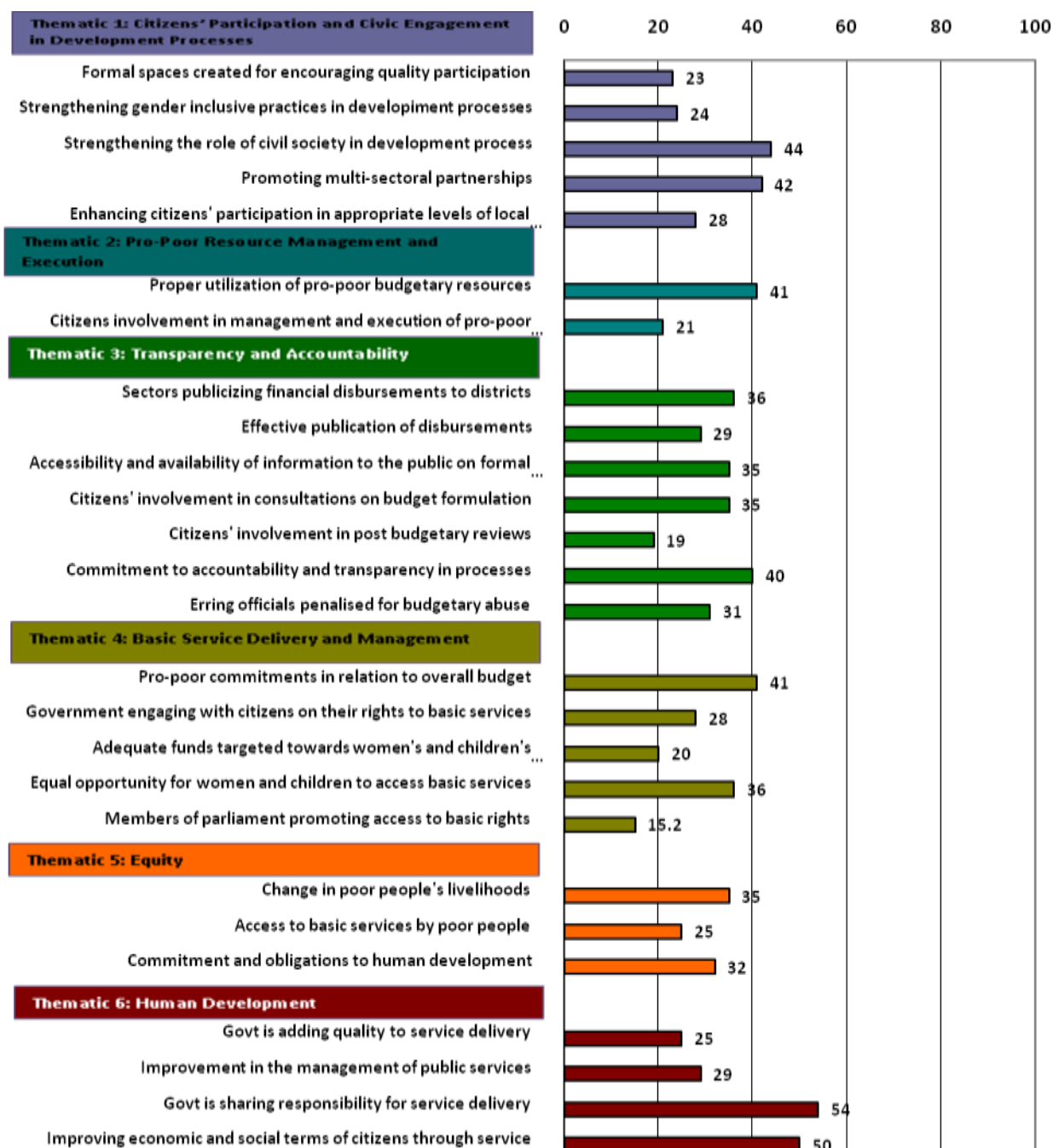
Step 3: Quantitative assessment or scoring by secret ballot

The actual scoring is from a scale of 0 to 100% and divided into five segments as shown in the table below:

0 -20%	Government does not meet the indicator
21- 40%	Government minimally meets aspects of the indicator
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge
61- 80%	Government meets most aspects of the indicator
81 – 100%	Government meets all aspects of the indicator and has been doing so over time

The composition of the panel of experts is designed to include representatives of the local government, the academia, private sector, development agencies and civil society. The representatives serve as panel members in their personal capacities, not as representatives of their respective organisations. The panel will meet bi-annually for two-day period to undertake the second-stage assessment process. The meeting is facilitated by an independent consultant to ensure objective outcomes.

OVERVIEW OF THE BUDGET EXECUTION AND SERVICE DELIVERY BAROMETER (January to June 2010)



- 0 -20% Government does not meet the indicator
- 21- 40% Government minimally meets aspects of the indicator
- 41 - 60% Government meets many aspects of the indicator but progress may be too recent to judge
- 61- 80% Government meets most aspects of the indicator
- 81 – 100% Government meets all aspects of the indicator and has been doing so over time

Thematic 1: Citizens' Participation and Civic Engagement in Development Processes

This thematic area focuses on two main issues of promoting participatory budgeting and promoting community voices in decision-making process. The thematic area also links state obligations with citizen entitlements in as far as ensuring participation in development processes is concerned.

Analysis of Each Indicator:

1.1 Formal spaces created for encouraging quality participation

Formal space has been created for citizen participation in budgetary and service delivery processes. However, little effort on the part of government has gone towards promoting the utilisation of this space. The spaces created or claimed by citizens include the District Development Coordinating Committees (DDCCs), the Provincial Development Coordinating Committees (PDCCs) and the Sector Advisory Groups (SAGs). The participation in the DDCCs, PDCCs and SAGs is intended to be broad to include Civil Society. However, for various reasons- these spaces have largely been populated by Government functionaries to the exclusion of civil society.

Current structures lack real legal mandate and do not compel government to utilise them as primary means of encouraging citizens participation. The budgeting process, for instance, remains essentially "Top-Down". Greater citizen participation is only visible after budget bill has already been presented, at which stage any real influence is unlikely.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	23%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

1.2 Strengthening gender inclusive practices in development processes

Gender inclusion is only visible at high levels. Gender in Development (GID), through the current use of focal points, is not effectively and sufficiently represented at lower levels.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	24%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

1.3 Strengthening the role of civil society in development processes

Though space for engagement does exist, with some evidence of actual civil society participation, existing structures are utilised at the will of responsible government offices. This has had the effect of weakening effectiveness and consistency of civil society engagement in development processes. One of the important questions related to citizens' participation in budgetary processes is - do the citizens participate and influence development processes in Zambia and do their views find a place in development plans? Based on evidence generated by CSPR, to a large extent, suggestions given by civil society in development processes is negligible. Although government has created spaces for civil society's participation, civil society is generally powerless where actual and meaningful contribution to the development processes is concerned. It was observed in all the 10 districts assessed, that local government made no effort to engage civil society in various development processes.

One heartening thing to note is that civil society is invited to meetings to place their views on developmental plans, however, neither are they invited to participate in the process of budget preparation/allocation.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	44%
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

1.4 Promoting multi-sectoral partnerships

Multi-sectoral partnerships at all levels, from national to local, are essential in bringing together the necessary expertise, skills, leverage and coordination needed to respond effectively to service delivery. Governments, public and private sector agencies, and a diverse and vibrant civil society, are essential to a comprehensive and coordinated approach. Various structures for multi-sectoral partnership exist in Zambia. Government has however not invested in ensuring their effectiveness. Non-state actors have tended to play a more active role in promoting such effectiveness. What is noted is a lack of shared responsibility for outcomes, lack of cooperation and collaboration, and limited understanding of what works. The challenge is engaging stakeholders at multiple levels in building collaborative partnerships for development. Governments, needs to make more effort to foster partnerships with the media, private sector agencies, and civil society in order to promote an enabling environment for effective responses to development.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	42%
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

1.5 Enhancing citizens' participation in appropriate levels of local government

The current Local Government Legislation provides a clear basis for citizens' participation, it has however, fundamental weaknesses that have left room for local authorities to abdicate their responsibility to actively enhance such participation. Participation of citizens in local governance and exercise of its voice in development processes has been weak. Without legal provisions and real spaces for citizen engagement in the fiscal fields of local governance, the effectiveness and impacts of citizen participation are restricted. Although participation of citizens in local government fiscal process has been bleak in the past, especially in rural areas where electorates as well as the elected are not well aware, some (of the case studies) cases brought to light interesting efforts by local and state government to improve citizens participation.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	28%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

Overall Thematic Analysis:

Whilst various mechanisms exist to enable citizens' participation and CSO engagement, what is consistently missing is government effort in ensuring that such mechanisms function effectively.

Summary of Scores for Indicators under the Thematic 1

	<i>Indicator</i>	<i>%</i>
1.1	Formal spaces created for encouraging quality participation	23
1.2	Strengthening gender inclusive practices in development processes	24
1.3	Strengthening the role of civil society in development process	44
1.4	Promoting multi-sectoral partnerships	42
1.5	Enhancing citizens' participation in appropriate levels of local government	28
Overall Thematic Score (Average of Indicator Scores)		32

Thematic 2: Pro-Poor Resource Management and Execution

The thematic area focuses on the prioritisation of resources to key development areas (health, education, water and sanitation, social protection, agriculture and infrastructure), execution of these resources as well as ring-fencing of pro-poor development allocations

Analysis for Each Indicator

2.1 Proper utilization of pro-poor budgetary resources

The Poverty Reduction Programmes (PRPs) and other specific strategies have been set by government to address the challenges that the poor face. Whilst there is notable improvement in terms of pro-poor budgetary allocation, ensuring proper utilisation of these resources remains problematic. There are still inadequate formal policies and governance processes which do not promote proper utilisation of pro-poor budgetary resources. Zambia currently has a legal framework in place which includes the Public Finances Act of 2004 which provides for the following:

- I. Management of Public Finances;
- II. Control of Public Finances;
- III. Surcharges;
- IV. Control of Statutory Corporations;
- V. Audit;
- VI. General Provisions;

These parts of the Public Finance law were created to address a substantial part of the challenges encountered in the public accounting and finance areas. In spite of these legal provisions to guide public expenditure, CSPR monitoring work revealed that according to the 2008 OAG's Report a total of 129 contraventions of Financial Regulations involving expenditures amounting to K228 billion of the Poverty Reduction Funds in education, agriculture and health were committed. Further analysis of irregularities in expenditure in the three sectors demonstrates that funding to PRPs in the Education sector was by far the most exposed to irregularities constituting 9.5 percent of all funding. Agriculture sector funding followed in second place as 3 percent of it was exposed. Health sector funding was in third place with 1.6 percent of its resources exposed. While the PRP funds exposed to expenditure irregularities in the education sector constituted 9.5 percent only of the total sector funding, when analysed in nominal terms with exposed funds in the other two sectors, the funds were fairly significant. For instance, out of a combined

amount of PRP funds of K229 billion that was exposed to irregular expenditure, K193 billion or 84 percent of the funds exposed were in the Education sector. Considering that these funds were specifically to be expended on poverty related activities within the three priority sectors, it would not be unfounded to assume that these irregularities resulted in not meeting some of the poverty related targets for the year 2008.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	41%
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

2.2 Citizens involvement in management and execution of pro-poor resources

There is little effort on the part of government to facilitate citizen involvement in management and execution of pro-poor resources. Participatory processes employed yields negligible results. There is an underlying assumption that if more people participate in fiscal processes, there will be greater information sharing and greater chances that citizens will detect and oppose pilfering of resources meant for their improvement. Participatory monitoring and evaluation elicits people’s perception of utility of development interventions initiated on their behalf. The purpose is to identify gaps between people’s expressed needs and project outcomes and differential impact of such projects on diverse social groups. It was observed that officials of line ministries in the districts can play a large role in controlling role of people’s participation in the monitoring process. It is possible to create committees that would ensure the value for money through participatory processes. As part of these committees, elected citizens can look into implementation of the budget as it pertains to development work. This approach would make it possible for citizens to file petitions in any irregularities in the implementation of the budget.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	21%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	

81 – 100%	Government meets all aspects of the indicator and has been doing so over time	
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Overall Thematic Area Analysis:

Though there has been notable improvement in pro-poor budgetary allocation, little has been done to improve citizen involvement in management and execution of activities thus resourced.

Summary of Scores for Indicators under the Thematic Area

	<i>Indicator</i>	<i>%</i>
2.1	Proper utilization of pro-poor budgetary resources	41
2.2	Citizens involvement in management and execution of pro-poor resources	21
Overall Thematic Area Score (Average of Indicator Scores)		31

Thematic Area 3: Transparency and Accountability

This thematic area focuses on mechanisms being used to ring-fence pro-poor resources, accountability of these resources and the mechanisms used by the local and national government structures to explain and justify its decisions, policies and programmes.

Analysis for Each Indicator

3.1 Sectors publicizing financial disbursements to districts

Access to information about financial flows and other inputs, outputs and outcomes are essential at local levels to inform local constituents and to encourage peoples' participation in the development process. A communication strategy for publicizing budgetary disbursements to districts appears to be non-existent. As noted in the 10 districts were CSPR conducts budget tracking and service delivery monitoring, there is no information flow at the district, constituency and ward level on the budget let alone utilisation of funds to citizens. This is compounded by the absence of any fiscal law to publicize financial disbursements which makes it difficult for citizens to monitor the use of public funds. All line ministries should have a provision where budgets are displayed publicly.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	36%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

3.2 Effective publication of disbursements

Some ministers such as the Ministry of Health publish the financial disbursements in the newspapers. The method, format and content of publication, when this is done, is often not ideal for ensuring effective communication and enquiry.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	29%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

3.3 Accessibility and availability of information to the public on formal publication of contracts and tenders

Some contracts are managed in a transparent manner. This is however not consistent, particularly with regard to single-sourced arrangements. Government's failure to enact the Freedom of Information Bill has weakened citizens' right to insist on appropriate access to information on contracts and tenders. The issue of the right to access to information is critical. If Government fails in establishing the right to access information, no matter how well we are able to craft effective implementation strategies, the citizens will always be left out. There is a clear lack of political will on the part of leaders who ideally have the responsibility for putting such laws in place.

“The lack of political will itself derives from a number of factors, including the fear by government officials that greater public access to information which freedom of information laws will engender, will make them vulnerable to their political opponents; put their personal interests at risk; expose the failure of government programmes and policies, etc.”

After decades of operating in this manner, there has emerged an ingrained culture of secrecy among civil servants and public officials and it has become extremely difficult for many of them to change. There is a need for massive public education to enlighten both those in power or authority and the public service as well as the larger society about these issues and the ideal power relations.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	35%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

3.4 Citizens' involvement in consultations on budget formulation

The purpose to involve citizens' in the budget formulation processes is to maintain transparency. The assessment in the 10 districts reveals that citizens are generally powerless where budget formulation is concerned. The current state of decentralisation (the lack of it) has significantly limited citizens' involvement in consultations on budget formulation. A majority felt that the national budgetary process in Zambia is not consultative and inclusive enough. This they stated is especially the case when it comes to the constituencies who are not consulted in the budget process.

One thing to note is that civil society is invited to place their views on the National Budget in preparation of the Medium Term Expenditure Framework. However, neither are they invited to participate in the process of budget preparation/allocation.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	35%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

3.5 Citizens' involvement in post budgetary reviews

There is presently no formal post-budgetary review mechanism that enables citizens to engage with the budget enactment process with the view of influencing change in resource allocation. The opportunity provided by the Expanded Committee on Revenue and Expenditure to civil society to present their views is perceived to be rubber stamping.

Score:

0 -20%	Government does not meet the indicator	19%
21- 40%	Government minimally meets aspects of the indicator	
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

3.6 Commitment to accountability and transparency in processes

The implementation of the Integrated Financial Management and Information System (IFMIS) should assist in ensuring accountability and transparency. But this is only one part. Commitment will have to be demonstrated through public officials conforming to prescribed guidelines. The accountability systems of all the various line ministries in the 10 districts were CSPR conducted its monitoring, were found to fare poorly on the accountability criteria. Furthermore, the review of literature showed that the existing legal framework is inadequate to ensure budget transparency and accountability. A key weakness is the extensive powers assigned to the Republican President and the Minister of Finance & National Planning in the budget process, without adequate checks and balances. "Disbursement decisions are often made on an ad hoc basis, with politics playing a dominant role. It is not always clear who can be held accountable for non-delivery."

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	40%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

3.7 Erring officials penalised for budgetary abuse

Failure to follow through with most recommendations made in the Auditor General's reports with regard to erring official is indicative of the low level of political will in this area. The role of the Public Accounts Committee (PAC) of Parliament is mandated to examine the accounts showing the appropriation of sums granted by the National assembly to meet the public expenditure, the report of the AG on the accounts of government and such other accounts. The PAC has powers to summon witnesses, question them and demand explanations. The PAC, however, lacks powers to punish erring officers. The responsibility of dealing with erring officers is passed on to the executive. The executive is required to submit a Treasury Minute or Action Taken Report to the National Assembly after six months outlining what measures it has taken to correct the anomalies that were pointed out by the PAC. However, experience till now shows that redressal time is too long to impact on the issue and by the time orders are issued, project

is usually completed, bills have been cleared and officers have been transferred or left their position.

Score

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	31%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

Overall Thematic Analysis:

The failure to expedite the decentralisation process, enact the Freedom of Information Bill and act on recommendations of the Auditor General has had the effect of limiting the possible positive effect of measures that include introduction of IFMIS and a single account at BOZ.

Summary of Scores for indicators under the Thematic Area

	<i>Indicator</i>	<i>%</i>
3.1	Sectors publicizing financial disbursements to districts	36
3.2	Effective publication of disbursements	29
3.3	Accessibility and availability of information to the public on formal publication of contracts and tenders	35
3.4	Citizens' involvement in consultations on budget formulation	35
3.5	Citizens' involvement in post budgetary reviews	19
3.6	Commitment to accountability and transparency in processes	40
3.7	Erring officials penalised for budgetary abuse	31
Overall Thematic Area Score (Average of Indicator Scores)		32

Thematic 4: Basic Service Delivery and Management

This thematic area focuses on the capacity of local and national government structures in providing basic services effectively and efficiently in health, education, water and sanitation, social protection, agriculture and infrastructure.

Analysis for Each Indicator

4.1 Government is adding quality to service delivery

The increase in budgetary allocations has not necessarily translated to improved quality of service delivery. Rural poverty had been in fact on the increase in the recent past. In order to have meaningful service delivery, apart from increasing budgetary allocations that would help improve the quality of service delivery, there is need for institutional capacity of the local governments to come up to the aspirations of local communities. People's participation, therefore, becomes imperative efficient allocation and execution of resources to various local development initiatives.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	25%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

4.2 Improvement in the management of public services

Improvement in management of public services is primarily in urban areas. Rural areas continue to experience poor management, partly attributable to lack of funds and qualified human resource. The service providers interviewed in the 10 districts, face problems of severe lack of funds to carry out their constitutional mandates to improve the quantity and quality of basic services to citizens. Initially, financial resources had been

dwindling due to reduced fiscal transfers from national government. This also had a debilitating effect on local government.

It was clear from the evidence drawn at district level, that many local authorities are still facing severe capacity constraints and institutional weaknesses in delivering basic services effectively and efficiently. The severe lack of capacity at local government level tends to come in the form of few staff, which has proved debilitating for service delivery. This is particularly evident in the more rural districts. Also, the perceived lack of service-orientation at local government level, including ineffective and inefficient administrative structures, are often seen as obstacles to dealing with the huge services backlogs in many poor communities.

At local government level, the lack of financial resources and institutional and administrative capacity has meant that many service providers are unable to deliver basic services such health, education and water and sanitation effectively, which in turn prompts many communities to refuse to pay for these services.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	29%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

4.3 Government is sharing responsibility for service delivery

There is clear evidence not only of sharing of responsibilities for service delivery, but also of the development of frameworks to enhance effectiveness and efficiency of service delivery arising from collaboration.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	54%
61- 80%	Government meets most aspects of the indicator	

81 – 100%	Government meets all aspects of the indicator and has been doing so over time	
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4.4 Improving economic and social terms of citizens through service delivery

Significant government effort has gone into development of key policies intended to provide greater economic and social development opportunities for citizens. The real impact of these efforts will be seen in due course. The roles of citizens in public service delivery should however be recognised and promoted. The citizens should indeed be at the ‘centre’ of the service delivery system – receiving the services and participating in formulation of the agenda for setting the economic and social terms public service delivery.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	50%
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

Overall Thematic Area Analysis:

Successes have been scored at policy formulation, but basic service delivery and management remains a major challenge, particularly in rural areas.

Summary of Scores for Each Indicator under the Thematic Area

	Indicator	%
6.1	Government is adding quality to service delivery	25
6.2	Improvement in the management of public services	29
6.3	Government is sharing responsibility for service delivery	54
6.4	Improving economic and social terms of citizens through service delivery	50
	Overall Thematic Area Score (Average of Indicator Scores)	40

Thematic 5: Equity

This theme focuses on the rights of access to basic services and extent to which disbursed funds reach intended beneficiaries in full especially for rural areas, the vulnerable, women and children.

Analysis for Each Indicator

5.1 Pro-poor commitments in relation to overall budget

Government's pro-poor commitments to equity in relation to overall budget allocation will be evidenced by reduction in poverty amongst those most vulnerable citizens. The current picture indicates that there is much to be done to ensure that increased allocations to PRPs translates into improved livelihoods. A question that arises every year is whether the national budget sufficiently addresses poverty issues. An assessment will be conducted every year to determine how progressive the national budget is in promoting pro-poor development. Progressivity is measured in regard to departure from proportionality in the relationship between PRP funds in relation to the overall budget. The belief that increasing budgetary resources towards PRPs will automatically improve the delivery of basic services is widely accepted. However, evidence generated by CSPR demonstrates that allocating more budgetary resources to the PRPs has not necessarily delivered better outcomes. Increased budgetary allocation to PRPs does not translate into improved services due to leakage of funds.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	41%
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

5.2 Government engaging with citizens on their rights to basic services

There is no evidence that government links their engagement with citizens around budget processes to their rights to basic service. This appears to be an approach deliberately

avoided by government. Government does not expressly state its human rights obligations, despite its pledge to honour these. Government has a duty to ensure that its development policy reflects human rights standards to which it is legally bound and within this context seek to engage with the citizens on development activities that contribute to the realisation of human rights.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	28%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

5.3 Adequate funds targeted towards women's and children's programmes

The inadequacy of funds targeted towards women's and children's programmes is evidenced by the major challenges still being experienced in these segments (maternal mortality rates, street children, insufficient school places for school age children, etc).

A review of the 2010 budget reveals negligible funds targeted towards women's and children programmes. For instance under the health sector, the programmes on Reproductive health and Child health received 0.2% and 0.3% respectively of the total budget share of the health sector. Under Social protection the following received negligible budgetary share of the social protection with the 1% for the Women Development programme, 0.7% for the street children's programme and 0.7% for the Children's Homes Programme. Government's responsiveness to the needs of women and children is evidenced by the low levels of funding to specific programmes that seek to address the vulnerability of women. The assessment from the communities reveals that the gap between the women and men in access to and utilization of services has continued to exist.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	20%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

5.4 Equal opportunity for women and children to access basic services

Government's basic services delivery mechanisms do not often recognise the weaker socio-economic status of women and children. This results in them often being disadvantaged. Gender inequalities have continued to exist in the education sector. The low education levels of women lead to women being found mainly in the informal sector, in low paying jobs and participating only in lower ranks of decision-making structures and processes. However, there has been some partial achievements by government in promoting opportunities for women and children to access basic services through strengthening the national capacity to mainstream gender and promote the rights of children. For instance, capacity building activities at all level of the Government in gender mainstreaming have also been stepped up. However, further achievements are constrained by the delays in enacting vital pieces of legislation. Enhancing collaborative efforts among Government units would also further improve the chances of achieving the desired outcomes.

Scores

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	24%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

5.5 Members of Parliament promoting access to basic rights

The legislative arm of government appears to lack contextual knowledge of the circumstances of their constituents. Many MPs have also demonstrated limited capacity to debate issues in Parliament. This has constrained their ability to articulate and promote issues of basic rights.

Score:

0 -20%	Government does not meet the indicator	15%
21- 40%	Government minimally meets aspects of the indicator	
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

Overall Thematic Area Analysis:

Government remains unwilling to recognize basic service provision as a matter of human right. This has affected how this area is being addressed in the budget process. It is clear that the attainment of economic growth alone does not mean the achievement of development and the benefits of economic growth cannot trickle down to all sections of society in the absence of concerted efforts and political will to ensure that growth is accompanied by equity. This means that there must be deliberate planning and targeting of growth to guarantee meaningful impact on the lives of people.

Summary of Scores for Each Indicator under The Thematic Area

	<i>Indicator</i>	<i>%</i>
4.1	Pro-poor commitments in relation to overall budget	41
4.2	Government engaging with citizens on their rights to basic services	28
4.3	Adequate funds targeted towards women's and children's programmes	20
4.4	Equal opportunity for women and children to access basic services	36
4.5	Members of parliament promoting access to basic rights	15.2
	Overall Thematic Area Score (Average of Indicator Scores)	28

Thematic 6: Human Development

This theme focuses on the effectiveness of impact of the actions applied on local human development

Analysis for Each Indicator

6.1: Change in poor people's livelihoods

Evidence from CSPR's assessments reveals that poverty has persisted amidst sustained economic growth and macroeconomic stability. The positive macro-economic performance is yet to be reflected in improved welfare indicators especially in the rural areas. Part of the reason for the delayed impact on welfare indicators is the fact that the experienced economic growth is urban biased and largely driven by the capital intensive sectors such as construction, mining, transport and telecommunication. The majority of the rural population derive their livelihoods from agriculture, fisheries and forestry, i.e. from an economic sector that has experienced dismal performance. In other words, the nature of economic growth experienced in the recent past is driven by sectors that "by pass" the rural areas and rural poor – at least in the short and medium term.

For improvement in peoples' livelihoods in the rural areas, the performance of the agriculture sector is especially crucial in this regard. Although positive, the agricultural sector growth has been sluggish – triggering a vicious cycle of slow growth, low income levels and low productivity and slow growth. Registering a major impact on rural poverty will require sustained and higher growth of the agriculture sector.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	35%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

6.2 Access to basic services by poor people

Rural areas, where the majority of the poor are based, continue to face major challenges in accessing basic services. Access to schools, health clinics, clean water, sanitation facilities, and other services is limited in the communities conducting budget tracking and service delivery monitoring that CSPR is facilitating. While available services may vary vastly from one community to another, the evidence shows slight improvement in access to education. The recorded improvements in access to education have been noted to have contributed to the enrolment of pupils in grade 1. However, there are still some outstanding challenges to be addressed in access to health and water and sanitation. The access to water and the quality of water is relatively low in all the local communities CSPR is working with. Sanitation coverage remains very low. In the health sector, evidence generated by CSPR has showed that there was an improvement in access to health owing to the removal of user fees in rural areas. However, outstanding challenges include the human resources crisis and remotely located health centres.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	25%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

6.3 Commitment and obligations to human development

Whilst there are a number of notable budgetary provisions intended to directly address human development, this is not driven by demonstrable commitment and acknowledged obligation on the part of government. The performances of the health and education sectors are key contributors to human development. Nevertheless, Zambia has one of the lowest life expectancy in the World; HIV/AIDS mitigation and prevention as well as malaria programmes are still largely financed by external donors. Child and maternal mortality remain serious issues of concern in the health sector and the public has very little confidence in the public health care system. The education sector is faced with equally challenging bottlenecks. For instance, the persistence of high levels of illiteracy is a good indicator of the difficult challenges in the education sector in Zambia. It is widely

recognised that illiteracy perpetuates poverty and compromises the quality of public participation in national, social and political processes. In short, the country continues to be one of the most unequal countries in Sub-Saharan Africa. The importance of Human development within the overall development process must not be underrated. For the development of a country it is crucial that individuals have equal opportunities to get them out of the poverty cycle and pursue a life of their choosing which spares them from extreme deprivation.

Therefore the emphasis should be on the need for the Government to go beyond the narrow ambition of attaining high economic growth rates and to ensure that institutions and policies promote a level playing field for all members of society. All Zambians should be offered similar chances to become socially active, politically influential and economically productive.

Score:

0 -20%	Government does not meet the indicator	
21- 40%	Government minimally meets aspects of the indicator	32%
41 - 60%	Government meets many aspects of the indicator but progress may be too recent to judge	
61- 80%	Government meets most aspects of the indicator	
81 – 100%	Government meets all aspects of the indicator and has been doing so over time	

Overall Thematic Area Analysis:

Government efforts to deal with local human development challenges has not yielded significant results, especially in rural areas, largely due to issues of targeting.

Summary of Scores for Each Indicator under the Thematic Area

	Indicator	%
5.1	Change in poor people's livelihoods	35
5.2	Access to basic services by poor people	25
5.3	Commitment and obligations to human development	32
	Overall Thematic Area Score (Average of Indicator Scores)	31

WAYFORWAD

Activities needed for the next activities

- Government should place more emphasis on Poverty Reduction Programmes (PRPs) through increased allocations in the National Budget in order to expedite economic production and participation of the rural populace. In addition, government should take steps to ring-fence funds for Poverty Reduction Poverty Funds.
- Government needs to begin to conceptualize human development as a series of investments to increase capacity, to promote a more equitable and inclusive society and to catalyze accelerated, broad-based economic growth.
- Significantly scale up investment in rural development programs, with priority being given to rural infrastructure development, support small-scale farmers and micro businesses. This group of the population faces several challenges that include poor nutrition, inadequate health and education facilities, and poor or absent infrastructure such as roads and bridges. Whilst urban areas are enjoying an increase in technological and other advancements, the rural areas have remained fairly stagnant and in most cases retrogressed. Real commitment to equity requires a shift from the urban bias to prioritising the needs of the rural population. A perpetuation of this bias denies a large portion of Zambia's population the opportunity to be agents in the development process.
- Encourage and stimulate equity initiatives within various ministries and improve on priority setting and targeting resources to identified priorities.
- Government needs to strengthen the public participation in budgetary processes and development processes. Government needs to deliberately create spaces for civil society participation. Fiscal policies should address equitable redistribution of resources and investment in high pay-back areas.

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