

The Government of the Republic of Zambia

NATIONAL REPORT - ZAMBIA

**The United Nations Conference on Sustainable Development – June
2012 (Rio+20)**

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Executive Summary

Introduction

This report summarizes findings of the Zambia Stocktaking Report on the Rio+20 United Nations Conference on Sustainable Development (UNCSD) and the Multi-stakeholder Consultative Meeting (MCM) convened in the first week of February 2012 to discuss the Stocktaking Report. The summary focuses on conclusions regarding the extent to which Zambia has implemented Sustainable Development (SD) as well as the Agenda 21 and the Johannesburg Plan of Implementation (JPI). In this regard, the summary focuses on conclusions, challenges and recommendations.

Conclusions

Zambia has made notable progress towards the implementation of Sustainable Development (SD). Some of the achievements include: the establishment of the institutional frameworks to facilitate implementation of SD; integration of some aspects of SD into national poverty strategic plans; diversification of the economy away from copper and promotion of sustainable land management.

Community driven poverty reduction interventions that incorporate economic, social and environmental concerns at minimum cost have been promoted through interventions such as Food for Assets (FFA) which yield useful results including: community based conservation of wildlife and forests; Conservation Agriculture (CA), and; improved community level production and productivity.

However, adequate implementation of SD in the country is still farfetched. SD has not been sufficiently domesticated in the country, and much less at sub-national level. One of the major contributing factors to this gap is the absence of specific institutions mandated at promoting SD at sectoral and national level as well as lack of localized indicators for monitoring progress towards SD. This has resulted in piece-meal implementation of Agenda 21 and progress towards Sustainable Development.

Major Challenges

A number of challenges were noted, that have constrained implementation of SD at the required pace. These include:

Absence of an appropriate SD Framework: Whereas a green economy integrates all the major economic and social players whether they be private sector, civil society or government in production processes that benefit society while at the same time minimizing environmental degradation, a framework to facilitate such an integration does not exist in Zambia.

High poverty levels: Since 1992, the country's national poverty level has marginally declined by only 9.5 percentage points, from 70% in 1991 to 60.5% in 2010. The poverty situation in the country's rural areas is worse, posing a great danger to sustainable development given that the livelihoods of many rural poor people is intricately linked with exploiting fragile environments and ecosystems.

Poor SD Coordination: There is an absence of effective coordination SD mechanism be it at pillar level or otherwise, resulting in lost opportunity to improve cost-efficiency and effectiveness, critical factors due to the country's limited resources.

Inappropriate indicators: There is inadequacy of indicators to measure various sustainable development/green economy issues. Most indicators tend to be generic in nature, lacking specificity with regards to issues of Sustainable Development.

Poor funding of institutions: Though the country has a number of strategic institutions to facilitate implementation of SD, these are poorly funded, resulting in minimal impact on the ground.

Other challenges:

1. There has been inadequate domestication of the Agenda 21 in the country, particularly at sub-national level. There has been a gap with regards to specific institutional arrangements mandated to promote and champion the Sustainable Development (SD) agenda in the country.
2. There is need for coordinated and consistent SD public awareness campaigns in the country. The awareness campaigns that have taken place so far have lacked consistency, have tended to be fragmented and confined to a few selected sub-sectors and sectors. This has perpetuated low levels of environmental management and Sustainable Development literacy.
3. Linked to the above point, there has been inadequate coordination among government institutions regarding SD issues. Other primary stakeholders outside government (the civil society organizations and the private sector) have not been sufficiently engaged by government on SD issues.
4. The use of natural resources in the country has not been maximized. Where such resources have been used, there has tended to be an absence of a well thought through sustainability strategy.
5. There has been an absence of sound legal framework for community control, ownership and active involvement in natural resource management, for instance, with respect to Joint Forest Management, and the limited decentralization and empowerment of communities to manage and benefit from local resources. NGOs have largely been excluded in resource management such as the CRBS under the Zambia Wildlife Authority (ZAWA).
6. The Zambia Environmental Management Agency (ZEMA) though a critical and important institution with respect to the promotion of sustainable development, is merely at a tactical

level, it fails to engage at a strategic level. ZEMA also fails to engage at the lower level, including community, where implementation issues are prominent.

7. There has been inadequate investment in the country to significantly reduce the high poverty levels, particularly the kind of investment that creates enough jobs and wealth. This has slowed down progress in SD due to the close link between poverty and the exploitation of the environment for livelihoods.
8. The availability of adequate quality data at the desired frequency and timeliness has been a serious challenge. This has made it difficult to know the current status of various natural resources in terms of exploitation/use, posing a further challenge to resource planning.
9. Government should revamp Strategic Environmental Impact Assessment because of its more broad-based nature. It includes more issues under SD.

Key Recommendations

1. ***Combating deforestation:*** Addressing deforestation requires an integrated approach to address the energy alternatives to fuel wood and promoting intensification of agriculture for improved productivity to reduce clearing of forests for farming activities. Policies and legislation that promote community participation in forest and natural resources management must be put in place and implemented with a decentralised system of management that creates incentives and provides adequate capacities for community involvement. Zambia must reduce the deforestation rate to ensure a green economy and sustainable development.
2. ***Responding to climate change:*** The threats of climate impacts to sustainable development are critical and these have to be addressed if Zambia is to move towards sustainable development and ensure that adverse impacts of climate change do not undermine national efforts to attain the Millennium Development Goals and reduce poverty. The National policy on climate change should be put in place and institutional arrangements, capacities and adequate resources deployed to develop a National Action Plan to implement the National Climate Change Response Strategy for a climate resilient and the Low emission growth. This will be important for enhancing the resilience of communities and protecting economic growth, food security and the environment from the impacts of climate change while accelerating green growth.
3. ***Reducing Unemployment:*** Unemployment leads to unsustainable exploitation of natural resources important for a climate resilient and low carbon economy. Government must enhance the partnerships between public and the private sector to increase the possibilities

and opportunities for private investments in green initiatives. This will stimulate job creation and increase employment opportunities especially for the youth.

4. **Financing for a Green economy:** Zambia should enhance its preparedness to access and mobilize climate financing from domestic and international sources including the Green Climate Fund. There is urgent need for Zambia to establish a Climate Financing Framework for improved mobilization, sequencing, combining and pooling of finances for investments in adaptation and mitigation towards a green economy to meet the social, economic and environmental management objectives of the country. The domestic and international financing should be used to catalyze and leverage private sector investment in addressing climate change. Zambia has a wide range of renewable energy sources (solar, hydro power, biomass, wind, geothermal and energy crops) with great potential. Zambia needs to invest in the large-scale development and promotion of these technologies and improve access to clean and affordable energy to the urban poor and rural areas. This should go hand in hand with the promotion of energy efficient technologies in production and consumption systems.
5. **Enhance Institutional arrangements:** Policy guidelines and legal framework on the implementation of the green economy should be developed as soon as possible. Once this is in place, enhanced coordination among government, development partners, civil society and communities should be established. This requires designation of an institution to coordinate and spearhead the greening of the economy with specific indicators and targets. The key sectors that should take the lead are agriculture, forestry, energy, water, local government, industry and transport. Critical cross-cutting issues that should be addressed include human resource development, research and development, institutional capacity building, networking, gender integration and private and public awareness and participation.
6. **Mechanism to integrate the 3 SD pillars:** There is need to have a mechanism to integrate SD issues in social, economic and environment pillars. This will promote cost-efficiency and effectiveness through the improvement, to the best extent possible, of such systems and monitoring and evaluation, procurement and financial management. It will also provide a platform for sharing best practices related to SD specific issues. The institutional arrangements for coordinating and implementing poverty reduction interventions such as SAGs, PDCCs, DDCCs, ADCs and MoFNP, etc. should be strengthened and fully taken advantage of to coordinate and monitor SD and green economy issues. This strengthening should include institutions that have been specifically established to promote SD and green economy issues such as ZEMA and Mine Safety Department (MSD). The strengthening should be holistic in nature, including adequate funding as well as professional and technical staff. The sectoral policies, policy frameworks and other legal and statutory instruments designed to promote SD and green economy should be fully implemented. Where these need strengthening, appropriate actions should be taken accordingly.

7. **Reporting System:** An effective reporting system based on appropriately formulated SD Key Performance Indicators (KPIs) should be developed and implemented. While there has been remarkable improvement in the formulation of M&E frameworks for tracking the performance of the recent NDPs, there is need to integrate appropriate SD KPIs as well as to invest more resources in the operationalization of these frameworks. All the major surveys undertaken by CSO (including LCMS, Post Harvest Survey, Zambia Demographic Health Survey) should be given special attention to ensure timely data collection, analysis, reporting and dissemination of results and following-up of the findings. Government should prioritise resource allocation to these surveys given their importance in facilitating evidence-based policy formulation and programming as well as reporting.

1. INTRODUCTION

1.1 Background

The United Nations Conference on Environment and Development (UNCED), also known as Earth Summit, was convened in June 1992 in Rio de Janeiro Brazil, to address urgent problems of environmental protection and socio-economic development. At this summit, three international agreements namely the United Nations Framework Convention on Climate Change (UNFCCC), the United Nations Convention to Combat Desertification (UNCCD) and the Convention on Biological Diversity (CBD) were signed by States including Zambia. The heads of states also endorsed the Rio Declaration and the Forest Principles and adopted Agenda 21, a plan for achieving sustainable development in the 21st century. The United Nations Commission on Sustainable Development (CSD) was established in December 1992 to ensure effective follow up to the United Nations Conference on Environment and Development (UNCED).

The Johannesburg Plan of Implementation of 2002 further builds on the achievements made since the 1992 Rio Summit. In this plan member states committed to undertake concrete actions and measures to enhance international cooperation, taking into account the Rio principles, including, inter alia, the principle of common but differentiated responsibilities as set out in principle 7 of the Rio Declaration on Environment and Development. The efforts were also intended to promote the integration of the three components of sustainable development economic development, social development and environmental protection as interdependent and mutually reinforcing pillars.

The United Nations General Assembly has called (in GA 64/236) for a UN Conference on Sustainable Development (UNCSD) in 2012. The UN Conference on Sustainable Development will take place during June 20-22 2012 in Rio de Janeiro Brazil, twenty years after the 1992 Rio Conference on Environment and Sustainable Development.

1.2 Objectives and Focus of the UNCSD 2012

UNCSD is a forum where governments can evaluate, measure, assess and report on implementation of various agreements reached at local, national, regional and international levels. UNCSD is expected to provide guidance on emerging issues which require international cooperation in order to ensure sustainable development. In this case therefore, the international cooperation is sought to provide and strengthen support for sustainable development through funding, provision of technical assistance and appropriate technologies, and support for capacity building in various sectors.

The United Nations General Assembly through its resolution GA 64/236 called for a UN Conference on Sustainable Development (UNCSD) in June 2012.

The main objectives of the Conference are to secure renewed political commitment for sustainable development, assess the progress to date and the remaining gaps in the implementation of sustainable development, and identify and address new and emerging challenges. The themes of the UNCSD are (a) a green economy in the context of sustainable development and poverty eradication; and (b) institutional framework for sustainable development.

1.3 Purpose, scope and preparation of the national report

The national report was prepared on the basis of the guidance note on supporting national preparations for the United Nations Conference for Sustainable Development (UNCSD), issued by the United Nations Department of Economic and Social Affairs (UN DESA) and United Nations Development Programme (UNDP). It takes from the Zambia Stocktaking Report on the Rio+20 United Nations Conference for Sustainable Development (UNCSD) and proceedings of a multi-stakeholder consultative workshop held on 1st February 2012 convened to discuss the Stocktaking Report and the key issues in Sustainable Development for the June 2012 UNCSD Rio conference. The objective of the national report is to show progress made, challenges met along the way and opportunities and priorities for the future for sustainable development for a post 2012 framework for Zambia.

The preparation of the Rio+20 National Report involved two major processes: (i) undertaking of a stocktaking exercise which included literature review and stakeholder consultations in four provinces, namely Lusaka, Southern, Copperbelt and Eastern resulting in a Stocktaking Report. (ii) convening of a multi-stakeholder consultation meeting to address the objectives and themes of UNCSD informed by the stocktaking report.

The preparation of the Rio+20 National Report was led and facilitated by a Technical Review Committee consisting of multi-stakeholders from government, the UN system and the Civil Society Organizations (CSOs).

2. INSTITUTIONAL AND POLICY FRAMEWORK FOR SUSTAINABLE DEVELOPMENT

Zambia has made some progress in putting in place institutional and policy framework to guide and facilitate the implementation of sustainable development. This component discusses: policy framework and commitment for sustainable development, and; the legal and institutional framework for sustainable development.

2.1 Policy framework and commitment for sustainable development

The discussion on policy framework and commitment is dealt with by pillar, namely; social, economic and environment. Selected two to three policies per pillar are focused on as an illustration.

2.1.1 Social pillar

Just over a decade ago when Heads of State and Government met in 2000 at the UN Summit to agree on the Millennium Development Goals (MDGs), the country's human development indicators were in a "highly weakened state but have been improving since then" (MDGs Progress Report 2011). Table 1 demonstrates this state, going back to twenty (20) years ago in cases where data is available. The most significant achievements made include: access to education and child malnutrition as well as reducing infant mortality although more still remains to be done. The major challenges notable are with respect to: the low rate of poverty reduction; low women's participation in decision making; high maternal mortality and environmental protection. Table 1 below summarises progress in meeting MDGs based on selected indicators.¹

Table 1: Progress Towards Achievement of Selected Individual MDGs

No.	Millennium Development Goal (MDG)	Baseline Data			Most Recent Data	
		Year	B/line Value	Target 2015	Year	Latest value
1	Eradicating extreme poverty and hunger	1991	58%	29%	2010	42.3%
2	Achieving universal primary education (Net enrollment)	1990	80%	100%	2009	102%
3	Gender equality: ratio of boys to girls in prim. sch.	1990	0.9	1:1	2009	0.96
4	Reducing child mortality (underfive deaths)	1992	190.7/1000	63.6	2007	119
5	Improving maternal health (deaths)	1996	649/	162	2007	591

¹ For more detailed reading on progress made towards the country's achievement of MDGs, see *Zambia Millennium Development Goals Progress Report 2011*, United Nations Development Programme (UNDP) and Government of the Republic of Zambia (GRZ).

No.	Millennium Development Goal (MDG)	Baseline Data			Most Recent Data	
		Year	B/line Value	Target 2015	Year	Latest value
			100000			
6	Combating HIV/AIDS, Malaria & other diseases (HIV prevalence rate among adults:15-49 yrs)	2002	15.6%	Under 15.6%	2007	14.3%
7	Ensuring environmental sustainability (% of land covered by forests)	1990	66%	-	2007	55.9%
8	Developing a global partnership for development (official development assistance in US\$ million)	2002	754	-	2009	918
	Foreign direct investments per annum (US\$ mill.)	1995	211	-	2009	960

3 Source: Zambia Millennium Development Goals Progress Report 2011

Two sectors under the social pillar are dealt with, health and education.

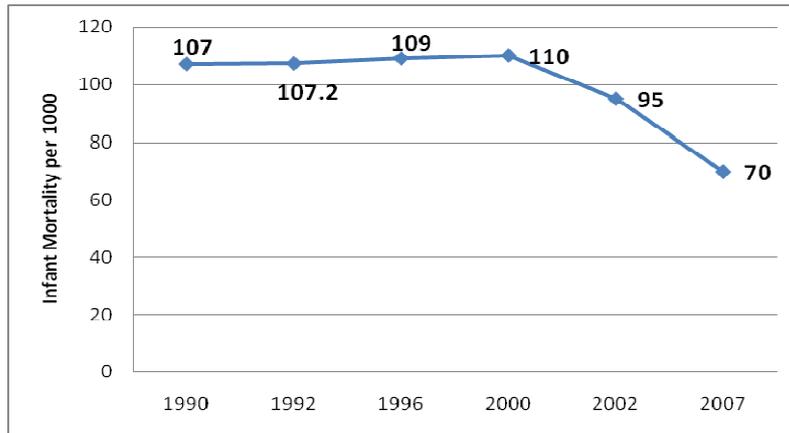
Health sector

The overall goal of the health sector is “*To improve the health status of the people in Zambia in order to contribute to socioeconomic development in line with the Millennium Development Goals (MDGs)*”. To realize this goal, the health sector has twenty seven (27) objectives. These include: (i) To train, recruit and retain adequate and appropriate staff at all levels; (ii) To provide cost-efficient and effective basic quality care services at all levels of the health care delivery system as defined in the basic health care package; (ii) To reduce morbidity and mortality due to malaria in the general population; (iii) To halt new infections and begin to reverse the spread of HIV and STIs through effective interventions; (iv) To reduce the mortality rate among children under five years of age by two-thirds, and; (v) To facilitate effective and efficient health education and promotion programmes.

The following is the performance of the health sector over the past two decades as a consequence (in part) of the above policy objectives.

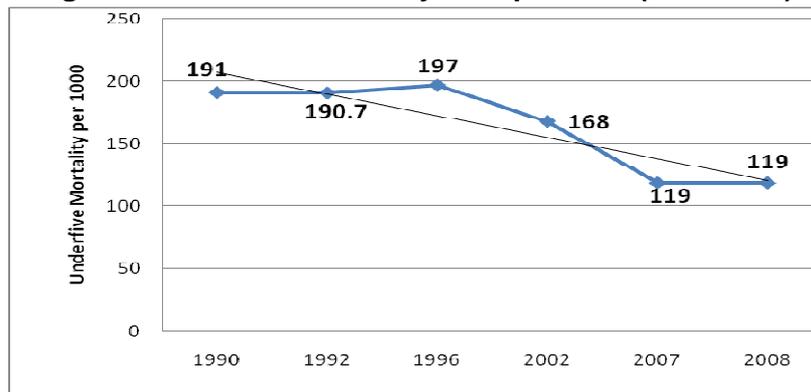
By 1991, the quality of health services in Zambia had deteriorated due to poor economic performance as well as increased pressure on health facilities arising from rural-urban migration (FNDP 2006-2010). Zambia started undertaking health reforms in 1992 under the Health - Sector Wide Approach (SWAp) designed to have a holistic view of the sector and pools resources from all stakeholders to meet the identified key health objectives (PRSP 2002-2004). Progress made in the past two decades in the health sector has been assessed using three indicators: (i) infant mortality per 1000 live births; (ii) Under-five mortality per 1000 births and; (iii) HIV/AIDS prevalence for adults between 15 and 49 years. Each of these indicators is briefly discussed in turn. The infant mortality rate per 1000 live births stagnated in the 1990s with a slight deterioration from 107 in 1990 to 110 in 2000 (see **Figure 1**). However, in the last decade, it improved to 95 and 70 in 2002 and 2007 respectively.

Figure 1: Infant Mortality per 1000 (1990-2007)



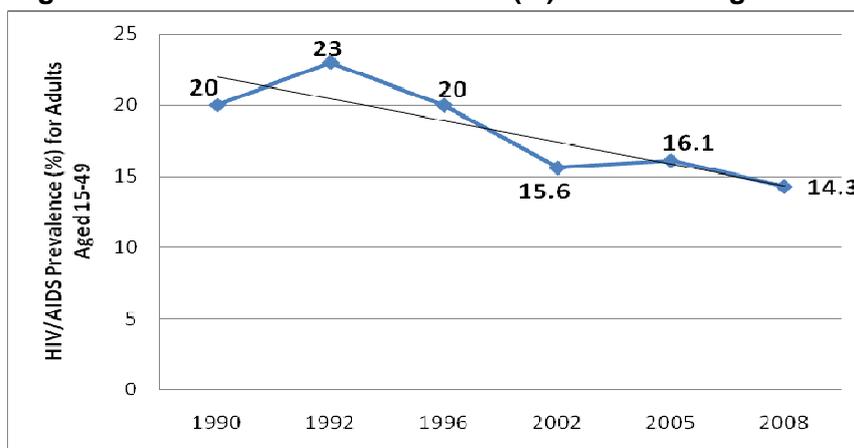
The performance of the under-five mortality rate indicator fluctuated in the 1990s. It slightly reduced in from 191 in 1990 to 190.7 in 1992 before rising to a peak of 197 (see **Figure 2**). There after, it declined sharply to 168 in 2002 and again to 119 in 2007 and 2008.

Figure 2: Under-five Mortality Rate per 1000 (1990-2008)



HIV/AIDS prevalence among adults aged between 15 and 49 reached its peak in the 1990s at 23% in 1992, rising from 20% in 1990 (see **Figure 3**). The improvement in this indicator began in the same decade as it came to 20% in 1996. The improvement was more significant in the last decade where it reduced to 15.6% in 2002 before increasing to 16.1% in 2005. It then fell to 14.3% in 2008.

Figure 3: HIV/AIDS Prevalence Rate (%) for Adults Aged 15-49



Education

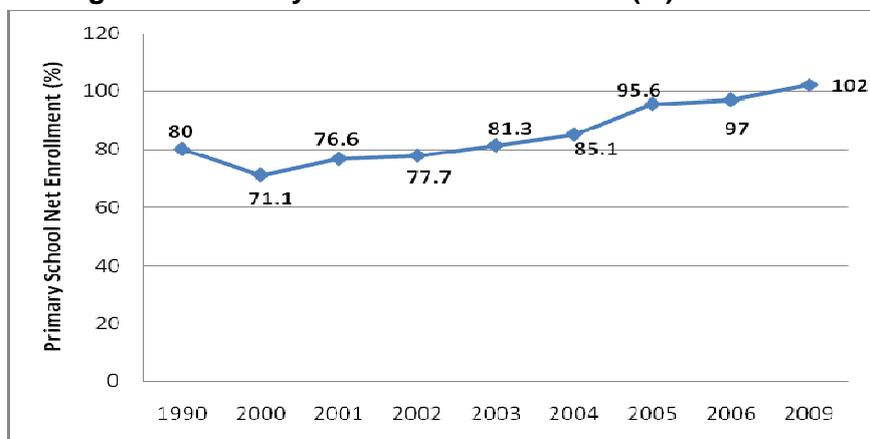
There are six goals including: To ensure universal basic education provision to children; To improve the quality and relevance of education skills training, and; To promote efficiency and cost-effectiveness. The six objectives to be implemented to realize the set goals are: (i) To strengthen or establish institutional frameworks to coordinate provision of education and training through government, community and private institutions; (ii) To introduce policy changes reflective of the current educational requirements; (iii) To promote use of alternative modes of education and training provision; (iv) To promote innovative methodologies in learning institutions; (v) To promote use of responsive monitoring of standards and assessment tools; and (vi) To enhance provision of teaching/learning materials and equipment.

Poverty cuts across all sectors, including education. In the education sector, it manifests itself in a number of ways including the following: low enrollments; low progression; high drop-outs; poor performance, and; poor attendance because children are busy engaging themselves in Income Generating Activities (IGAs) for survival.

Performance of the Education Sector

Primary School Net Enrollment in the decade 1990 to 2000 was that of a declining trend, from 80% to 71.1% respectively (see **Figure 4**). However, in the last decade, performance has significantly increased, growing from 71.1% in 2000 to 76.6% in 2001 and to a peak of 102% in 2009.

Figure 4: Primary School Net Enrollment (%) 1990-2009



Source: HDR 2011 and Vision 2030

The quality of education is affected also by the number of teachers available. The goal of the 1990 to 2000 decade was to provide 4,400 teachers per year, but only half the figure (i.e. 2,226) were actually produced (PRSP 2002-2004). The pupil/teacher ratio was 37 in 1996, 45 in 1998 and 47 in 1999. It is reported that the situation has worsened in the last decade (i.e. 2000 to 2010).²

Major challenges in the education sector related to sustainable development include: (ii) The pupil/teacher ratio is too high for effective and quality learning. This is one of the major challenges and has serious implications on the overall economic development of the country. The low numbers of graduate teachers (almost half of what is required - PRSP 2002-2004) may be attributed to a number of reasons, one of them being inadequate capacity of Teacher Training colleges. Another reason is the relatively high attrition rate of teachers on account of HIV/AIDS crisis (SPW Mid-term Evaluation 2010).

3.1.1 Economic pillar

Zambia's economic growth has been mainly driven by the mining sector, with international copper prices developments being a major determinant of Real GDP growth as far back as independence in 1964. Studies have shown that in the past decade, GDP growth has been stable, averaging 6.1% per annum. Other macroeconomic indicators have been stable, including: single digit inflation rate (8.7%), relatively stable exchange rate, robust export growth with international reserves reaching more than US\$ 2 Billion in 2011, and overall improved investment climate and business environment, leading to increased direct foreign investment (DFI) of US\$ 1.73 Billion by 2010.

² Actual statistics for the 2000 to 2010 decade were not available.

However, despite the sustained positive growth over the past decade, high poverty levels (60.5% in 2010); low productivity, compounded by very low formal employment levels have persisted, resulting in marginal improvement in the livelihoods of the majority of Zambians. According to the Constraint Analysis Report of 2009, there are two major challenges that have resulted in low returns to the sustained economic growth in the last decade. These are: (i) low human capital productivity arising from; poverty, low education status, poor health, and lack of skills, and; (ii) unsupportive business environment, leading to: low access to finance for SMEs; high interest rates; narrow tax base leading to poor public services, and; low investment in infrastructure.

The two sectors focused on under this pillar are agriculture and mining.

Agriculture

The goal is “to facilitate and support the development of a sustainable and competitive agricultural sector in order to ensure food security and income generation at household and national levels and maximize the sector’s contribution to gross domestic product (GDP)”. This goal is to be realized through the following five (5) objectives: (i) Attain national and household food security through all-year round production and post-harvest management of adequate supplies of basic foodstuffs at competitive costs; (ii) Contribute to sustainable industrial development by providing locally produced agro-based raw materials; (iii) Increase agricultural exports thereby enhancing the sector’s contribution to the national balance of payments; (iv) Generate income and employment through increased agricultural production and productivity; and; (v) Ensure that the existing agricultural resource base is maintained and improved upon.

The National Agriculture Policy (NAP) 2004-2015 is currently being revised to incorporate the emerging issues including those related to climate change. NAP has 5 key objectives that focus on increased production of food to ensure food security at various levels; economic growth related objectives and environmental protection related objective. The policy was first implemented under the Agriculture Support Investment Programme (ASIP) whose implementation was in the period 1996 to 2000. Since then, various government and Cooperate Partner supported interventions have been implemented to operationalize the policy, including the FNDP and now the SNDP.

Aspects in which the policy and its ethos (dating back two decades ago) have been implemented are outlined below.

Agriculture has high potential to propell the country towards poverty reduction, given that about 80% of the country’s population depend on agriculture-related activities for livelihood. Its contribution to GDP is between 18% and 20%.³ The vast land, vast surface and ground water reserves as well as fertile soils place the sector on a path to being the engine for the country’s economic growth.

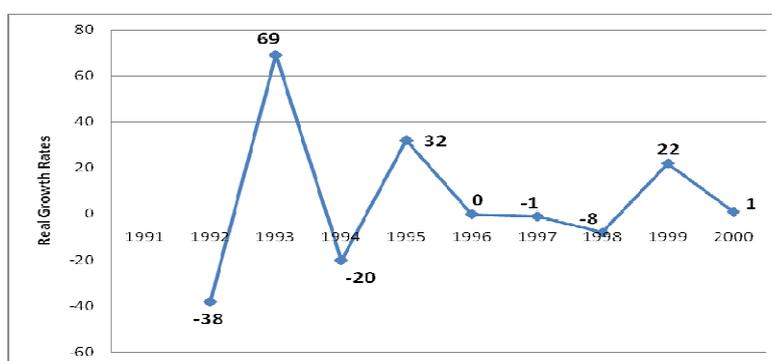
³ PRSP 2002-2004 and SNDP 2011-2015 op.cit

The major constraints the sector has faced include: low investment; low production and productivity especially among small-holder farmers of whom 65% are female; climate change that has led to threats such as droughts, water logging, seasonal floods, increased temperatures, shortening of the rain season (crop growing season) and long dry spells exacerbated by the poor rainfall distribution.⁴

Performance of the Sector

In the 1990s, there were reforms in key areas aimed at stabilizing and improving the performance of the sector. The three key areas of reform were: (i) consolidating liberalization of agricultural marketing; (ii) strengthening liberalization of trade and pricing policy and; (iii) streamlining land tenure system to make it receptive to the policy of liberalization.⁵ In January 1996, the five-year Agricultural Sector Investment Programme (ASIP) was launched whose broad five-fold objectives were: (a) to ensure national and regional food security; (b) to generate income and employment at maximum feasible levels; (c) to ensure that the existing agricultural resource base (land, water and air) is maintained and improved upon; (d) to contribute to sustainable industrial development, and; (e) to significantly expand the sector’s contribution to the national balance of payment (PRSP 2002-2004). **Figure 5** shows the sector’s real growth rates in the period 1992 to 2000. The sector’s average real growth rate for the period under review was 6.3%.

Figure 5: Agriculture Real Growth Rates 1992 - 2001



Source: PRSP 2002-2004

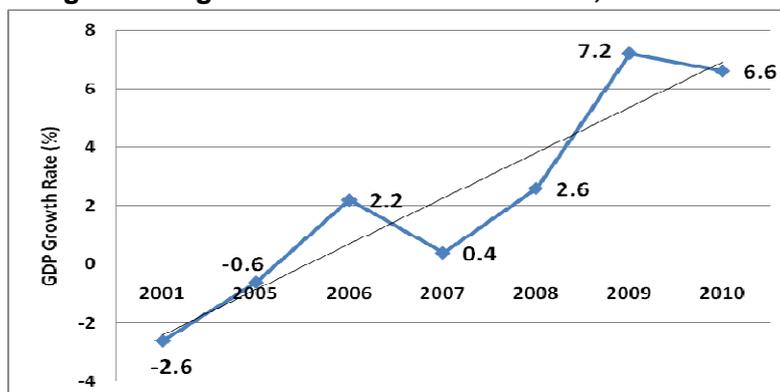
The period 2001 to 2010 was characterized by a steady annual growth in Agriculture GDP from -2.6% in 2001 to a peak of 7.2% in 2009, declining to 6.6% in 2010.⁶ The largest increment in Agriculture GDP growth was from 2.6% in 2008 to 7.2% in 2009, an increase by almost three (3) times (see **Figure 6**).

⁴ SNDP 2011-2015 op.cit

⁵ PRSP 2002-2004 op.cit

⁶ Zambia Human Development Report, 2011.

Figure 6: Agriculture GDP Growth Rates, 2001 - 2010



Source: Zambia Human Development Report, 2011

A major driver to the increased production and productivity (of maize the main staple food) among small scale farmers who constitute more than 70% of the country's farming population and number nearly 1,000,000, is the Farmer Input Support Programme (FISP). This provides subsidized fertilizer to nearly 800,000 small scale farmers (in the latest agricultural season 2011/2012) from 136,000 small scale farmers in 2004/2005. Since two agricultural seasons ago, the subsidy has risen to 75% of the price of a 50 kg bag of fertilizer from 50%.⁷

Major scores have been achieved towards the realization of the Agenda 21 including: (i) formulation of the National Agriculture Policy (NAP 2004 - 2015)⁸ which has 5 objectives based on the ones formulated by ASIP as noted above. NAP has been under implementation and is in full agreement with the Agenda 21 in issues of poverty reduction (the first 4 objectives) and sustainable development (the last objective). (ii) Signing of the Comprehensive Africa Agriculture Development Programme (CAADP)⁹ Compact under the African Union – AU (MACO 2011) with two-fold objectives: (a) Ensure the agriculture sector grows by at least 6% per annum; (b) Ensure 10% of the national budget goes towards the agricultural sector. Significant progress has been made in realizing the second CAADP objective target while the first one has already been met: agriculture sector allocation as a percentage of the total annual national budget has been increasing, from an average of 6.5% in 2000 to 2005 to 9.4% in 2006 to

⁷ Key Issues and Research into Adequacy of Existing Policies for Rural Finance, Ministry of Finance and National Planning, Rural Finance Programme, August 2010.

⁸ The process of reviewing the NAP 2004-2015 was initiated in 2011 (NAP 2011 – 2015) and is being finalized.

⁹ CAADP promotes sustainable agriculture development by focusing on four major pillars (areas): (i) Extending the area under sustainable land management and reliable water control; (ii) Improving rural infrastructure and trade related capacities for market access; (iii) Increasing food supply, reducing hunger and improving responses to food emergency crises, and (iv) Improving agriculture research, technology dissemination and adoption. CAADP was formed in 2003 following a Declaration by Heads of States of African Governments in Maputo. Reference: Zambia CAADP Compact, December 2009, MACO.

2010.¹⁰ The sector has known substantial growth in the recent past, 7.2% and 6.6% in 2009 and 2010 respectively, from -2.6% in 2001, a point already alluded to above.

Fishery is an important sub-sector, critical to sustainable development because it is a cheap source of protein. If properly developed, it results in reduced exploitation of the environment through, for instance, reduced poaching and reduced disturbance of the natural fishery. According to the latest statistics (MTR 2009, MoFNP), fish production under capture fisheries increased by 20%, from 65,927 Mt in 2006 to 79,403 Mt in 2008. However, there is no data to ascertain whether this increase was through the use of recommended fishing methods and gear. Kapenta production grew by 90% over the same period, from 6,251 Mt to 11,890 Mt. Aquaculture production increased by 44% in the period under review, from 5,640 Mt in 2006 to 8,127 Mt in 2008.

Mining

The goal of the mining pillar is “*To create a conducive, stable, predictable and competitive policy, legal and regulatory framework that will attract and retain investment for the development of the mining sector.*” The sector has six (6) programmes and each one of them has its own specific objectives. A focus on two of the programmes will be illustrative. *First*, the development of large-scale mines programme has four (4) objectives as follows (i) To attract corporate responsible investment for the development of the mining sector; (ii) To increase long term benefits of the mining sector by integrating the mining sector with the rest of the economy through backward and forward linkages; (iii) To promote research and development (R&D) in the mining sector, and; (iv) To ensure environmental sustainability by the sector.

Second, development of the small-scale mining programme has one objective, namely: To revitalize and ensure realization of the potential of the small-scale mining sub-sector to contribute to economic development and poverty reduction.

Some of the key highlights of progress made in the mining sector are now presented. Following the Rio 1992 Earth Summit, the mining sector undertook the following measures:¹¹ (i) In 1996, the mining houses were compelled to carry out Environmental Impact Assessments (EIA) in all mining sites; (ii) In the same year, the first Environmental Management Plans (EMP) were developed. It became mandatory from this point onwards for all investors engaged in mining projects to submit an EMP as well as an EIA to ZEMA before they could be allowed to operate. (iii) Since then, an annual audit is undertaken by ZEMA in conjunction with Mine Safety Department (MSD) aimed at assessing compliance relating to EMP issues. (iv) In 1995, Government established an Environmental Protection Fund (EPF) to cater for closure costs with regards to environmental degradation issues. The EPF became fully operational in 2008.

¹⁰ Country Evaluation of the Implementation of the Paris Declaration in Zambia Phase II, Ministry of Finance and National Planning, 24th December 2010.

¹¹ Main source: (i) Annual Reports, Ministry of Mines, Mine Safety Department and ZCCM –IH documentation; (ii) SSIs 2012

⁹ Except from the *Sixth National Development Plan 2011 – 2015, Review of Past Performance – Natural Resources*

Mining houses that deal with environmental concerns on an on-going basis (based on results from the annual audit) pay 5% to the EPF. On the other hand, the moderate and poor performers pay 10% and 20% respectively to the EPF. (v) Only mining households that demonstrate that they have an EMP for each mining project as well as staff on the ground for its implementation can find a market for their commodity (ties).

Social Sustainability Management Plans (SSMP) that deal with various concerns regarding the 3 pillars of sustainable development are now being developed and implemented by mining houses (see Appendix 3).

3.1.2 Environment pillar

The Rio de Janeiro Earth Summit in 1992 officially linked environment and development, including a recognition that poverty was one of the driving forces behind environmental degradation. The Earth Summit led to the international community (including Zambia), begin to embrace the concept of sustainable development as well as to re-orient priorities of existing agencies and programmes to environmental issues. Zambia has undertaken a number of actions since the earth summit aimed at entrenching sustainable development ethos in its development agenda.

The two sectors considered under this pillar are; (i) lands, natural resources and environmental protection and (ii) water development.

Lands, natural resources and environmental protection

The goal of the lands component is: *“to have an efficient and effective land administration system that promotes security of tenure, equitable access and control of land for the sustainable socio-economic development of the people of Zambia.* This goal is to be realized through nine (9) programmes and each programme has its own objectives. Three of these are highlighted. (i) Land administration and management programme has the following objective: *“To promote efficiency and effectiveness in land alienation, administration and management”.* (ii) Empowerment of citizens in both customary and state land programme has the objective of *“promoting effective citizenry access to, and control of land”.* (iii) Coordination of Land use and physical planning programme has the objective of *“promoting efficient, coordinated and well regulated land use and physical planning patterns”.*

The natural resources part has the overall goal of *“ensuring sustainable use of natural resources for the benefit of all Zambians”.* Ten (10) programmes have been designed each with its own objectives. Four of these are highlighted below. (i) Management of protected areas programme whose objective is *“to maintain a representation of ecosystems for the benefit of current and future generations”.* (ii) Environmental institutional strengthening and capacity building has two objectives, namely; *“to strengthen management systems for sustainable utilization of natural resources”* and *“to mainstream Gender and HIV and AIDS in sector activities”.* (iii) Sustainable management of wildlife resources’ main objective is *“to effectively conserve and manage wildlife and habitats”.* (iv) Sustainable Indigenous Forest Resource Management programme’s main objective is *“to manage and conserve indigenous forests in a sustainable way”*

National Environmental Protection

The goal is “to reverse environmental damage, maintain essential environmental and biological processes and ensure sustainable use of natural resources for the benefit of the people”. This would be realized through 5 programmes and each of the programmes has its own objectives of which two are highlighted. (i) Sustainable environmental management programme objective two-fold objectives are “to protect essential environmental processes and functions, and secondly; to promote sustainable development by minimizing irreversible environmental damage, biodiversity loss, waste production and pollution”.

Fisheries

The fisheries sub-sector have the following policy three (3) objectives: (i) To promote sustainable exploitation of fisheries resources and increased fish production; (ii) To provide technical information required for sustainable exploitation and production of fish, and; (iii) To promote fish trade and marketing.

Water development and sanitation

The overall goal is “to promote sustainable water resources development and sanitation with a view to facilitating an equitable provision of adequate quantity and quality for all users at acceptable costs and ensuring security of supply under varying conditions”. The goal is to be implemented through ten (10) programmes, each with its own specific objectives, of which three are highlighted. (i) Water Resource Development and Infrastructure Development programme’s objective is to “assess, develop, and allocate water resources in the four priority pillars of economic development of agriculture, tourism, environment, mining, manufacturing and energy”. (ii) Urban water supply and sanitation programme’s main objective is “to provide adequate, safe, and cost-effective water supply and sanitation services”. (iii) Water resource assessment programme has the objective of “assessing surface and groundwater resources country-wide in order to determine the quantity and quality of available water”.

The following is a summary of the extent to which some of the policy objectives highlighted above have been realized.

The Rio de Janeiro Earth Summit in 1992 officially linked environment and development, including a recognition that poverty was one of the driving forces behind environmental degradation. The Earth Summit led to the international community (including Zambia), begin to embrace the concept of sustainable development as well as to re-orient priorities of existing agencies and programmes to environmental issues. Zambia has undertaken a number of actions since the earth summit aimed at entrenching sustainable development ethos in its development agenda. This includes signing and adopting a number of specific agreements such as guidelines for bio-safety and the convention to combat desertification. The actions below are illustrative (hence by no means exhaustive) of Zambia’s efforts towards addressing environmental concerns following the earth summit.

First National Adaptation Plan of Action (NAPA) whose objective is to provide a road map for Zambia to respond to the effects of climate change. The Plan highlights activities and programmes for adaptation and focuses on critical sectors of Agriculture and Food Security; Natural Resources (forests and wildlife); Water and Energy and Human Health. Following the phase out of the project in 2007, its activities continued being implemented under “Co-ordination of Implementation of Projects and Programmes”. NAPA had ten priority programmes (most of which are yet to be implemented), including the Adaptation to the effects of droughts and climate change in agro-ecological zones 1 and 2 in Zambia, Strengthening of early warning systems to improve services to preparedness and adaptation to climate change, promotion of alternative sources of livelihoods to reduce vulnerability to climate change/variability to communities living around Game Management Areas (GMAs), management of critical habitats, promote natural regeneration of indigenous forests, adaptation of land use practices (crops, fish, and livestock) in light of climate change, maintenance and provision of water infrastructure to communities to reduce human-wildlife conflict, eradication of Invasive Alien Species, capacity building for improved environmental health in rural areas, and climate proofing sanit sanitation in urban areas.

Second, Capacity Building on Clean Development Mechanism (CDM) and Carbon Trading Projects. CDM of the Kyoto protocol allows developed countries to invest in sustainable development in developing countries such as Zambia. Among other things, such projects are aimed at reducing Green House Gases (GHGs) thereby mitigating climate change. A Regional Clean Development Mechanism (CDM) project for Sub-Saharan Africa was initiated by the Ministry Environment whose overall aim was to assist participating countries to create an operational CDM and voluntary carbon market framework in which public institutions and the private sector can interact and establish CDM projects.

Third, Capacity Development for Sustainable Utilization of Environmental Assets and Climate Change. The project was implemented for four years from 2007 with the main objective of addressing the limited institutional capacity of the Ministry of Environment and its statutory bodies, including other implementing partners in the sector of environment and natural resources. This was in a bid to help Zambia utilize environmental assets sustainability towards poverty reduction and the attainment of MGDs as well as management of climate change.

Fourth, Reclassification and Effective Management of National Protected Area System (REMNPAS) Project. This was aimed at strengthening the enabling frameworks and capacities for managing the national protected area systems that have biodiversity conservation as a principle objective.

Fifth Lake Tanganyika Integrated Management Project (LTIMP). This is a five year regional programme that began in 2006 covering four Riparian countries; Burundi, Democratic Republic of Congo, Tanzania and Zambia. Following a Mid-Term Evaluation recently, it has been extended by about one more year. Its major objective is to produce a sustainable and effective management system for managing and conserving the biodiversity of lake Tanganyika and its

basin. The Zambian component of the LTIMP focuses on sedimentation control from the steep mountainous terrain bordering lake Tanganyika in Mpulungu and Kaputa districts.

Lastly but not the least, **Education and Public Awareness Programme**. This was meant to assist Government to increase public awareness as a basis for action at every level against environmental degradation. This was to be through the facilitation and coordination of awareness workshops in central; eastern; northern; north-western; southern and western provinces.¹² The workshops were meant to increase public understanding of the provisions of the National Policy on Environmental (NPE) and the Environment and Natural Resources Management and Mainstreaming Programme (ENRMMP) besides other environmental issues. In addition, under the Capacity Development for Sustainable Utilization of Environmental Assets and Climate Change, a number of awareness creating activities were undertaken targeted at; the media, Ministers, Permanent Secretaries, and higher learning institutions (colleges and universities).

3.2 Legal and institutional framework for sustainable development

A number of legislation has been passed which is the basis for the development of various institutions. A few of the legislation is highlighted below as an illustration. These are presented by pillar.

Environment pillar: *First*, the Environmental Management Act, 2011. Among others, this deals with integrated environmental management. The Act emphasizes the need to continue the existence of the Environmental Council of Zambia and re-name it as the Zambia Environmental Management Agency (ZEMA). *Second*, the Disaster Management Act (No. 13), 2010. This provides for a system to deal with disasters including natural ones.

Social pillar: The health sector is focused on as an illustration. There are at least 22 different laws under the health sector, ranging from public health Act, to Pharmacy and Poisons, and Food and Drugs Act. One of the most significant of these is the Public Health Act, Chapter 295 which was first enacted in 1930 and the latest revision was made in 1995. The Act provides for the prevention and suppression of diseases and generally facilitates the regulation of all matters connected with public health in Zambia.

Economic pillar: Legislation in the mining and agriculture sectors are briefly dealt with, starting with the former. *First*, one of the most relevant pieces of legislation in the mining sector with implications on SD is the **Mines and Minerals Development Act No. 7 of 2008**. Of particular significance is **Part IX: Safety, Health and Environmental Protection**. This underscores the need to take the following into account when deciding whether or not to grant mining or processing license:

¹² Environment and Natural Resources Management 2009 Departmental Annual Report.

- a) The need to conserve and protect: (i) the air, water, soil, flora, fauna, fish, fisheries and scenic attractions, and; (ii) the features of cultural, architectural, archaeological, historical, or geological interest;
- b) The need to ensure that any mining or mineral processing activity prevents any adverse socio-economic impact, or harm to human health; in or on the land over which the license or right is sought.

The contents of the Act have been Government's concerns for sometime, particularly dating back from just after the Rio 1992 Conference.

Second, Agriculture has a number of laws enacted through various instruments numbering at least 27. These include the Agricultural Credit Acts; Agricultural lands, and; Stock Diseases Act.

Zambia has a number of legal and institutional frameworks at national, provincial, district and community level that were established primarily to facilitate the implementation, coordination and monitoring of economic development and poverty reduction programmes. Some of the institutions are a direct result of the above legislation. Most of these institutions have been used to deal with sustainable development issues. The institutions could easily be refocussed/re-oriented to maximise their potential in dealing with SD. The institutions take various forms in terms of mandate, specificity and level. A few of these are highlighted below as illustrations.

3.2.1 National level

Two of these are worthy noting; the National Development Coordinating Committee (NDCC) and Sector Advisory Groups (SAGs). The National Development Coordinating Committee (NDCC) is made up of representatives from all ministries, major Cooperating Partners, Key Development Programs and private sector entities. Its major mandate is to coordinate and monitor the country's development programmes and projects (including Sustainable Development) undertaken in each of the country's provinces (FNDP 2006-2010).

On the other hand, the Sector Advisory Groups (SAGs) are meant to be technical fora charged with the responsibility of planning and formulation of appropriate development interventions (including Sustainable Development) primarily through facilitation. SAGs have a pool of sectoral technocrats and experts who are supposed to be best placed to deal with development issues affecting their respective sector.

Appendix 2 provides strengths, weaknesses, opportunities and threats for selected institutions.

3.2.2 Sub-national level

Three levels are focused on; provincial, district and community level. The Provincial Development Coordinating Committee (PDCC) and District Development Coordinating Committee (DDCC) are some of the most prominent institutions at the two levels. PDCC and DDCC are structures that are a replica of the NDCC at their respective level. They have a similar composition and mandate namely, that of coordinating and monitoring development programmes and projects (including Sustainable Development) in their respective province and district. PDCC provides technical backstopping to DDCCs. The PDCC is chaired by the provincial Permanent Secretary (PS) while the DDCC is chaired by the District Commissioner (DC).

At sub-district level, the Area Development Committee (ADC) undertakes the functions played by the DDCC at that particular level, except that membership composition is different. While the DDCC has a wider membership, given the number of government departments, development programmes and Non-Governmental Organizations (NGOs) operating at district level, the community level has a limited number of such organizations. As a matter of fact, most communities do not have development programmes/projects. In case of government ministries, there are usually two or three ministries represented (i.e. Ministries of Health, Agriculture and Education).

3.2.3 Sector/pillar Specific Institutional Arrangements

These are discussed according to the three pillars, i.e. economic, social and environmental. Each of the three is discussed in turn.

(i) Economic Pillar Institutions

SNDP identifies 5 sectors under the economic pillar: Agriculture, Livestock and Fisheries; Mining; Tourism; Manufacturing, and; Commerce and Trade. Each of these is part of well established government ministries most of which are well established at national and provincial level. Each ministry is headed by a Permanent Secretary who is supported by Directors who head ministry departments. At provincial level, there is an office manned by the Provincial Head. One ministry, i.e. Agriculture has been decentralized up to the community level. Consequently there is also a District Head of department as well as the Head of institution at community level. The above structures are similar for the other two pillars, namely social and environment.

The Mines Safety Department (MSD)

The Ministry of Mines has an additional institutional arrangement to the one highlighted above. It is the Mines Safety Department (MSD).

MSD is concerned with formulation and enforcement of occupational health and safety standards as well as the promotion of effective environmental management programmes. MSD is also concerned with ensuring the prevention of wasteful practices in the mining industry as required by the Mines and Minerals Act and the Explosives Act together with their subsidiary legislation.

The activities of MSD include the provision of the following services to the mining industry which are critical to sustainable development: Environmental monitoring; Issuance of various authorizations as required by the Mines and Minerals Act and the Explosives Act with their subsidiary legislation; Review of environmental management programmes, and; Formulation and review of relevant regulations made under the two Acts.

(ii) Social Pillar Institutions

The social pillar constitutes the largest number of components/sectors. According to the FNDP, these include the following 9: (i) health; (ii) education and training; (iii) social protection; (iv) arts and culture; (v) water and sanitation; (vi) housing; (vii) disability and development; (viii) youth and child development, and; (ix) employment and labour.

The manner in which these are structured at national level, provincial level (district and community level where applicable) is similar to that obtaining in case of Agriculture.

(iii) Environment Pillar Institutions

Environment related issues are similarly coordinated by government ministries whose structures are similar at national and sub-national levels. At national level, there are a number of statutory bodies in the environmental sector that promote sustainable development. Seven of the most prominent ones are: Ministry of Lands, Natural Resources and Environmental Protection (MLNREP), Zambia Wildlife Authority; Fisheries Department; Disaster Management and Mitigation Unit (DMMU); Zambia Wildlife Authority (ZAWA) National Museums Board; National Heritage Conservation Commission; Zambia Environmental Management Agency (ZEMA), and; Zambia Forestry and Forest Industries Limited

Ministry of Lands, Natural Resources and Environmental Protection

The core function of the Ministry of Lands, Natural Resources and Environmental Protection (MLNREP) is to provide an effective policy framework for Land, Natural Resources and Environmental management. It is the role of the specialised departments and statutory bodies to be the main implementing agencies for all components under the custodian of the ministry including; land, forestry, environmental regulations, natural heritage conservation management and the management of wildlife. The Ministry is also responsible for research and monitoring and evaluation (M&E).

MLNREP has the responsibility of providing supervisory functions to all components under it going down to the provincial and district offices. The Ministry also performs other functions which fall into the category of direct implementation such as undertaking and promoting the implementation of education and public awareness strategies and programmes in order to foster community participation in land, natural resources and environmental management and protection.

Zambia Environment and Management Agency

One of the major statutory bodies with regards to SD coordination and implementation is ZEMA. The following are key highlights of the Agency.

The Environmental Council of Zambia (ECZ), now called the Zambia Environment and Management Agency (ZEMA), was established in 1990.¹³ Its major focus is the promotion of sustainable development through protection of the environment, prevention and control of pollution.

ZEMA's functions include:¹⁴ provide for integrated environmental management and the protection and conservation of the environment and the sustainable management and use of natural resources; provide for the preparation of the State of the Environment Report, environmental management strategies and other plans for environmental management and sustainable development; provide for the conduct of strategic environmental assessments of proposed policies, plans and programmes likely to have an impact on environmental management; provide for the prevention and control of pollution and environmental management; provide for public participation in environmental decision-making and access to environmental information; establish the Environmental Fund; provide for environmental audit and monitoring; facilitate the implementation of international environmental agreements and conventions to which Zambia is a party; repeal and replace the Environmental Protection and Pollution Control Act, 1990, and; provide for matters connected with, or incidental to, the foregoing.

ZEMA has managed to build its profile as a recognized institution responsible for enforcing all regulations to do with safe-guarding the environment. For instance, currently there are on average 30 submissions for Environmental Impact Assessments (EIAs) per month from various development practitioners, from almost zero two decades ago.¹⁵

The Disaster Management and Mitigation Unit (DMMU)

¹³ ZEMA was established through an enactment of the Environmental Protection and Pollution Control Act (EPPCA) No. 12 of 1990 CAP 204 of the Laws of Zambia.

¹⁴ See Environmental Council of Zambia Annual Report 2004 for details.

¹⁵ Stakeholders Consultation, ZEMA, Lusaka.

DMMU seeks to provide for the maintenance and operation of a system for the anticipation, preparedness, prevention, coordination, mitigation and management of disaster situations and the organization of relief and recovery from disasters; provide for the declaration of disasters; establish the National Disaster Relief Trust Fund; provide for the responsibilities and involvement of the members of the public in disaster management; and provide for matters connected with, or incidental to, the foregoing.

3.3 Implementation of national strategies and programmes for sustainable development in Zambia

Progress the country has made in the implementation of the Agenda 21 Action Plan and the Johannesburg Plan of Implementation (JPI) has been assessed since 1992. This is elaborated on to a greater extent in the Stocktaking Report. The criteria used in assessing SD implementation progress are highlighted in **Appendix 5**. The criteria constitute five (5) major variables: (a) Integration of social, economic and environmental priorities; (b) Wide participation of stakeholders in the development process; (c) Country ownership and commitment; (d) Comprehensive and coordinated policy process, and; (e) Targeting, resource and monitoring. **Appendix 3** provides progress made regarding the extent to which the FNDP and other national strategies and programmes have incorporated and implemented Agenda 21 and the Johannesburg Plan of Implementation.

Based on the above criteria, the following is the progress made in Sustainable Development implementation by component;

3.3.1 Integration of Economic, Social and Environmental Priorities

The country has made considerable progress towards the integration of economic, social and environmental analysis in the planning process as evidenced by the National Development Plans (NDPs). The two most recent Plans are particularly cases in point, i.e. the Fifth (2006-2010) and Sixth (2011-2015) NDPs. These Plans have key sectors and sub-sectors in the country that constitute the economic, social and environmental pillars. For instance, among others, the **economic** pillar in the two NDPs is represented by: mining; construction; commerce trade and industry; transport and manufacturing. The focus of the **social** pillar includes: social protection; health; education; child and youth development. On the other hand, the **environmental** pillar targets sectors and sub-sectors that include the following: agriculture, livestock and fisheries; natural resources; tourism; water and sanitation and energy.¹⁶

However, the integration of these pillars has tended to be more at the planning phase and far much less at the implementation level. Although the Ministry of Finance and National Planning

¹⁶ Some sectors such as Agriculture and Tourism fall under two pillars – economic and environment, depending on issues being focused on.

is strategically positioned to effect such integration at implementation level, it has lacked adequate human and financial resources for that (Paris Declaration Phase II Evaluation, 2010).

3.3.2 Wide Participation of Stakeholders

Wide participation of stakeholders in the development process is a vital principle that promotes sustainable development due to its implications on improved ownership. Stakeholder participation in the preparation of the two most recent NDPs varied in extent and depth across the three pillars (economic, social and environment) as well as within the pillars (FNDP 2006-2010 and SNDP 2011-2015). Generally, the approach used was similar across the three pillars as well as within them. The Ministry of Finance and National Planning (MoFNP) played facilitatory functions including: (i) coordination of the major processes related to the development of the two NDPs; (ii) financing; (iii) peer reviewing and quality assessment of the products. A number of local consultants were engaged at sectoral level to facilitate the NDP preparation processes at that level. Recruitment of the consultants was transparent, involving competitive bidding. Stakeholder consultation at sectoral level involved: government officials; private sector players, and; the civil society. Stakeholder consultation was more pronounced at national compared to sub-national levels. In almost all pillars, community level consultation was almost totally absent.¹⁷ Stakeholder participation in the preparation of the Poverty Reduction Strategy Programme followed a similar process as that of the NDPs but was more extensive.¹⁸ Apart from the NDPs and the PRSP/TNDP, there were other strategic development plans that were specific to sectors. For instance, the Agricultural Sector did sign the African Union led Comprehensive Africa Agriculture Development Programme (CAADP) Compact in January 2011 following a lengthy (since 2007) stakeholder consultative process that involved government, private sector and civil society organizations. The CAADP Compact addresses sustainable development through 4 programme pillars of: (i) land management; (ii) infrastructure and markets development; (iii) food security, and; (iv) technological development and dissemination.¹⁹ The key stakeholders in the sector identified 5 priority programmes through consensus. The CAADP Compact objectives, strategies and programmes are embedded in the SNDP.

The environment sector has had a number of strategic development plans too, whose formulation has been through stakeholder consultations. These include: (a) The Zambia

¹⁷ Community level participation in the stakeholder consultation process with regards to the preparation of the NDPs was largely limited to farmer associations and farmer groups representatives.

¹⁸ See Appendix 1: *The Participatory Process in the Zambia Poverty Reduction Programme (PRSP), PRSP 2002 – 2004, Government of the Republic of Zambia (GRZ)*. PRSP was another national development strategy that had sustainable development elements but with less emphasis on the environmental pillar.

¹⁹ Zambia Comprehensive Africa Agriculture Development Programme Compact to Support the Successful Implementation of the National Agricultural Policy and the Vision 2030 through the National Development Plans, December 2011, Ministry of Agriculture and Cooperatives.

National Action Programme for combating desertification and mitigating serious effects of drought in the context of the United Nations Convention to Combat Desertification (February 2002); (b) The National Biodiversity Strategy and Action Plan, and; (c) The National Adaptation Programme of Action on Climate Change (September 2007).

Key challenges include: (i) Inadequate inclusiveness of the stakeholder consultative process at grassroots level with regards to the development of the NDPs. The private sector and marginalized groups have tended to be insufficiently consulted. This has partly been as a result of the second point; (ii) There has been poor communication and public awareness efforts of development issues aimed at generating participation in the Strategic Development Plans formulation.

3.3.3 Country Ownership and Commitment²⁰

There are a number of pointers to country ownership. The *first* relates to the fact that the formulation and to a less extent implementation of multi-sectoral sustainable development strategies such as the NDPs have been centrally co-ordinated by government, through the Ministry of Finance and National Planning (MoFNP). Donors (Cooperating Partners), the Civil Society Organizations (CSOs) and the Private Sector have been consulted and have provided inputs into the formulation of sustainable development strategies. Those who have participated include: (i) the Cooperating Partners. These have been in two categories, bi-laterals (including; USAID, Sida, DFID, JICA) and multi-laterals (such as; EU, World Bank, the African Development Bank, the UN system e.g. UNDP, FAO and others; (ii) the Civil Society Organizations such as: the Programme Against Malnutrition (PAM) and; the Zambia National Farmers Union (ZNFU). (iii) the private sector which has included; Zambia Chamber of Small and Medium Business Associations and; Seed companies (e.g. Cargill and Seedco). The private sector has also included financial institutions such as commercial banks (e.g. Zambia National Commercial Bank – ZANACO and; Barclays Bank Zambia Limited).

The *second* pointer is concerned with the number of sustainable development strategies facilitated by CPs which have drawn heavily from government's sustainable development frameworks such as NDPs and have been designed and implemented within such frameworks. The Government of the Republic of Zambia (GRZ)/UNDP Country Programme Action Plan (CPAP) 2011-2015 is a case in point. CPAP draws heavily from the review of the FNDP and is embedded in the SNDP objectives and strategies.

Third, the proportion of government funding to some sectors such as agriculture out of the whole annual sectoral budget has improved. In some cases, it has been as high as 90% in

²⁰ This Section and Section 4.4 draw heavily from the *Country Evaluation of the Implementation of the Paris Declaration in Zambia, Phase II, Government of the Republic of Zambia, Ministry of Finance and National Planning, December 2010.*

recent years.²¹ The *fourth*, pointer to ownership relates to some political engagements in sustainable development issues involving parliament. The Parliamentary Accounts Committee (PAC) reviews, scrutinizes and debates each sectoral budget before it is approved and adopted for implementation.²² Still at the political level, the Republican president not only flags-off the implementation of NDPs, but also approves and signs each NDP document once the formulation process is concluded.²³

Fifth, some specialised bodies such as the Zambia Environmental Management Agency (ZEMA)²⁴ have been created to provide regulatory, monitoring and coordination functions to the environment sector. ZEMA is a legal body with appropriate authority to undertake its functions. Government ministries provide overall sectoral coordination, regulation and policy direction.

Some challenges related to country ownership and commitment are worthy noting: (i) political involvement is not sufficiently broad-based. For instance, the sub-national politicians, especially at community level (councillors) are not adequately engaged in the consultative process regarding formulation of NDPs. (ii) Though regulatory and monitoring responsibilities (among others) regarding the implementation of sustainable development strategies in the environment sector have been vested in ZEMA, the agency's performance is constrained by inadequate human and financial resources.

3.3.4 Comprehensive and coordinated policy process

According to the evaluation framework at **Appendix 5**, comprehensive and coordinated policy processes is about: building on existing processes (including country's strategic plans and planning); analysis and information (use of reliable information that looks at trends); realistic goals (based on realistic assessment of national capacities and resources), and; decentralization (at both the national and sub-national levels).

Zambia began to implement National Development Plans (NDPs) soon after independence in 1964. Three NDPs were implemented successfully while the fourth one launched in 1989, was abandoned on account of the advent of liberalized market policies that were ushered in.²⁵ After a realization that liberalized market policies also require planning, there was a return to national planning strategies. The current NDPs (FNDP and SNDP) were preceded by the Transitional National Development Plan (TNDP)/Poverty Reduction Strategy Programme (PRSP) from 2002 to 2004. From the time of TNDP/PRSP, sustainable development strategies have been streamlined in the existing development strategy processes, particularly so with the more recent

²¹ Ministry of Agriculture and Cooperatives, Trends in GRZ Actual Expenditure 2000 to 2008 - MACO and Approved Expenditures for 2009 and 2010.

²² Country Evaluation of the Implementation of the Paris Declaration in Zambia, Phase II, Government of the Republic of Zambia, Ministry of Finance and National Planning, December 2010, et al. and FNDP, 2006-2010 op.cit

²³ Forewords FNDP 2006-2010 and SNDP 2011-2015

²⁴ See Environmental Council of Zambia (ECZ) Annual Reports, 2004 to 2010.

²⁵ Fifth National Development Plan 2006-2010 op.cit

national development strategies. For instance, the FNDP and SNDP have significantly streamlined sustainable development issues as they cover areas under the three pillars-economic, social and environment. Co-ordination is undertaken by the Ministry of Finance and National Planning (MoFNP), National Development Coordinating Committee (NDCC), Provincial Development Coordinating Committees (PDCCs) and District Development Coordinating Committees (DDCC).

In terms of analysis and information, the Central Statistics Office (CSO) is mandated to generate data and information to facilitate evidence-based policy formulation and various programming activities including at strategic level. Over the years, CSO has been engaged in useful surveys aimed at tracking Key Performance Indicators (KPIs) related to economic, social and to a less extent environmental variables. The surveys CSO has been carrying out periodically include: Living Conditions Monitoring Survey (LCMS); Demographic Health Survey (DHS); Labour Survey; Post Harvest Survey (PHS). A number of sectors as well (led by government ministries) have also been involved in carrying out periodic surveys for the purpose of information generation to aid planning processes.

There are a number of challenges faced, including: (i) Weak co-ordination between institutions dealing with sustainable development, a point already alluded to above. (ii) There is an absence of comprehensive and reliable information related to economic, social and environmental issues to allow indepth analysis including that of trends. The weak capacity of CSO arising from largely inadequate financial and human resources has led to most of the surveys being undertaken erratically. Those that get done, it takes long periods to analyse the data. A case in point is the LCMS and the DHS.²⁶

3.3.5 Targeting, Resource and Monitoring

The strategic plans (particulary the NDPs) from the time they began to be designed and implemented shortly after 1964, include budgetary allocation from the national treasury as well as cooperating partners. As already alluded to above, government contribution to the national budget (in terms of proportion) has been increasing in the recent past. For instance, close to 80% of the 2012 national budget²⁷ will be funded by government. Sustainable development strategies have defined targets (across all the three pillars) and indicators and monitoring mechanisms for data collection. The quality of the targets and monitoring mechanisms has improved with time and is more evident with SNDP.

Major challenges include: (i) Disbursement of the allocated funds is erratic or far much below the budgeted amount. (ii) There is low capacity for implementation as noted by inadequate expertise, number of experts, and inadequate equipment. (iii) Most institutions engaged in sustainable development do not have sufficient mechanisms to develop capacity for implementation. (iv) In most cases, the monitoring mechanisms exist on paper, their effective

²⁶ Country Evaluation of the Implementation of the Paris Declaration in Zambia, Phase II, January 2010, op.cit

²⁷ 2012 Budget, Ministry of Finance and National Planning

implementation is far fetched due to lack of qualified human resource as well as inadequate funding.²⁸

²⁸ Country Evaluation of the Implementation of the Paris Declaration in Zambia, Phase II, January 2010, op.cit

4 PROGRESS TOWARDS SUSTAINABLE DEVELOPMENT IN ZAMBIA

4.1 Domestication and implementation of relevant international agreements in Zambia

Zambia has signed, ratified and domesticated international agreements and implemented national strategies and programmes that contribute to sustainable development. These agreements address economic issues related to international trade and investment, social issues in the health, education, labour, gender and human rights sectors and environmental issues through various multi-lateral environmental agreements.

4.1.1 Multi-lateral Environmental Agreements (MEAs)

Zambia has ratified various Multilateral Environmental Agreements (MEAs) that address national and global environmental issues such as climate change, ozone depletion, desertification, and hazardous chemicals and wastes. Through this international cooperation, the country has developed and implemented a number of projects/programmes to address environmental issues and poverty reduction and subsequently contributing to sustainable development. Below is an account of the MEAs that Zambia is a party to:

a. United Nations Convention on Biological Diversity (CBD)

Conservation of biodiversity in Zambia is derived from the need to support the economic and livelihood activities of the country's population who depend on natural resource utilization. The agriculture, fisheries, forestry, wildlife and tourism sectors directly depend on biodiversity. Other sectors including mining, manufacturing, transport, trading and financial services, whilst indirectly dependent on biodiversity can impact negatively on it. Farming supports more than one third of the total population while a lot more depend on the formal and informal sector activities in the forestry, tourism and fisheries sectors. Agriculture, fisheries and forestry contribute significantly to the total Gross Domestic Product (GDP) estimated between 18% and 20%, manufacturing from food, beverage and tobacco another 9 percent. The livelihood of the rural populace in Zambia is directly dependent on forests to provide ash fertilizer for shifting cultivation, timber, energy, household tools and construction materials. Wild plants and animals are important sources of food, medicine and valuable chemical products.

The Convention on Biological Diversity (CBD) was adopted in May 1992 during the UNCED in Rio de Janeiro, Brazil. The main objective of the Convention is to promote the conservation of biological diversity, sustainable use of its components and the fair and equitable sharing arising out of the utilization of genetic resources. Zambia signed the UNCBD on 5th June 1992 and ratified it on May 28, 1993 to signify its commitment to the convention, and early in 1997, developed its National Biodiversity Strategy and Action Plan (NBSAP) as a tool for biodiversity

conservation. The plan elaborated Zambia's development priorities, potentials and constraints and opportunities in the conservation and management of the country's. The NBSAP was aimed at addressing the major threats to biodiversity conservation including deforestation resulting from excessive cutting of trees for biomass energy, commercial harvesting and conversion of forestland to agriculture and wildfires, wildlife depletion and fisheries depletion through illegal hunting and overfishing respectively and water pollution from domestic and industrial activities.

The NBSAP has been implemented through sector policies in forestry, agriculture, fisheries and energy sectors but with limited success as these threats have remained to-date due to population pressure, policy failure and inadequate resources for effective implementation.

Zambia also ratified the Cartagena Protocol on Biosafety to the Convention on Biological Diversity. The Protocol addresses the safe transfer, handling and use of Living Modified Organisms (LMOs) that may have adverse effects on Biodiversity with a specific focus on transboundary movements. In domesticating the protocol, the Zambian government enacted a Biosafety Act to build technological capacity to ensure the country is not consuming genetically modified food. The Biosafety Act is part of the country's National Biosafety and Biotechnology Strategy Plan for addressing biosafety research and the protection of biodiversity.

Zambia has put in place institutional arrangements for the implementation of the UNCBD and the Cartagena protocol. A Focal Point within the then Ministry of Tourism, Environment and Natural Resources Management (MTENR) and now the Ministry of Lands, Natural Resources and Environmental Protection (MLNREP) is responsible for coordinating all the work under the UNCBD and liaising with the CBD Secretariat. In addition, Zambia has over the years developed a number of legal and policy frameworks relevant in meeting some of the UNCBD obligations and requirements. These include the National Policy on Environment, the Environmental Protection and Pollution Control Act (EPPCA), the Wildlife Act and policy, the Fisheries Act and policy, the Forest Act and policy, the Agricultural policy and many more. Several programmes and strategies have also been developed over the years. These include the National Conservation Strategy (NCS) 1985, the National Environment Action Plan (NEAP) 1994, the National Biodiversity Strategy and Action Plan (NBSAP) 1999 the draft Policy on wetlands 2001, UNCCD-NAP of 2001 and many more aimed at addressing biodiversity and environmental management issues key for sustainable development.

Zambia has formulated and implemented a number of initiatives aimed at sustainable management and conservation of its biological diversity for sustainable development. Some of these initiatives include: the Lake Tanganyika Integrated Management Programme – Zambia Component (Sedimentation control through catchment management) for conservation of Lake Tanganyika Biodiversity, the Reclassification of the Management of Protected Area System project for improved effectiveness of the protected areas in Zambia, Environmental Protection and Natural Resources Management Project, Sustainable Land Management of the Miombo Ecosystem Project, Support for Economic Expansion and Diversification Project (SEED), Removing Barriers to Invasive Plants Management in Africa, Establishment of a Functional Clearing House Mechanism, and Zambia Biological Diversity Enabling Activity Project

b. United Nations Convention to Combat Desertification (UNCCD)

Zambia signed and ratified the United Nations Convention to Combat Desertification (UNCCD) on 15th October 1994 and 19th September 1996 respectively. The convention aims at combating desertification and mitigating the effects of drought by promoting effective action through innovative local programmes and supportive action to international partnerships.

Zambia has made major strides towards implementation of the obligations under the UNCCD. A Focal Point within the MLNREP is responsible for coordinating all the work under the UNCCD. As a step towards implementing the obligations under the UNCCD, Zambia with financial assistance from cooperating partners prepared the National Action Programme (NAP) in 2002, a key requirement by the UNCCD. In addition, Zambia has also developed a number of legal and policy frameworks relevant in meeting some of the UNCCD obligations and requirements. These include the National Policy on Environment, the Environmental Protection and Pollution Control Act (EPPCA), the Energy Policy of 1994, the Energy Act, the National Heritage Conservation Commission Cap 173, the National Heritage Conservation Commission Policy, of 2005, the Wildlife Act and policy, the Fisheries Act and policy, the Forest Act and policy, the Agricultural policy and many more. In 1994 the National Conservation Strategy developed in 1985 was updated into the national Environment Action Plan (NEAP), and highlighted key environmental problems that included unsustainable harvesting of natural resources and deforestation. Consistent with Article 10 of the Convention, the NAP emphasizes integrated local development programmes for affected areas based on participatory mechanisms and strategies for poverty eradication into efforts to combat desertification and mitigate effects of drought. It provides a framework for identifying factors contributing to desertification. The vision of the NAP is to restore land productivity in order to reduce poverty and foster development. The NAP concentrated on five provinces, namely Central, Eastern, Lusaka, Southern and Western. These are located in Agro-ecological Regions I and II which experience severe land degradation and drought.

The Zambian government, with support from the cooperating partners has been implementing programmes/projects aimed at promoting effective environmental protection and sustainable management of the natural resource. Several programmes and strategies have been developed over the years in the ministry of agriculture to address land degradation. These include the soil and water conservation programme Soil Conservation Agroforestry Extension programme, the Sustainable land management and conservation farming programme, the Agricultural Support programme, the agricultural Support and Investment programme and the National tree planting programme promoted by the Forest Department. At the regional level, Zambia is party to the Comprehensive Africa Agricultural Development Programme (CAADP).

Despite all these efforts in addressing desertification and land degradation, there are still some challenges that hinder full implementation of the Convention. These include inadequate financial resources; insufficient human and technical resources; low awareness on technologies and techniques for combating desertification; and inadequate participation of stakeholders in combating land degradation, unclearly defined legal and policy frameworks, inadequate

education, training and public awareness, poor research information collection, systematic observation analysis and exchange of information, limited technical capacities to implement scientific and technical measures stipulated in the NAP, non implementation of the national action programme as a result of poor institutional collaboration and Institutional capacity development.

Although about 60 percent of Zambia's land is covered by forests, evidence of continuing forest destruction leading to environmental degradation and their negative impacts is widespread. Desertification/land degradation reinforced by climate change has reduced and continues to reduce agricultural productivity and affecting food security for many rural poor. The situation is getting worse particularly in agro-ecological regions I and II of the country and indeed a major challenge to sustainable development and poverty reduction.

c. The United Nations Convention on Climate Change and the Kyoto Protocol

The Kyoto Protocol, which is basically an amendment to and reinforces provisions of the UNFCCC was opened for signature on March 16, 1998 and came into force on February 16, 2005. Zambia ratified Kyoto on 07 July 2006 and came into force on 5 October 2006.

Zambia has made a number of efforts towards meeting its obligations under the UNFCCC. A Focal Point responsible for the convention operates within the MTENR and coordinates all the work related to the convention. The country developed the Initial Communication to the UNFCCC in August 2002, which contained a number of practical commitments towards meeting the obligations. Zambia has made a number of efforts in the implementation of the UNFCCC including the submission of the First (Initial) National Communication to the UNFCCC which included a National Inventory of GHGs by source and removal by sinks was developed and submitted in 2000. Zambia country formulated its National Adaptation Programme of Action (NAPA) in 2007 to build adaptation concerns into national sustainable developmentt by responding to the urgent and immediate needs for adapting to the adverse effects of climate change in the key sectors of agriculture, energy, water, health, natural resources, infrastructure and transport. Related efforts include the formulation of the National Disaster Management Policy and corresponding Act aimed at protecting its people against disasters and climatic hazards, formulation of the Energy Policy of 2007 highlights the importance of identifying appropriate, environmentally friendly technologies while there are a number of Solar (Renewable) Energy Projects under the energy sector promoting the use of renewable energy, development of the Renewable Energy Strategy in 2010 to provide access to modern energy services for all and to meet the energy demand in a sustainable way. Zambia also put in a place a Climate Change facilitation unit to support the Ministry of Lands, Natural Resources and Environmental protection to develop a National Climate Change Response Strategy and a Communication and Advocacy Strategy. An inter-ministrial Climate Change Secretariat has also been established towards long term institutional arrangements for coordination of climate change issues across sectors in the country.

A number of projects are being implemented such as the Climate Change and Development project, the Adaptation in Agriculture in agro-ecological Region I & II, the Conservation farming programme and the Reduced Emissions from Deforestation and Forest Degradation (REDD). Other on-going initiatives are the development of a National Climate Change Policy and a Low Emission development Strategy.

Given that a number of programmes are underway, climate change remains a major threat to sustainable development as it affects all three pillars of sustainable development. More efforts therefore, need to be put in place to increase resilience and promote a low emission development path. Some of the challenges to effective implementation of programmes on climate change have been the lack of climate change specific policy, legal framework and institutional arrangements; inadequate and poor information on climate change vulnerability and impacts; inadequate technology development/transfer; limited development of projects addressing climate change and its impacts; limited mainstreaming of climate change and UNFCCC obligations into national development strategies and plans; inadequate research, inventories and monitoring of GHGs and ODS; lack of appropriate training and education relating to climate change and poor funding.

Other treaties and conventions that Zambia has signed on environment include:

- The convention on International Trade in Endangered species of Wild Fauna and Flora (CITES), Washington, 1973;
- The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal
- The Vienna Convention on the Protection of Ozone Layer and Montreal Protocol on Substances that Deplete the Ozone Layer
- Stockholm Convention on Persistent Organic Pollutants (POPs)
- The Convention on Preservation of Fauna and Flora in their Natural state, London, 1993;
- The Convention on Wetlands of International Importance Especially as Waterfowl Habitat (the Ramsar Convention), 1971;
- The convention concerning the Protection of World Cultural and Natural Heritage, Paris, 1972;
- The convention on International Trade in Endangered species of Wild Fauna and Flora (CITES), Washington, 1973;
- The United Nations Convention on Law of the Sea, Montego Bay, 1982;
- Bamako convention on the Ban of the Import into Africa and the control of Transboundary Movements of Hazardous Wastes within Africa, 1990; -

d. Constraints and challenges

As outlined above, Zambia has made commendable efforts in domesticating and implementing international environmental commitments as well as national environmental policies, legislation and strategies and has made progress towards sustainable development. However, these efforts have not been very successful at times due to a number of constraints. The major constraints in the implementation of the three Rio Conventions revolve around inadequate financial resources, insufficient technical expertise and lack of harmony in existing environment related policy and legislation leading to implementation and legal enforcement failures. Other constraints are inadequate information and environmental management awareness among the public, insufficient information for effective planning and inadequate human and financial resources to adequately address the the challenges, lack of other renewable alternative sources of energy to reduce dependency on forest resources as the main source of household energy, Inadequate awareness on sustainable agriculture practices and limited participation of local communities in the management of natural resources in their areas.

4.1.2 Economic and Trade Multi-lateral and Regional Agreements

Since its Trade Policy Review (TPR) in 1996, Zambia has continued to implement its economic reforms launched in 1991. In recent years, the reforms have consolidated the substantial liberalization efforts made during the 1990s, with an emphasis on poverty reduction. The trade regime has remained substantially liberalized. An Integrated Financial Management Information System (IFMIS) is being introduced to modernize financial, administrative, and control systems and to ensure that funds allocated to programmes are expended in a cost-effective and efficient manner.

In general, the reforms that Zambia has undertaken since Rio in 1992 have created an environment conducive to economic growth and made Zambia eligible for debt relief under the Enhanced Heavily Indebted Poor Country Initiative that saw its debt written off in 2007?

Policies, including trade policies, are formulated and implemented by means of legislation. Statutory Instruments may be issued by relevant Ministries (the MCTI for trade-related issues) to enact subsidiary provisions of Acts.

a. World Trade Organization

Zambia has been a member of the WTO since 1st January 1995 and grants at least MFN treatment to all its trading partners. Zambia though is not a signatory to any of the plurilateral trade agreements. It supports the Doha Development Agenda, which it considers as an opportunity to improve the conditions of access for its exports into other markets. Zambia has benefited from regular WTO technical assistance. It has also been assisted by other multilateral agencies and several bilateral development agencies in trade-related issues. It has requested further assistance to, inter alia, amend/revise legislation, improve the quality of its export products, fully implement certain WTO notification obligations, build capacity for negotiations, and improve its reference centre.

Zambia has also put in place legislation on safeguards and amended its legislation on anti-dumping and countervailing measures, and intellectual property rights and fully aligned them on the relevant WTO Agreements. The country has generally pursued its privatization programme, though at a slower pace in recent years. The establishment of the Competition Commission in 1997 buttressed the enforcement of the 1994 Competition and Fair Trading Act important for economic growth and stability.

4.1.3 Other Multi-lateral agreements

a. Regional Agreements

Zambia participates in regional trade agreements, including the Common Market for Eastern and Southern Africa (COMESA) and the Southern African Development Community (SADC), and benefits from non-reciprocal preferential treatment under the Cotonou Agreement, the Everything But Arms Initiative of the European Union, and the African Growth and Opportunity Act of the United States. Zambia considers regional and bilateral trade agreements as a first step towards greater integration and wider liberalization.

b. Constraints and challenges

All these international and Regional agreements have been domesticated through legislation to support Zambia in its trade and economic relations in the regional and internationally. The key legislation include the Zambia Development Agency Act, No. 11 of 2006, the Citizens Economic Empowerment Act, No. 9 of 2006, however, its membership in several of the trade agreements, with different provisions, goals, geographical coverage, and trade liberalization agenda, has been difficult to manage and have had somewhat limited impacts on the economic development of the country.

4.1.4 Social Protection and Human Development Related Multi-lateral and Regional Agreements

Zambia is party to the Vienna Convention on the Law of Treaties and various social and human rights related conventions. A number of these have been domesticated into national laws.

a. The International Convention on the Elimination of all Forms of Discrimination against women

Zambia ratified the International Convention on the Elimination of all Forms of Discrimination Against women in 1985 which aims to achieve gender equity and equality an important element for the social pillar of sustainable development. In recognition of the fact that no meaningful and sustained economic growth can be achieved in the absence of social protection, the Convention is been domesticated through the National Development Plans, National policies and legislation. These include the National Social Security Policy, the Citizenship Economic Empowerment Act No. 9 of 2006, the Workers' Compensation Act No.10 of 1999, the Intestate Succession Act, Cap. 59 of the Laws of Zambia. Other measures that address the Convention

are the Public Welfare Assistance Scheme of 2008 and the Cash transfer Scheme which is aimed at reducing poverty, hunger and starvation.

4.2 Conclusions on sustainable development progress in Zambia

Considerable efforts have been made towards the implementation of Sustainable Development (SD) in the country as evidenced among others by: the establishment of the Ministry of Environment and other institutions aimed at promoting SD following the Rio 1992 Conference (including policies and policy frameworks); the establishment of National Development Plans (NDPs) and other national development strategies that to some extent incorporate SD pillar issues (economic, social and environment), and; SD debate in general that is beginning to be animated expressed through such issues as; diversification from mining to other sectors with regards to economic development, efforts being made towards the promotion of Conservation Agriculture (CA) and public concerns on pollution particularly by the mining houses.²⁹

The country's development agenda emphasizes poverty reduction using National Development strategies that are multi-faced in terms of their incorporation of economic, social and environmental issues. The most significant of these strategies are the National Development Plans (NDPs) and the Vision 2030. Though there is room for improvement, these national development strategies are formulated through stakeholder consultative processes sectorally coordinated by the appropriate ministries and nationally coordinated by the Ministry of Finance and National Planning (MoFNP).

Though much leaves to be desired in terms of their effective operationalization and functionality, the country has established strategic structures at all key levels of implementation and coordination that could be effectively used to promote the country's sustainable development agenda. These structures, i.e. the National Development Coordinating Committee (NDCC); the Provincial Development Coordinating Committee (PDCC); the District Development Coordinating Committee (DDCC) and the Area Development Committees (ADCs) have been vested with critical functions of monitoring and coordinating development initiatives. Their extensive key stakeholder inclusiveness and multi-disciplinary composition make them particularly well placed to undertake monitoring and coordinating functions at their respective levels.

Through support from cooperating partners, government through the MoFNP has promoted community driven poverty reduction interventions that incorporate economic, social and environmental concerns at minimum cost. For instance, through the World Food Programme (WFP) supported Food for Assets (FFA) primarily in Chama and Lundazi districts: (i) conservation of wildlife was heightened evidenced by the 1,700 former poachers who surrendered their guns as well as 60,000 wire-snares which were put to better use (hanging of bee-hives) following training of former poachers and are now engaged in productive activities; (ii) Conservation Agriculture (CA) has been promoted following its demonstrated advantages of low cost and increased production and productivity and hence land under CA in target areas has increased three-fold, and; (iii) Producer groups have mushroomed in the targeted areas and

²⁹ A case in point is Mopani in Mufulira. This led ZEMA to recently institute an investigation that resulted in the shutting down of the crushing plant which was only re-opened this April following the putting in place of appropriate mitigation measures.

are engaged in productive activities such as; gardening, crop production, livestock production, beekeeping and fish-farming. In these targeted areas, there is evidence of reduction in poverty levels noted through: increased food security period from on average 5 months (in 2005) after harvest to 10 months (2010); increased household income by on average 4 times from what it used to be;³⁰ and, households have been able to diversify their livelihoods (e.g. gardening, cassava production, goat production, etc.).³¹

4.2.1 Social development

Notwithstanding the improvements Zambia has made in the health and education sectors, the country has a human development index of 0.395 and was ranked 150 out of 169 countries in 2010. Her life expectancy of 47.3 years is below the average of the low-income countries (56 years). However, between 2000 and 2010, Zambia's HDI rose by 14.5%. If this trend in human development were maintained during the Sixth National Development Plan (2011 -2015) Period, Zambia should be in the medium human development category by 2030. Beyond basic education, access and participation have been lower than desirable and gender and regional disparities remain high while the slow pace of decentralization has hindered improvements in the quality of education and skills necessary for sustainable growth and human development.

Health service delivery has improved over the years resulting in declines in child and maternal mortality, a reduction in HIV infections and reductions in the incidences of malaria. Zambia however needs to improve its capacities in staffing and staff training, health facilities and infrastructure and access to essential drugs, medical equipment for specialist treatment and diagnostics and patient management tools, in order to improve the health status of the population and advance human development.

While poverty rates have decreased over the years, inequality has increased with Gini coefficient being 47.4 in 1996 to 52.6 in 2006. Further the Gender Inequality is high with estimated Index of 0.75 compared to an ideal index of zero. This is an indication of the deep inequalities between women and men in employment, education, health, decision making and access to productive resources and services.

More needs to be done to improve social development especially for the rural areas and for the urban poor.

4.2.2 Economic Development

Zambia's economy has over the last decade remained stable with the GDP growth increasing from 4.9% in 2001 to 6.4% in 2009 and per-capita income also increasing from US \$680 in 2006 to just over US \$1000 in 2010. However, progress in economic growth and per capita income, has translated into only a modest reduction in poverty rates and improvement in the human development. Extreme poverty has declined from 56.3% in 2004 to 42.3% in 2010.

³⁰ According to a Focus Group Discussion (FGD), participants in Kambombo community in Chama district increased their annual household income by more than 6 times, from an average of K150,000 in 2002 to an average of K1,000,000 in 2010. A similar picture prevailed in the other areas surveyed.

³¹ *World Food Programme (WFP)* End of Term Evaluation of the Zambia Country Programme 10447, Final Draft Report, 12 July 2012.

Agriculture, a key sector for poverty reduction has experienced inadequate public investment to combat poverty, enhance food security and reduce malnutrition further. Limited investments in human resources, research and extension services, irrigation, support for livestock and fisheries and development of market access and infrastructure. However, the private-sector led service delivery has played a crucial role in ensuring that the agriculture sector remains one of the major contributors to gross national product. There has been an increase in maize production and other cash crops bringing some improvements in food security.

However, the sector has remained vulnerable to global markets instabilities and suffered a decline in exports and investments in growth areas of sector such as livestock development, fisheries, irrigation, research and extension services have been inadequate. This will require a functional decentralised system of both crop and livestock extension services coupled with a good marketing system that addresses the small-scale farmers' needs.

4.2.3 Environmental management

The forest sector is important for both ecosystem and human wellbeing. Forests are the sources of fuel wood, construction materials and many non-timber forest products such as honey, fruits, medicines, mushroom and vegetables. They also provide the habitats for wild life and biodiversity and are important for the functioning and protection of river catchments.

Unfortunately, Zambia is experiencing severe deforestation estimated at about 300,000ha per annum due to clearing for settlements and large infrastructure development, clearing for agricultural expansion, unsustainable timber logging, fire wood and charcoal production and bush fires. This has been exasperated by limited afforestation and reforestation activities and the lack of an enabling policy and legal framework for effective sustainable forest management. The declining environmental wellbeing has continued to affect economic development as degraded lands and forest have a bearing on agricultural productivity, hydro power generation and the performance of the country's wildlife dominated tourism sector.

Waste management has also remained a major problem especially in urban areas where both solid waste (with more than 60% of urban areas without access to solid waste collection) and effluent has not been adequately managed leading to the pollution of ground and surface water and posing serious health and aesthetic challenges to the population. Access to sanitation services has remained unsatisfactory due to inadequate funding for capital investments, ineffective community participation and stakeholder involvement in the design, operations and management of sanitation facilities, a scarcity of appropriate low-cost standardized sanitation technologies and the sprouting of unplanned settlements in urban areas.

Progress towards improved access to water in urban and rural areas over the recent past has been made but water quality remains a challenge. Rural areas are lagging behind in terms of access to safe drinking water. Improvements in access to water and sanitation require major investments in infrastructure and human resources as well as awareness raising among the population.

Given the foregoing, adequate implementation of SD in Zambia is still farfetched. SD has not been sufficiently domesticated in the country, and much less at sub-national level. One of the major contributing factors to this gap is the absence of specific institutions mandated at

promoting SD at sectoral and national level. This has resulted in piece-meal implementation of SD related issues. Many challenges still hinder implementation of sustainable practices in the social, economic and environment pillars.

4.3 Best Practices

In matters relating to sustainable development, Zambia has recorded a number of good practices highlighted below. These need to be consolidated, perfected and strengthened to ensure their heightened visibility and consequently impact.

- (i) The country's development agenda emphasizes poverty reduction using National Development strategies that are multi-faced in terms of their incorporation of economic, social and environmental issues. The most significant of these strategies are the National Development Plans (NDPs) and the Vision 2030. Though there is room for improvement, these national development strategies are formulated through stakeholder consultative processes sectorally coordinated by the appropriate ministries and nationally coordinated by the Ministry of Finance and National Planning (MoFNP).
- (ii) Though much leaves to be desired in terms of their effective operationalization and functionality, the country has established strategic structures at all key levels of implementation and coordination that could be effectively used to promote the country's sustainable development agenda. These structures, i.e. the National Development Coordinating Committee (NDCC); the Provincial Development Coordinating Committee (PDCC); the District Development Coordinating Committee (DDCC) and the Area Development Committees (ADCs) have been vested with critical functions of monitoring and coordinating development initiatives. Their extensive key stakeholder inclusiveness and multi-disciplinary composition make them particularly well placed to undertake monitoring and coordinating functions of SD and Green Economy (GE) at their respective levels.
- (iii) Through support from cooperating partners, government through the MoFNP has promoted community driven poverty reduction interventions that incorporate economic, social and environmental concerns at minimum cost. For instance, through the World Food Programme (WFP) supported Food for Assets (FFA) primarily in Chama and Lundazi districts: (i) conservation of wildlife was heightened evidenced by the 1,700 former poachers who surrendered their guns as well as 60,000 wire-snares which were put to better use (hanging of bee-hives) following training of former poachers and are now engaged in productive activities; (ii) Conservation Agriculture (CA) has been promoted following its demonstrated advantages of low cost and increased production and productivity and hence land under CA in target areas has increased three-fold, and; (iii) Producer groups have mushroomed in the targeted areas and are engaged in diversified productive livelihood activities such as; gardening, crop

production, livestock production, beekeeping and fish-farming. In these targeted areas, there is evidence of reduction in poverty levels noted through: increased food security period from on average 5 months (in 2005) after harvest to 10 months (2010); increased household income by on average 4 times from what it used to be;³² and, households have been able to diversify their livelihoods (e.g. gardening, cassava production, goat production, etc.).³³

³² According to a Focus Group Discussion (FGD), participants in Kambombo community in Chama district increased their annual household income by more than 6 times, from an average of K150,000 in 2002 to an average of K1,000,000 in 2010. A similar picture prevailed in the other areas surveyed.

³³ *World Food Programme (WFP)* End of Term Evaluation of the Zambia Country Programme 10447, Final Draft Report, 12 July 2012.

5 EMERGING ISSUES AND PRIORITIES FOR ZAMBIA ON SUSTAINABLE DEVELOPMENT

5.1 National agenda for a Green Economy

The concept of a Green Economy has emerged in the recent past as a holistic and programmatic approach that reinforces the three pillars of sustainable development - economy, social welfare and the environment. According to the United Nations Environment Programme (UNEP), a Green Economy is defined “as one that results in improved well-being and social equity, while significantly reducing environmental risks and ecological scarcities”. The Economic Commission for Africa (ECA) defines green economy as “a means to achieve sustainable development objectives through building an economic system that enhances the earth’s natural capital while minimizing social inequalities”. According to ECA, a green economy (GE) results in increased human well-being & social equity, while significantly reducing environmental risks & ecological scarcities. In terms of African, GE is an agenda for sustainable development, poverty reduction and employment creation.

The key elements of a green economy include investing in natural capital; advocating for poverty alleviation; promoting renewable energy and energy use efficiency; promoting low-carbon technologies and enhancing natural resource management. A green Economy is therefore expected to deliver new sources of income and jobs; low carbon emissions, efficient and reduced use of resources, and reduced generation of waste and pollution while contributing to broader societal goals of sustainable development, social equity and poverty reduction.

Zambia has not yet developed a definition of a “Green Economy” in the national context but there is general understanding that it is complementary to sustainable development as a deliberate, progressive and incremental shift from carbon intensive economic models to low carbon development pathways. This though is with the overriding primary objective towards economic and social development with poverty at the center.

The country has no alternative but to embark on sustainable development through greening as the statistics relating to Green House Gases (GHG) are alarming. For instance, 54,718 metric tonnes of Carbon Dioxide equivalent (Gg) were produced by the Zambia in 2000 primarily due to the exploitation of the natural resources of the country. A similar figure of GHG was produced by Sweden. Unlike Sweden which produced such volumes of GHG on account of its development or wealth creation, Zambia produced GHG on account of the high poverty levels. This is underscored by the fact that close to three quarters of this figure (i.e. 74%) was from land use change and forestry.³⁴ Agriculture contributed close to 19% of the total figure. CEEE

³⁴ Centre for Energy, Environment and Engineering (CEEE), Zambia Limited, 2012.

estimates that between 2000 and 2030, total GHG emissions from all sectors are expected to increase from 54.7 million to 216.8 million tonnes of Carbon Dioxide Equivalent between 2000 and 2030 unless significant mitigation measures are taken. If mitigation options can be implemented, a reduction potential of 10.3 and 20.0 million tonnes CO₂ Equiv can be realised for the years 2020 and 2030 respectively.

Zambia will therefore move towards a green economy seeking to provide diverse opportunities for economic development and poverty alleviation without liquidating or eroding of the country's natural assets. This is particularly important for Zambia given that ecosystem goods and services are a large component of the livelihoods of poor rural communities and ecosystems and their services often provide a safety net against natural disasters and economic shocks.

While there is no nationally agreed definition for operationalizing a green economy in the context of sustainable development and poverty eradication, a number of policies such as the Agriculture and energy policies, the renewable energy strategy and the national climate change response strategy exist. As such Zambia is already 'greening' its economy by promoting sustainable land management and land use, increasing access to renewable and sustainable energy for all through expansion of its hydropower generation and distribution capacity, sustainable agriculture and food security and forestry and sustainable exploitation of natural resources. All these green, clean and renewable natural resource based initiatives are being integrated into national and local level planning processes and projects. Based on its National Climate Change Response strategy the development of a national policy on climate Change and a Low Emission and Climate Resilient Strategy which Zambia has embarked on, will ensure that more carbon neutral technologies and green initiatives are mainstreamed in all planning processes by the private sector, government and local communities.

Going forward, Zambia will intensify promotion of conservation farming methods, forest management for increasing the carbon stocks / assets for the carbon markets, development of mini-hydro-power stations, and energy-use efficient appliances such as energy efficient stoves, cleaner production technologies and improved management and utilization of waste for energy generation. The establishment of the Rural Electrification Authority that is expanding the national grid to rural areas provides a great opportunity for Zambia to increase access to electricity to rural populations with the benefit of reducing the pressure on forests for fuel wood while creating an option for rural people to engage in sustainable forest management and carbon trading.

The main pathways to GE must include: (i) building on natural capital assets- renewable and non-renewable; (ii) exploiting green opportunities for industrial growth such as best available technologies, leapfrogging dirty technologies, and; (iii) harnessing the country's clean energy potential. Sectors where "win-win" strategies could be pursued in Zambia regarding GE, include: agriculture, energy, forestry and fisheries, water, environmental goods and services, service sector and mineral resources.

Key Opportunities and Challenges

There are many opportunities for Zambia to move towards a green economy given its diversity of potential sources of renewable energy including the abundant water resources for hydro-power generation, implementation of sustainable land management practices, 60 % forest cover in the country, and existence of the renewable energy strategy and a National climate change response strategy that promote low emissions.

However, there are a number of challenges to moving forward with the green economy agenda. These include inadequate awareness and information on the benefits of cleaner technologies, limited involvement of communities, particularly women in energy related issues, lack of policies on incentives for the private sector to invest in low carbon and environmentally friendly technologies, lack of financial resources for accessing the technologies, lack of access to credit facilities by the majority of the rural and urban poor and inadequate institutional capacities. The specific key challenges are outlined below:

Deforestation and land degradation: Deforestation (300,000ha/yr) and associated biodiversity loss rates are high as most of the unemployed tend to depend on the sale of forest products such as fuel wood, charcoal, fruits and vegetables. This is a major threat to moving towards a green economy as forests play an important role for a number of green initiatives such as expansion of hydro-power generation as they protect the water catchment areas, for carbon trading as they store the carbon, and sustainable land management as trees have an important role to play in environmental conservation as habitats for wildlife important for the tourism industry.

Climate Change: Climate change is now considered as one of the most serious global threats to sustainable development, with adverse impacts already vivid on the environment, human health, food security, human settlements, economic activities, natural resources and physical infrastructure. One of the biggest challenges for sustained economic growth, poverty reduction and food security confronting Zambia is climate change. Zambia is highly vulnerable to climate change, as its economic and social systems (wealth and health) are based on its considerable natural resources. The country's key industries in terms of contribution to GDP (agriculture, forestry, tourism and mining) all rely on natural resources. Adequate management and use of natural resources, which form 27% of national wealth in comparison to 2% in OECD countries, can therefore accelerate economic growth, poverty reduction and encourage sustainable development. Currently, however, these natural resources are threatened by climate change hazards ranging from increased rainfall variability, high temperatures, frequent alternating flooding and drought events, particularly in Agro-ecological Regions I and II of the country. Climate change therefore, poses a major threat to sustainable development.

Global financial and economic crisis

The Global Financial Crisis currently facing the world will affect ODA and climate change financing from the developed countries. The effect of the global economic crisis has already been seen in the decline in financial aid from some of Zambia's cooperating partners leading to downward revisions to national budget support. The crisis is also likely to affect the private sector and flows of direct Foreign Investment critical for economic growth and job creation. The impact of the global financial crisis will increasingly affect the efforts towards achieving the Millennium Development Goals (MDGs) that are ranging behind and consequently the attainment of sustainable development.

Others

- a) Climate change, deforestation and land degradation reduce rainfall amounts and consequently reduce inflow into lakes and rivers, affecting fish stocks, a vital protein source particularly for the poor.
- b) Currently, only 3.5% of the country's population has access to electricity, resulting in heightened deforestation due to the high demand on fuel wood and charcoal. The vast part of the country (more than 80%) is not serviced by the power transmission infrastructure as this is too expensive a venture. This underscores the need for the use of cleaner sources of energy such as wind, solar and small dams³⁵ which would be ideal for most parts of the country.

5.2 Strategies For Poverty Reduction

Government over the past years has developed and implemented various strategies towards poverty reduction. Since the early 1970s, different poverty reduction strategies have been designed and implemented. Some of the major ones are highlighted in **Table 2** below. Most prominent of these are the Intensive Development Zones (IDZs) in the 1970s; the Integrated Rural Development Programmes (IRDPs) from late 1970s to the 1980s; the Sector Wide Approaches (SWAs) or the Sector Investment Programmes (SIPs) in selected sectors from early 1990s. From time to time, these have been implemented under the overall frameworks of the National Development Plans (NDPs). After independence in 1964, NDPs were designed and implemented as overall strategic frameworks for poverty reduction interventions before being abandoned decades later following the introduction of market policies.

³⁵ One of the new large dam projects ear-marked for development in the country is estimated to cost US \$ 2 Billion (Ministry of Energy, 2012). This is by no means a small figure for the private sector who tend to go for quick, low cost investment projects, hence government has not found it easy to mobilize such resources from the private sector.

Table 2: Selected Major Poverty Reduction Strategies in Zambia

Period	Strategy	Key Focus Area(s)	Major Challenges	Key Results Areas
1970s	• Intensive Development Zones (IDZs)	• Rural development	• Interventions were too localized leading to reduced impact	• Various infrastructure such as roads, schools and health
Late 1970s-80s	• Integrated Rural Development Programmes (IRDPs)	• Rural development	• Effective implementation was a challenge because the scope was too wide for effective coordination and monitoring	• All aspects of rural and agriculture development including infrastructure and capacity building of local authorities
1990s	• Sector Wide Approaches (SWAs)/ Sector Investment Programmes (SIPs)	• Whole sectors. Those targeted include; health, agriculture, education and environment	• Coordination and basket funding challenges • Inadequate accountability mechanisms in place as well as their operationalization	• Harmonization of a number of approaches including: reporting, procurement, M&E, etc. which impacted positively on reduction in transaction costs.
2002-2004	• Poverty Reduction Strategy Paper (PRSP)	• Focused on both social and economic sectors	• Inadequate funding for appreciable realization of goals & objectives	• Set the stage for resumption of national strategic planning
2006-2010	• Fifth National Development Programme (FNDP)	• All key sectors of the economy and human development	• Inadequate funding constrained implementation	• Major achievements realized in all the 3 pillars of SD with annual GDP growth averaging more than 6%
2011-2015	• Sixth National Development Programme (SNDP)	• Essentially a continuation of the focus areas under FNDP	• Flow of funds is not as desired	• Implementation has just started hence too early to assess results
2006-2030	• Vision 2030	• Moving Zambia to be a prosperous middle income country	• Development agenda to date has resulted in inadequate poverty reduction	• GDP per capita has reached in excess of US\$ 1000

The Strategic National Planning was resumed in earnest with the design and implementation of the Poverty Reduction Strategy Paper (PRSP) in the period 2002 to 2004 / Transitional National Development Plan (TNDP). Recently, two NDPs have been implemented in succession, the Fifth National Development Plan (FNDP: 2006-2010) and the Sixth National Development Plan (SNDP: 2011-2015). Both FNDP and SNDP were designed and have been implemented/being implemented within the overall long-term strategy, the Vision 2030. The extent to which FNDP, SNDP and other development strategies have incorporated the Agenda 21 is dealt with in **Appendix 3**.

5.3 Employment creation³⁶

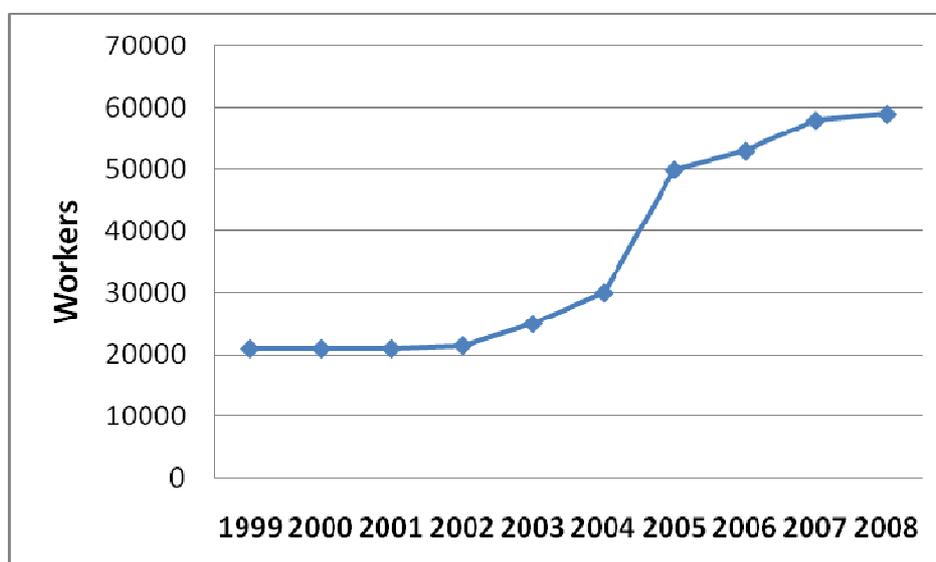
Employment creation based on the recent poverty reduction strategies has been a concern of most development stakeholders in Zambia. According to the LCMS 2006, as much as 82% of the total labour force was employed by the informal sector in 2006, of which the majority were engaged by the agriculture sector. In rural Zambia, 82% of the population depend on the informal sector, of which 90% are women. According to the Labour Force Surveys conducted by CSO in 2005 and 2008, the labour force increased by 10% between 2005 and 2008. In the same period, total employment grew by 24%, as a result of the growth of the informal sector by 29.3%.

In the period from 2005 to 2008, formal employment grew by 5.3% though its proportion out of the total employment declined from 12% to 10%. Male employment dominated the formal sector in the period under review, accounting for 71% compared to 29% their female counterparts. Unemployment remained at 15.5% of the total labour force. At least 70% of the total unemployed were in urban areas and 30% were in rural areas.

One of the sectors that has significantly contributed to the country's growth in GDP in the past decade is the mining, which grew by an average of 10.6%. This growth did positively impact employment creation. Over a ten-year period (1999 to 2008), growth in employment in the copper mining sector almost trippled, from just over 20,000 to just under 60,000 (see **Figure 7** below).

³⁶ This report draws heavily from the Zambia Health Demographic Report 2011.

Figure 7: Employment at Copper Mines – Zambia (1999-2008)³⁷



The increase in employment in the Copper mines was as a result of improved copper price. The price increased from about US\$ 1,500 per tonne in 1981 to about US\$ 8,700 between 2007 and 2008. In 2009, the price fell to just above US\$3,000 per tonne before climbing again to US\$ 7,700 in 2010 (Willian 2010).

5.4 Potential challenges and constraints

Absence of an appropriate SD Framework: Whereas a green economy integrates all the major economic and social players whether they be private sector, civil society or government in production processes that benefit society while at the same time minimizing environmental degradation, a framework to facilitate such an integration does not exist in Zambia. As a matter of fact, a rigorous sensitization campaign targeting green economy issues, is yet to be undertaken. A culture and practice of relating to the cost of production of goods and services in the context of minimizing pollution and the exploitation of natural resources to the greatest extent possible is still far fetched.³⁸

High poverty levels: Since 1992, the country's national poverty level has marginally declined by only 9.5 percentage points, from 70% in 1991 to 60.5% in 2010. The poverty situation in the country's rural areas is far much worse than in the urban areas i.e. almost three times that which obtains in the urban areas (77.9% compared to 27.5%). These high poverty levels in

³⁷ Source: The Early 21st Century Copper Boon and HIV and AIDS in Zambia, Nicholas William, Draft September 2010.

³⁸ Green Economy Report, UNEP 2011

rural areas pose a great danger to sustainable development and particularly to the realization of Principle 5 of Rio 1992 UNCSD³⁹ given that the livelihoods of many rural poor people is intricately linked with exploiting fragile environments and ecosystems (Green Economy, UNEP 2011).

Poor SD Coordination: Whereas following the Rio Earth Summit in 1992, the Zambian government put in place the “Ministry of Tourism, Environment and Natural Resources” (MTENR) specifically tailored to deal with environmental management issues in a bid to ensure that all key sub-sectors dealing with the major natural environment related issues were in one Ministry (MTENR Strategic Plan 2002-2006), this was not the case with the other Sustainable Development (SD) pillars, i.e. social and economic. Consequently, effective coordination of SD issues by pillar has lacked.

Inappropriate indicators: The adequacy of indicators to measure various sustainable development/green economy issues leaves much to be desired. Most indicators tend to be generic in nature, lacking specificity with regards to issues of Sustainable Development.

Poor funding of institutions: Zambia has made some positive strides towards establishing an institutional framework (i.e. appropriate policies and organizations) which ideally, would go a long way in supporting sustainable development. A number of sectoral policy documents cover relevant areas with regards to Sustainable Development issues. In addition, the several institutions, including SAGs, NDC, PDCCs, DDCC, MEGA, MoFNP, etc. have potential to facilitate the implementation of sustainable development/green economy initiatives. However, the implementation of policies has been weak primarily due to inadequate capacity (inadequate qualified and skilled technical and professional staff, financial resources and equipment). In addition, there must always be internal consistency. For instance, Government is supporting the Farmer Input Support Programme (FISP) which is inorganic-fertilizer biased, thereby undermining the long-term soil fertility level. At the same time, Government is supporting Conservation Agriculture (CA) which promotes use of organic fertilizer among others.

Unfavourable environment for policy implementation: There is reasonably adequate policy and statutory instrument back-up for institutions such as ZEMA and Mine Safety Department (MSD) to undertake their mandate of effectively promoting sustainable development/green economy in the country. However, resource constraints and inadequate political will have seriously undermined optimal realization of their set objectives. This is partly as a result of inadequately consistent, evidence-based and well informed political will that should precede the implementation of these initiatives. There is insufficient effective flow of appropriate information from professionals and technocrats to politicians. Technocrats and politicians are not taking full advantage of opportunities and fora such as those provided by full council meetings to maximise the dissemination of information.

³⁹All States and all people shall cooperate in the essential task of eradicating poverty as an indispensable requirement for sustainable development, in order to decrease the disparities in standards of living and better meet the needs of the majority of the people of the world (Rio Summit,1992).

Other challenges:

- c) There has been inadequate domestication of the Agenda 21 in the country, particularly at sub-national level. There has been a gap with regards to specific institutional arrangements mandated to promote and champion the Sustainable Development (SD) agenda in the country.
- d) There is need for coordinated and consistent SD public awareness campaigns in the country. The awareness campaigns that have taken place so far have lacked consistency, have tended to be fragmented and confined to a few selected sub-sectors and sectors. This has perpetuated low levels of environmental management and Sustainable Development literacy.
- e) Linked to the above point, there has been inadequate coordination among government institutions regarding SD issues. Other primary stakeholders outside government (the civil society organizations and the private sector) have not been sufficiently engaged by government on SD issues.
- f) The use of natural resources in the country has not been maximized. Where such resources have been used, there has tended to be an absence of a well thought through sustainability strategy.
- g) There has been an absence of sound legal framework for community control, ownership and active involvement in natural resource management, for instance, with respect to Joint Forest Management, and the limited decentralization and empowerment of communities to manage and benefit from local resources. NGOs have largely been excluded in resource management such as the CRBS under the Zambia Wildlife Authority (ZAWA).
- h) The Zambia Environmental Management Agency (ZEMA) though a critical and important institution with respect to the promotion of sustainable development, is merely at a tactical level, it fails to engage at a strategic level. ZEMA also fails to engage at the lower level, including community, where implementation issues are prominent.
- i) There has been inadequate investment in the country to significantly reduce the high poverty levels, particularly the kind of investment that creates enough jobs and wealth. This has slowed down progress in SD due to the close link between poverty and the exploitation of the environment for livelihoods.
- j) The availability of adequate quality data at the desired frequency and timeliness has been a serious challenge. This has made it difficult to know the current status of various natural resources in terms of exploitation/use, posing a further challenge to resource planning.
- k) Government should revamp Strategic Environmental Impact Assessment because of its more broad-based nature. It includes more issues under SD.

6 RECOMMENDATIONS

Key challenges need to be addressed. These include:

6.1 Combating deforestation

Addressing deforestation requires an integrated approach to address the energy alternatives to fuel wood and promoting intensification of agriculture for improved productivity to reduce clearing of forests for farming activities. Policies and legislation that promote community participation in forest and natural resources management must be put in place and implemented with a decentralised system of management that creates incentives and provides adequate capacities for community involvement. Zambia must reduce the deforestation rate to ensure a green economy and sustainable development.

6.2 Responding to climate change

The threats of climate impacts to sustainable development are critical and these have to be addressed if Zambia is to move towards sustainable development and ensure that adverse impacts of climate change do not undermine national efforts to attain the Millennium Development Goals and reduce poverty.

The National policy on climate change should be put in place and institutional arrangements, capacities and adequate resources deployed to develop a National Action Plan to implement the National Climate Change Response Strategy for a climate resilient and the Low emission growth. This will be important for enhancing the resilience of communities and protecting economic growth, food security and the environment from the impacts of climate change while accelerating green growth.

6.3 Reducing Unemployment

Unemployment leads to unsustainable exploitation of natural resources important for a climate resilient and low carbon economy. Government must enhance the partnerships between public and the private sector to increase the possibilities and opportunities for private investments in green initiatives. This will stimulate job creation and increase employment opportunities especially for the youth.

6.4 Financing for a Green economy

Zambia should enhance its preparedness to access and mobilize climate financing from domestic and international sources including the Green Climate Fund. There is urgent need for Zambia to establish a Climate Financing Framework for improved mobilization, sequencing,

combining and pooling of finances for investments in adaptation and mitigation towards a green economy to meet the social, economic and environmental management objectives of the country. The domestic and international financing should be used to catalyze and leverage private sector investment in addressing climate change.

6.5 Enhance Institutional arrangements

Policy guidelines and legal framework on the implementation of the green economy should be developed as soon as possible. Once this is in place, enhanced coordination among government, development partners, civil society and communities should be established. This requires designation of an institution to coordinate and spearhead the greening of the economy with specific indicators and targets. The key sectors that should take the lead are agriculture, forestry, energy, water, local government, industry and transport. Critical cross-cutting issues that should be addressed include human resource development, research and development, institutional capacity building, networking, gender integration and private and public awareness and participation.

6.6 Mechanism to integrate the 3 SD pillars

There is need to have a mechanism to integrate SD issues in social, economic and environment pillars. This will promote cost-efficiency and effectiveness through the improvement, to the best extent possible, of such systems and monitoring and evaluation, procurement and financial management. It will also provide a platform for sharing best practices related to SD specific issues. The institutional arrangements for coordinating and implementing poverty reduction interventions such as SAGs, PDCCs, DDCCs, ADCs and MoFNP, etc. should be strengthened and fully taken advantage of to coordinate and monitor SD and green economy issues. This strengthening should include institutions that have been specifically established to promote SD and green economy issues such as ZEMA and Mine Safety Department (MSD). The strengthening should be holistic in nature, including adequate funding as well as professional and technical staff. The sectoral policies, policy frameworks and other legal and statutory instruments designed to promote SD and green economy should be fully implemented. Where these need strengthening, appropriate actions should be taken accordingly.

6.7 Reporting System

An effective reporting system based on appropriately formulated SD Key Performance Indicators (KPIs) should be developed and implemented. While there has been remarkable improvement in the formulation of M&E frameworks for tracking the performance of the recent NDPs, there is need to integrate appropriate SD KPIs as well as to invest more resources in the operationalization of these frameworks. All the major surveys undertaken by CSO (including LCMS, Post Harvest Survey, Zambia Demographic Health Survey) should be given special attention to ensure timely data collection, analysis, reporting and dissemination of results and following-up of the findings. Government should prioritise resource allocation to these surveys

given their importance in facilitating evidence-based policy formulation and programming as well as reporting.

Appendices

Appendix 1: Terms of Reference (ToRs)

Terms of Reference Consultancy National preparations for the United Nations Conference on Sustainable Development (Rio + 20) in Zambia

<i>Background of the relevant Project Objectives and Activities</i>
<p>The United Nations General Assembly, in its resolution GA 64/236, called for a UN Conference on Sustainable Development (UNCSD) in 2012 to take stock, 20 years after the historic United Nations Conference on Environment and Development (UNCED, or the Rio Earth Summit). The objective of UNCSD is to secure renewed political commitment for sustainable development, assess the progress to date and the remaining gaps in the implementation of the outcomes of the major summits on sustainable development, and address new and emerging challenges. The Conference will focus on two themes: (a) a green economy in the context of sustainable development and poverty eradication; and (b) the institutional framework for sustainable development.</p> <p>Following-up, the 65th UNGA, inter alia, <i>encouraged</i> “the United Nations development system to support, as appropriate, national country preparations for the United Nations Conference on Sustainable Development, upon request of national authorities.”</p> <p>DESA/Division for Sustainable Development (DSD), in cooperation with UNDP and UN Country Teams (UNCT), is collaborating with national authorities in selected developing countries to provide technical and capacity building support to enable these countries to prepare for, and to effectively participate in UNCSD, based on their sustainable development goals and objectives, with a view towards defining their national context for more effective sustainable development approaches in the long-term. Zambia has been selected as one of the participating countries in this global initiative.</p> <p>It is in this regard that the Zambian Government is seeking the services of a local consultant to support the country’s Rio+20 national preparations in close consultation and collaboration with the UNDP Country Office.</p>
<i>Objective</i>
<p>The consultant will coordinate and facilitate a national consultative process that will enable Zambia to prepare for and contribute effectively to the UNCSD/Rio+20 process based on its sustainable development goals and objectives, and to ensure a solid foundation at the national level for implementation of the outcomes of the Conference.</p> <p>The Rio+20 national preparations will therefore be closely linked to, and be guided by, the overarching sustainable development framework and national development processes, plans and strategies in Zambia.</p>
III. Description of the Required Services

The consultant will carry out the following services:

- (i). Carry out a stocktaking exercise using interviews, consultations and desk review, to provide baseline information to inform a multi-stakeholder consultation meeting. The stocktaking report should include an executive summary, including but not limited to:
 - Green economy and green economy-related policies, plans and strategies;
 - Institutional arrangements for sustainable development;
 - Mechanisms and systems for monitoring and evaluation including for tracking MDGs and internally agreed development goals;
 - Emerging issues
- (ii) Organise and facilitate a multi-stakeholder consultation meeting, informed by the stocktaking report, to address the objective and themes of UNCSD and to develop consensus on broad areas of national action, on priorities for regional action and for international decisions at UNCSD.
- (iii) Prepare a national report to synthesise the outcomes of both the stocktaking report and multi-stakeholder consultation meeting, and The report should:
 - be between 20 and 30 pages, and be written in a clear, concise and readable manner;
 - include a brief summary of the multi-stakeholder consultation workshop;
 - outlines areas of consensus as well as differences of views on progress on sustainable development in general and the elimination of poverty and main contributors;
 - identify the key issues and barriers to addressing the green economy from the perspective of government, major groups and donors;
 - propose institutional arrangements for sustainable development;
 - focus on the proposed solutions to removing the identified barriers;
 - make recommendations to strengthen the national sustainable development agenda based on the multi-stakeholder dialogue and the outcomes of the workshop; and
 - incorporate an assessment of how the Government of Zambia will address its capacity needs with a view to implementation of UNCSD outcomes.

IV. Outputs

1. A stocktaking report (10-20 pages) outlining the issues, and including an Executive Summary as outlined in section III(i) above.
 - *To be delivered to the Government's focal ministry and UNDP Country Office for onward transmission to DESA*
2. A Rio+20 national report as outlined in III(iii) above.
 - *To be delivered to the Government's focal ministry and UNDP Country Office for onward transmission to DESA*

V. Duration and Timing

From **2 December 2011** to be completed on **10th January 2012**.

Actual work: xxx (xx) Days Weeks Months

VI. Fees and Terms of payment **Lump Sum** **By Phase**

Payment will be made according to the following schedule:

- Upon delivery of satisfactory Stocktaking Report – 30% of total fee
- Upon delivery of satisfactory Rio+20 National Report – 70% of total fee

VII. Competencies
<p><u>Professionalism:</u></p> <ul style="list-style-type: none"> ▪ Solid understanding of sustainable development issues and challenges in Zambia ▪ Intimate knowledge of the UN development agenda: Agenda 21, Johannesburg Plan of Implementation (JPOI), MDGs. ▪ Demonstrated in-depth technical knowledge and proven analytical skills in sustainable development issues. <p><u>Communication:</u></p> <ul style="list-style-type: none"> ▪ Excellent drafting and communication skills. ▪ Demonstrated ability to communicate effectively with all stakeholders at the national level, including public servants, NGOs, and private sector.
VIII. Qualifications
<p><u>Education:</u></p> <ul style="list-style-type: none"> ▪ Advanced university degree in economics, natural resources management, public administration, or any other relevant discipline in sustainable development. <p><u>Work experience:</u></p> <ul style="list-style-type: none"> ▪ 10 years of experience in planning, programming, implementation or management of the development programmes; ▪ Working experience and familiarity with the development efforts of the international development partners, such as UN agencies and NGOs is an added advantage; ▪ Experience in liaising with government authorities, other institutions, CSOs & stakeholder groups; ▪ Ability to work independently and as part of a team; ▪ Experience in developing high standard assessment reports
IX Supervision of the assignment
<ul style="list-style-type: none"> ▪ Government’s focal ministry will supervise, monitor and guide the assignment in close collaboration with UNDP CO. ▪ UNDESA will provide technical backstopping and quality assurance throughout the assignment.

Appendix 2: Strengths, weaknesses, opportunities and threats of selected institutions

Institution	Strengths	Weaknesses	Opportunities	Threats
ZEMA	<ul style="list-style-type: none"> • It's a legal entity established by a parliamentary instrument • Has the power to take legal action against any stakeholder who breaches the Law • Has well qualified professional and technical staff • Has earned recognition and respect over the years from various stakeholders 	<ul style="list-style-type: none"> • Has limited staff for the nature of mandate the institution undertakes resulting in reduced effectiveness. This may be due to high staff turnover arising from uncompetitive conditions of service • Visibility is at tactical level rather than strategic and grassroots levels where it matters most. 	<ul style="list-style-type: none"> • The recognition and respect ZEMA has gained over the years puts it in a strong position for effective resource mobilization (including through proposal writing to vertical funds); • Increased capacity building (through training) of grassroots structures (CBOs, FBOs, NGOs, schools, etc.) would increase its impact on sustainable development. 	<ul style="list-style-type: none"> • If poor funding continues, this may result in an erosion of the gains ZEMA has made over the years resulting from increased staff turnover. • Political interference has resulted in frustration of staff thereby limiting its performance.
Ministry of Environment	<ul style="list-style-type: none"> • It is a well established government entity with a presence in all the country's districts. • Potentially, grassroots level stakeholders (communities) may be capacity-built in sustainable development issues through the Local Authorities (LAs) • Future generations can embrace sustainable development by educating children in schools given that environmental protection and early education are in the same ministry. 	<ul style="list-style-type: none"> • The location of natural resources (and forestry) in a different ministry (mines) will be a challenge in terms of coordination. • Coordination among various entities within the same ministries is weak: there are no specific fora provided to deliberately promote coordination; 	<ul style="list-style-type: none"> • With properly designed strategies, inculcation of sustainable development issues into school-going-children can have a great impact on the nation; • With well designed strategies, rural communities could benefit from LAs capacity building efforts in sustainable development through ADCs. 	<ul style="list-style-type: none"> • Continued poor funding of government ministries may lead to further frustration of staff and worsen the staff-turn over; • The bringing together of several entities (as the name of the new ministry shows-MLGHEEEP) may cause serious coordination challenges which may in turn negatively impact the ministry's mandate with regards to sustainable development issues.
NDCC	<ul style="list-style-type: none"> • It has potentially a good representation of key stakeholders that matter in issues of sustainable development; • It has the potential to influence the whole country in sustainable development issues given that it's a 	<ul style="list-style-type: none"> • It rarely meets. There are years when NDCC has not had a single meeting • It rarely undertakes its monitoring, coordination and backstopping functions. 	<ul style="list-style-type: none"> • Its national level positioning could enhance promotion of the sustainable development agenda • Its membership of critical actors in sustainable development could result in significant national level impact with respect to green economy issues. 	<ul style="list-style-type: none"> • Its continued non-functioning may lead to the Committee becoming completely redundant in influencing sustainable development issues.

Institution	Strengths	Weaknesses	Opportunities	Threats
	national entity.			
MSD	<ul style="list-style-type: none"> • It is a recognized and respected Government Ministry Department; • The establishment has appropriately qualified staff to deal with sustainable development issues with regards to the mining sector, including: Metallurgists and Mining Engineers. • The MSD office is strategically placed with respect to the proximity to locations where mining activities take place. 	<ul style="list-style-type: none"> • Poor funding has negatively affected realization of MSD goals, objectives and targets. • MSD staff are not always abreast with the latest technologies used in the mining sector, thereby making their effective supervision of private sector institutions weak and and even redundant. • The low numbers of staff in relation to the establishment has slowed down the Department's performance. 	<ul style="list-style-type: none"> • Given its position as a Government entity, it has potential to network with more institutions within the country and abroad for exchange of ideas in sustainable development; • The Department could more aggressively mobilize resources to fill the vacant staff positions, given that the establishment has been approved. This could make it easier to also lobby Government for operational funds. 	<ul style="list-style-type: none"> • Continued poor funding may lead to staff frustration to the level which could seriously slow down sustainable development efforts in the mining sector that have been put in place so far; • Continued negligence of capacity building of staff in latest technologies may lead to weak adherence of the mining companies to environmental management issues.
PDCC	<ul style="list-style-type: none"> • Has excellent representation in terms of membership • Has full knowledge of sustainable development issues at provincial level 	<ul style="list-style-type: none"> • Poor funding has make PDCC become less effective • Flow of information from DDCCs to the PDCCs is not always as desired. 	<ul style="list-style-type: none"> • The good professional and technical representation in terms of membership is an asset to sustainable development promotion. 	<ul style="list-style-type: none"> • The continued poor funding of PDCCs may result in these entities becoming redundant.
DDCC	<ul style="list-style-type: none"> • As above 	<ul style="list-style-type: none"> • As above 	<ul style="list-style-type: none"> • As above • The district level is most critical in influencing the country's development given its proximity to the grassroot level. 	<ul style="list-style-type: none"> • Poor funding that has characterized Local Authorities for a long time now, has resulted in high staff turn-over.
ADC	<ul style="list-style-type: none"> • Its an entity close to the community level hence could influence sustainable development substantially. 	<ul style="list-style-type: none"> • Not all districts have established the full number of ADCs hence there are gaps still existing. 	<ul style="list-style-type: none"> • ADCs could be entry points at community level of all institutions dealing with sustainable development issues if well planned. 	<ul style="list-style-type: none"> • This level is a challenge to attract actors who understand sustainable development issues, given poor capacity building efforts todate.

Appendix 3: The Extent to which FNDP and Other Development Strategies Captured and Implemented the Agenda 21 with Respect to the three Pillars of Sustainable Development

Principle	Criteria
A. Integration of social, economic and environmental priorities	<p>a) Integration: The FNDP has integrated the three pillars of development (economic, social and environmental).</p> <p>b) Social and poverty issues: Some of the Programmes and projects that have been implemented in trying to combat poverty include; i. ii. Intensive Development Zones (IDZs) in the early 1970s; iii. Integrated Rural Development Programmes – IRDPs from late 1970s to mid 1980s; iv. The Micro-Projects, v. the Zambia Social Investment Fund - ZAMSIF. (social pillar).</p> <p>c) Environmental and Natural Resource Issues: Some of the programmes that have been set up to integrate environment and decision making include the industrial pollution prevention programme, water resource action plan, environmental management program, Zambia social investment fund and community based natural resource(environmental pillar)</p> <p>d) International Commitments: Zambia is signatory to a number of international social agreements such as the Agenda 21 itself, COMESA, SADC and other UN environmental and developmental programmes. At the local level, UNDP coordinates the activities of the UN system in Zambia. Zambia has had to develop action plans under the convention on biological diversity, the convention on desertification and has undertaken various studies under the climate change convention and Montreal protocol. All these efforts were spearheaded by respective secretariats without adequate coordination. There is therefore need for the Commission on Sustainable Development to ensure a coordinated and integrated approach to development and environment efforts because at the moment there is still none.</p>
B. Wide participation of stakeholders in the development process	<p>a) Involvement of stakeholders: In putting together the FNDP, the Government enlisted the involvement of major stakeholders, including civil society, cooperating partners, and the private sector. The consultation process integrated views of 21 Sector Advisory Groups (SAGs).</p> <p>b) Transparency and accountability: Good Governance also includes accountability and transparency in the management of national affairs and the discharge of the responsibilities of public office. As the Government implemented the FNDP, it pledged to continue to uphold the view that public office is a trust held for the benefit of the general public, the governed, and is not for private profit or gain. Transparency, another tenet that the Government pledged to continue upholding, brought the possibility to the general public to know or discover the truth so as to avoid speculation. Therefore, it was the Government's position that men and women who held public office should have been prepared to submit to public scrutiny and questioning as part of the process of rendering an account for the discharge of their public responsibilities. During the implementation of the FNDP, the Government planned to focus on all three levels of accountability, namely,</p> <p>a) <i>Political accountability</i> that applied to politicians who were to be held accountable by the electorate for the success or failure to initiate the planned FNDP programmes;</p> <p>b) <i>Administrative accountability</i> that referred to administrative structures of the Government (mainly the civil service) that should have had clear rules, roles and responsibilities and provide checks and balances for administrative performance; and, lastly,</p> <p>c) <i>Financial and budgetary accountability</i> that entailed the ability to account for the allocation, use and control of public funds, public assets and properties. This was to be determined by the degree to which the FNDP implementation system would remain in good stead to honour the laid down financial accounting systems, rules, regulations and procedures.</p> <p>c) Communication and public awareness: The Zambian public as a whole was poorly informed about policy and development issues. Reasons cited included inadequate communication structures, the lack of an appropriate communication strategy on the part of policy actors, and high illiteracy levels. Cultural and psychosocial factors also represented further barriers, particularly on more sensitive issues. Actors addressed some of these challenges by concentrating their information dissemination activities on those channels most widely available to the general population as well as those to which illiteracy does not represent a significant hurdle (AudienceScapes Zambia, 2010).</p>

Principle	Criteria
	<p>d) Long-term vision and consensus: The national long-term planning instrument entitled Vision 2030, prepared in consultation with line ministries, provinces, and districts, the donor community and civil society, sets Zambia's long-term vision. The Vision 2030 reflects the collective understanding, aspirations and determination of the Zambian people to be a '<i>prosperous middle-income country</i>'. The Vision sets the horizon for developing the medium-term plans and provides the 'gravitational pull' to achieve long-term objectives. It outlines in broad terms, plausible courses of action to be taken towards the achievement of the country's long-term objectives and targets. It broadly reflects what Zambians aspire to be by 2030 and the options they feel will realistically get them there. The Vision has been operationalized through five year medium term planning instruments, which contain specific policies, programmes and projects, predominantly targeted towards wealth creation and poverty reduction.</p>
C. Country ownership and commitment	<p>a. High level government commitment: All the programmes in the FNDP were government initiatives. Government was very committed to implementing every single objective and strategy. The only constraints included lack of resources and poor implementation. Financing of the FNDP came from 3 sources, namely; domestic revenue (this included both tax and non-tax revenue collected by Zambia Revenue Authority both at central and local government level), external grants/aid (provided to Zambia by cooperating partners/donors through direct budget support, Sector wide support, project support and debt relief) and to a limited extent, borrowing (both internally and externally-through domestic and external loans).</p> <p>b. Broad-based political support: This was demonstrated by the ability of the political party running the government in the stated period of the FNDP allocating funding to FNDP programmes. For example total expenditure for FNDP as a percentage of GDP from domestic revenue was 23.1% of GDP (FNDP 2006-2010).</p> <p>c. Responsibilities for implementation: The Ministry of Finance and National Planning was the ministry that was responsible for planning, coordination and budget allocations. Institutions were assigned roles and responsibilities for implementation and monitoring of the FNDP at national, provincial, district and community levels. At national level, there were 7 implementing institutions (National Assembly, Cabinet, Cabinet office, Ministry of Finance and National Planning, Private Sector, Sector Ministries and Other Spending Agencies and Committees; At provincial level, there were two implementing institutions (Provincial administration and provincial sector departments); At district level, there were also two implementing institutions (District commissioner's office and district councils) and lastly; At community level, ward development committees were involved in the implementation and this was done by the Resident Development Committees, either the traditional authorities or establishments (FNDP 2006-2010). Each level of implementation had advisory institutions and groups during the FNDP implementation.</p> <p>d. Co-ordination with donors: A large percentage of the programmes implemented got funding from donor support. However, donors and cooperating partners were to limit their support within the commonly agreed FNDP framework and were also expected to move towards direct budget support and sector wide framework. Due to the good performance of the FNDP implementation and investments in the economy, the Government reduced dependency on donor support from 40% to below 25 % (Admin, 2011) from about US\$ 15.1 Billion to US\$ 8.7 Billion .⁴⁰ Total grant averaged 4.1% as a percentage of GDP according to the FNDP (2006-2010).</p>
e. Comprehensive and coordinated policy process	<p>a. Build on existing processes: The FNDP is a successor of the Transitional National Development Plan (TNDP 2002-2006).</p> <p>b. Analysis and information: In putting together this Plan, the Government enlisted the involvement of all the major stakeholders, including civil society, cooperating partners, and the private sector. These tried to bring together reliable and comprehensive information from all</p>

⁴⁰ US\$ to ZMK exchange rate used: 1=4,700

Principle	Criteria
	<p>stakeholders on the ground and different strategic sectors e.g. the social, economic and environmental sectors. (FNDP, 2006-2010).</p> <p>c. Realistic goals: The national strategy outlined plausible courses of action and goals which the Zambian people agreed as being realistic and attainable having in mind the meagre resources available. Care was also taken to arrive at a realistic estimation of the resource envelope over the FNDP horizon. (FNDP, 2006-2010).</p> <p>d. Decentralization: The National Decentralization Policy is aimed at achieving a fully decentralized and democratically elected system of governance characterized by open, predictable and transparent policy making and implementation processes. The Government developed the Decentralisation Implementation Plan (DIP) that provides a roadmap that should guide the efforts of all stakeholders through the articulation of their roles in the implementation of the Decentralization Policy. The key components of DIP that are derived from the National Decentralization Policy itself include, <i>inter alia</i>; Institutional and Human Resource Capacity Building; Local Development Planning and Budgeting; Financial Management and Accounting; and Monitoring and Evaluation. (FNDP, 2006-2010). This however has not been fully implemented.</p>
e. Targeting, resource and monitoring	<p>a. Budgetary provision: The budget for the FNDP stood at US\$ 62, 623.22 billion. This amount of money was shared among the different sectors according to their needs.</p> <p>b. Capacity for implementation: The monitoring team ensured that on the lower level, communities were capable by building their capacity to be able to collect, analyse and report on the performance of the agreed key indicators. Information flow in terms of mid-term and long term performance was done from community to national and national to community through consultative fora.</p> <p>c. Targets and indicators: Each sector of the economy was assigned a number of key performance indicators and targets. For example, economic performance indicators included change in GDP, average annual inflation and average weighted lending rates. Social indicators included HIV/AIDS prevalence rate, additional generation of electricity capacity and proportion of the rural population with access to water supply. Environmental indicators included land covered by forests, land protected to maintain biodiversity, and proportion of population using solid fuel among others (MDG PR 2011).</p> <p>d. Monitoring and feedback: The monitoring and evaluation of the FNDP was designed to ensure successful implementation with the involvement of all stakeholders. Systems were in place for monitoring the implementation of strategies and the achievement of their objectives; for recording results, and reviewing their effectiveness as strategies for sustainable development, with effective mechanisms for feedback and revision with the planning process.</p> <p>To effectively monitor and evaluate the implementation of the macroeconomic programmes under this Plan, the reporting framework of the various working groups were streamlined and strengthened. Since the Macroeconomics SAG has a wider representation and is expected to monitor implementation of the broad macro programmes, all the committees outlined above were required to provide implementation progress reports to the Macroeconomics SAG on a quarterly basis. The Macroeconomics SAG planned to meet every quarter with a regular agenda.</p> <p>The monitoring of macroeconomic performance were at two levels: (a) tracking progress in implementing stability-oriented policies; and (b) tracking progress in the implementation of growth-enhancing and pro-poor policies, including structural reforms. (FNDP, 2006-2010)</p>

Appendix 4: Social Sustainability Management Plan – Lumwana Copper Mine

The SSMP for Lumwana Copper Mine (LCM) was developed in 2007 and became operational the same year. Its main strategic objective is: *“to promote responsible social and economic sustainable development”*. Its five-fold specific objectives are: (i) to raise local awareness of environmental, cultural, health and social issues to the community and the public at large, using public consultation process; (ii) to maximise local and provincial employment and business opportunities; (iii) to encourage diversification and movement away from historical dependence of Zambian business on the mining sector; (iv) To facilitate social development by supporting construction of social amenities (schools, health centres, and recreation facilities), and; (v) To promote sustainable business that will survive beyond the eventual closure of the mine.

The Lumwana Copper Mine SSMP has nine (9) core result areas. These are highlighted below:

1. Local Culture, Customs and Religious Practices. This focuses on the following: (i) Customs and cultural practices strengthened and or preserved; (ii) Roles of traditional leaders strengthened and or preserved; (iii) Equitable gender perceptions strengthened and or preserved, and; (iv) Number of Sports, leisure and recreation facilities increased
2. Population Influx and Secondary Development. This deals with the following: (i) reduced social pressure and environmental degradation; (ii) reduced vulnerability among community members; (iii) number of new secondary developments (markets, shops, lodges, other facilities)
3. Education, Economic Activities and Employment. Deals with the following: (i) Increased literacy levels (ii) Increased number community members with vocational and business skills; (iii) Increased number of schools and teachers in Lumwana area; (iv) Improved sources of livelihood, and; (iv) Increase in economic activities(trade, industry, agriculture).
4. Public Consultation and Communication. This focuses on: (i) number of people with access to information, both local and national; (ii) levels of public consultation regarding developments in Lumwana area, and; (iii) number of public consultation mechanisms established.
5. Land Ownership and Compensation for Loss of Crops & Farmlands. This results area is concerned with: (i) number of people owning land in Lumwana area; (ii) number of people appropriately compensated for loss of land and/or crops, and; (iii) number of people with restored livelihood after loss of land/or crops.
6. Stakeholder Participation & Involvement. This focuses on the following: (i) increased number of NGOs or stakeholders involved in socio and economic development; (ii) number of FBOs, government institutions, private sector and international agencies, external stakeholders involved in small scale projects; (iii) number of stakeholders alligning and harmonizing their small scale projects.
7. Safety and local communities. This is concerned about: (i) reduced number of hazards in Lumwana mine area and the surrounding chiefdoms; (ii) reduced number of accidents in Lumwana mine area and the surrounding chiefdoms; (iii) establishing access to traditional right of way, and; (iv) reduced incidences of crime.
8. Health Care Delivery and HIV/AIDS Prevalence. This deals with: (i) increased number of organizations providing health care services; (ii) increased access to health care delivery (high quality); (iii) increased number of health care facilities in the community; (iv) improved

management of disease burden, and; (v) reduced prevalence of HIV/AIDS and STIs (high level).

9. Sustainability and Local Development: This deals with the following: (i) increased sustainable local development activities, and; (ii) number of stakeholders participating in socio-economic activities.

The SSMP has a results framework whose Key Performance Indicators (KPIs) are tracked every three years, an exercise that is contracted out to external evaluation experts. The baseline was done in 2007 and a follow-up SSMP Social Impact Assessment was undertaken end of 2010 and the report was finalized in June 2011.⁴¹

⁴¹ Social Sustainability Management Plan – Social Impact Assessment, Lumwana Copper Mine, 2011.

Appendix 5: General Framework used for Assessing Implementation Progress in Sustainable Development⁴²

Principle	Criteria
A. Integration of social, economic and environmental priorities	<ul style="list-style-type: none"> a) <i>Integration</i>: with respect to economic, social and environmental analysis in the planning processes, to clarify issues and resolve conflicts between them. b) <i>Social and poverty issues</i>: Strategic planning should integrate poverty eradication, gender issues and long-term and short-term needs of the poor; c) <i>Environmental and resource issues</i>: Strategic planning must integrated sustainable use of resources, control polution and ensure healthy environment d) <i>International commitments</i>: There should be measures in place to ensure compliance with international agreements on social and environmental issues the country has signed.
B. Wide participation of stakeholders in the development process	<ul style="list-style-type: none"> a) <i>Involvement of stakeholders</i>: All key stakeholders must be included in the country's strategic planning process including: government (both central and local authorities); the civil society; the private sector and marginalized groups; b) <i>Transparency and accountability</i>: The management of the country's strategic planning should be transparent with accountability for decisions made; c) <i>Communication and public awareness</i>: Deliberate measures are taken to promote public awareness of development issues and increase participation; d) <i>Long-term vision and consensus</i>: A country strategic planning allows for long-term planning with appropriate short and medium term necessities and wide stakeholder;
C. Country ownership and committment	<ul style="list-style-type: none"> a) <i>High level government committment</i>: The process of developing the national strategic plan is led by government with evidence of high commitment; b) <i>Broad-based political support</i>: The country's strategic planning process has broad-based political support; c) <i>Responsibilities for implementation</i>: Responsibilities for implementing strategies are clearly assigned to bodies that have appropriate authority; d) <i>Co-ordination with donors</i>: The country's strategic planning process is co-ordinated with donor programmes;
D. Comprehensive and coordinated policy process	<ul style="list-style-type: none"> a) <i>Build on existing processes</i>: The country's strategic plan for sustainable development is anchored in existing strategic planning processes, with co-ordination between them and mechanisms to identify and resolve conflicts; b) <i>Analysis and information</i>: Strategic country planning is based on comprehensive reliable information that looks at trends and risks and how these relate to economic, social and environmental conditions; c) <i>Realistic goals</i>: The national strategy should be based on realistic analysis of national resources and capacities in the economic, social and environmental spheres; d) <i>Decentralization</i>: The national strategic planning processes should embrace both national and decentralized levels, with a two-way interaction between them;
E. Targeting, resource and monitoring	<ul style="list-style-type: none"> a) <i>Budgetary provision</i>: The strategic plans should be integrated into national budget process to ensure plans have resources to achieve objectives; b) <i>Capacity for implementation</i>: The national sustainable strategic plan should have realistic mechanisms within it to develop capacity required to implement it; c) <i>Targets and indicators</i>: Targets should be defined for key economic, social and environmental objectives with clear indicators to facilitate their measurement; d) <i>Monitoring and feedback</i>: Systems should be in place for monitoring the implementation of strategies and the achievement of their objectives; for recording results, and reviewing their effectiveness as strategies for sustainable development, with effective mechanisms for feedback and revision with the

⁴² Aleg Cherp et al. 2004

Principle	Criteria
	planning process.