



Humanitarian Aid Decision
F9 (FED9)

Title: Humanitarian aid for vulnerable populations suffering the cumulative effects of drought and HIV/AIDS in Zambia

Location of operation: ZAMBIA

Amount of Decision: EUR 2,200,000

Decision reference number: ECHO/ZMB/EDF/2006/01000

Explanatory Memorandum

1 - Rationale, needs and target population.

1.1. - Rationale :

The general food security situation in Zambia, aggravated by an increased and non-traditional dependence on the monoculture of maize, is rapidly deteriorating following a sharp drop in cereal production as a result of last season's deficient rainfall, compounded by other structural factors such as poor access to inputs and the impact of HIV/AIDS. Zambia is a chronically vulnerable country, 166th out of 177 countries on the HDI scale and 42nd out of 137 countries on DG ECHO's own GINA scale of needs, with a gradually decreasing resource base, and a population of 11.3 million whose life expectancy at birth has fallen to 37.5 years. The population was growing at a rate of about 2.8% a year until 2003, and this rate has fallen to about 1.7% in the last couple of years as the replacement rate falls below the number of – mostly AIDS - deaths. A large proportion (46%) of the population is under 15 years of age. Vulnerability is further exacerbated by the fact that Zambia is land-locked, which increases transport costs of all imports, and by the crippling rates of HIV prevalence of about 18% among women and 13% among men between the ages of 15-49¹, who are normally the most economically productive segments of the population.

¹ UNAIDS, figures for 2003. The Central Statistical Office of Zambia gives overall 2002 prevalence rates of 20.4% for the 25-29 years age group (25.1% for women), and of 25.1% for the 30-34 years age group (29.4% for women)
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Zambia, together with other countries of the southern African sub-region, suffered its last major drought in 2001-2003, which resulted in the near total depletion of the coping mechanisms of the most vulnerable population groups, which have not yet been fully recovered. On the contrary, the effects of the HIV/AIDS pandemic have been felt not only at the level of a reduction in productive labour, but also in the increased burden on surviving family members, who are often sick themselves, struggling to cope as carers as well as breadwinners. Moreover, Corridor disease², which has wiped out many of the cattle – including draught animals – of the poorest farmers who did not have the means to vaccinate their beasts, has further decreased their ability to work the land and thus increased their vulnerability. Indeed, in the semi-arid Southern and Western areas of Zambia, farmers need to work relatively large plots of land in order to hope to obtain a decent crop, a particularly onerous task in the absence of animal traction and readily available water supplies. Furthermore, the reduced access to water, combined with existing poor hygiene practices, is resulting in people using contaminated water, spending more time fetching water and reducing or stopping use of water for sanitation and hygiene purposes. This in turn leads to greater spread of water and sanitation-related disease, such as cholera, which is endemic in Zambia.

A series of dry spells during the 2004/5 growing season and the early cessation of rains, especially in Southern and Western provinces, sharply reduced yields and the production of cereals. The FAO/WFP Crop and Food Supply Assessment estimated the 2005 cereal output at 992.000 tonnes, 28% down from last year's bumper harvest and 16% below the average of the previous five years. The very recent rains have generated some optimism about the next harvest though this is still some months off and will still depend on the rainfall pattern.

The overall prospects for the off-season crops (mainly wheat planted in June-July for harvest in November-December) are not good due to low soil moisture conditions and lack of quality seeds. Because much of the agricultural production is for household subsistence, many households, mainly in the southern half of Zambia, have become increasingly vulnerable during the hunger season. Reduced supply on the market is also the cause of the increased price of maize (more than 50% higher in the last quarter of 2005 than in the same period of 2004). Prices are increasing, even against a strengthening of the kwacha, which places access to food even further out of the reach of the most vulnerable households, many of whom are already affected and weakened by HIV and AIDS, and who often have to choose between buying food and buying medicines.

Though there is broad agreement on the affected areas, the estimates of the numbers facing food shortages during the hunger season vary from 1.4 million (WFP) to 1.7 million (Government of Zambia) to 2.1 million (independent assessment carried out by a consortium of international NGOs). Even the lower figure, however, represents 12.4% of the population, and dispels any doubt about the high level of food insecurity in Zambia. The Government declared a state of national disaster in November 2005, and banned the export of locally-produced maize in order to shore up local supply. The World Food Programme did not launch an emergency appeal for Zambia, but decided instead to expand the on-going Regional Protracted Relief and Recovery Operation (PRRO)³ started in July 2005 to US\$185 million. New donor contributions were announced in cash from DfID (US \$7 million), the EC (EUR550.000) and in kind from the USA (94.000 MT, worth US\$63 million), through WFP.

² Theileriosis, a parasitic infection affecting cattle, enzootic in areas of east and southern Africa

³ Covering Lesotho, Malawi, Mozambique, Swaziland, Zambia and Zimbabwe
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1.2. - Identified needs :

A DG ECHO field assessment mission in January 2006 found that the food insecurity situation in Zambia is particularly worrying in the southern and western regions, which have a combined population of about 2.62 million people, or 20% of the population, of whom upwards of 350.000 are likely to be suffering from HIV/AIDS. Many tens of thousands more are experiencing the knock-on effects of the disease. Though real and undoubtedly at emergency levels, this food insecurity is structural and chronic, and can be properly tackled only by longer term programmes with a holistic, multi-sectoral approach. The Government needs to take this longer-term approach, and see – and tackle – the food security problem from this perspective and not just as a series of humanitarian crises. Indeed, the realisation that such an approach is necessary has come only gradually and recently to a country whose post-independence economy was based almost exclusively on the mining of raw materials, overwhelmingly copper. The National Agricultural Policy paper (2001-2010) was approved only in November 2004, and donors (including the EC) have been encouraging the Government to include reference to the development of a national food security strategy – and the long-term vision which is required for the sector – in the yet-to-be approved 5th National Development Plan.

DG ECHO can, however, contribute to mitigating the additional effects of the drought on the most vulnerable population groups already suffering from or affected by HIV/AIDS in order to save lives and prevent a further deterioration of the situation, specifically by supporting nutritional interventions and those to re-establish livelihoods. Emergency water and sanitation interventions could also be considered in order to enhance nutritional status, prevent disease, improve physical access to safe water and environmental sanitation conditions. Such interventions provide a response to the immediate impact of the drought on health, whilst also laying the basis for long term solutions by increasing awareness of safer hygiene practices and providing community training for maintenance and management of water supply facilities.

1.3. - Target population and regions concerned :

This decision will support interventions targeted at the most vulnerable population groups, mainly in the Southern and Western regions of Zambia affected by the drought. The area around Livingstone is of particular concern. DG ECHO-funded interventions are specifically aimed at preventing a further deterioration of the humanitarian situation of the most vulnerable groups, including child-, and grandparent-headed households. In view of the high percentage of children under 5 estimated to be at risk, it is fair to say that children will be the major beneficiaries of this decision.

1.4. - Risk assessment and possible constraints :

Humanitarian interventions in Zambia generally do not encounter risks due to problems of security or access, though some roads may be impassable in January-March if there are heavy rains. An indirect constraint to tackling food shortages, though not directly affecting the type of intervention which DG-ECHO seeks to fund, is the Government's ban on the import of genetically modified maize. Though a fully legitimate decision, this has in the past aggravated food aid logistics.

2 - Objectives and components of the humanitarian intervention proposed :⁴

2.1. - Objectives :

Principal objective:

To mitigate the effects of drought and HIV/AIDS on vulnerable populations in Zambia

Specific objective(s):

To boost the nutritional status and livelihoods of the most vulnerable, and prevent water-borne diseases, by supporting nutritional, livestock and emergency water and sanitation interventions

2.2. - Components :

Nutritional interventions will particularly focus on supporting a more robust mobile outreach assessment programme for malnutrition in order to obtain a better picture of the scale of the problem. Though signs of malnutrition are clearly on the increase, it is thought that much malnutrition is still hidden as rural populations have difficulty in accessing health clinics. Such a programme will contribute to the EC's understanding of the situation, and inform the design of longer-term programmes. As far as boosting livelihoods are concerned, DG-ECHO funded interventions could include the carefully-targeted provision of draught animals in order to alleviate the workload for farming communities severely weakened by HIV/AIDS, as well as vaccination against Corridor disease. Such livelihoods interventions would complement the Government's vaccination and animal replacement programme by targeting the most vulnerable who have no economic access to it. In addition, inputs for small-scale irrigation could be provided, such as lightweight treadle pumps adapted to facilitate planting and harvesting by households whose productive capacity is weakened by HIV/AIDS. Water and sanitation interventions will particularly focus on the rehabilitation of existing water points and latrines in areas which have seen no investment in this type of activity over the last few years, and on chlorination and hygiene activities, including training in the use and maintenance of same. In cases where existing water points have dried up, are beyond repair or are too far away for local populations to reasonably obtain their supply (including for their animals), the creation of new water points – such as the drilling of boreholes – may be considered after due examination of the environmental impact.

These activities are essential to monitor and better understand the nutritional situation of the affected populations, prevent a deterioration of their livelihoods, nutritional and health status and to prevent the spread of water-borne diseases.

In view of the heavy burden of HIV/AIDS in the targeted areas, all interventions will include a component of HIV/AIDS awareness and prevention activities, particularly the distribution of condoms.

4 Humanitarian aid operations funded by the Commission are implemented by NGOs and the Red Cross organisations on the basis of Framework Partnership Agreements (FPA) (in conformity with Article 163 of the Implementing Rules of the Financial Regulation) and by United Nations agencies based on the Financial and Administrative Framework Agreement (FAFA). The standards and criteria established in Echo's standard Framework Partnership Agreement to which NGO's and International organisations have to adhere and the procedures and criteria needed to become a partner may be found at http://europa.eu.int/comm/echo/partners/index_en.htm

3 - Duration expected for actions in the proposed Decision

The duration for the implementation of this Decision shall be 12 months. Humanitarian operations funded by this decision must be implemented within this period.

Expenditure under this Decision shall be eligible from 01 March 2006. This start date will allow Partners sufficient time to properly prepare their funding requests and interventions. The 12-month duration of the decision will allow the Delegation sufficient time to prepare a longer-term programme to build on this one.

Start Date : 01 March 2006

If the implementation of the actions envisaged in this Decision is suspended due to *force majeure* or any comparable circumstance, the period of suspension will not be taken into account for the calculation of the duration of the humanitarian aid operations.

Depending on the evolution of the situation in the field, the Commission reserves the right to terminate the agreements signed with the implementing humanitarian organisations where the suspension of activities is for a period of more than one third of the total planned duration of the action. In this respect, the procedure established in the general conditions of the specific agreement will be applied.

4 - Previous interventions/Decisions of the Commission within the context of the current crisis

The European Commission is managing a substantial programme of funding transport infrastructure, and institutional development and capacity building (including macro-economic support) in Zambia from the 9th EDF (EUR351 million, “A” and “B” envelopes combined for 2002-2007). In the absence of an adequate sector policy at the time, and in view of the dominant role given to private enterprise for the development of the sector, no funding for agricultural interventions was foreseen in the National Indicative Programme for the 9th EDF (Country Strategy), neither was any funding foreseen from the Food Security Budget Line. The decision was taken at the Mid-Term Review to start to address this lacuna, and EUR15 million was earmarked from EDF funds for food security interventions within the framework of the current capacity building and institutional development programme. It is expected that part of this sum will fund a longer-term structural intervention to follow on from and expand on DG ECHO-funded interventions within the context of the LRRD process.

DG-ECHO last funded emergency food security interventions in Zambia in the context of the last drought, for which interventions ended in mid-2004. Since then, DG ECHO has funded interventions in the framework of the repatriation of Angolan refugees until the end of 2005.

List of previous DG ECHO operations in ZAMBIA

		2004	2005	2006
		EUR	EUR	EUR
Decision Number	Decision Type			
ECHO/ZMB/EDF/2004/01000	Non Emergency	2,000,000		
ECHO/ZMB/EDF/2005/01000	Non Emergency		3,500,000	
	Subtotal	2,000,000	3,500,000	0
	Grand Total	5,500,000		

Dated : 24/01/2006

5 - Other donors and donor co-ordination mechanisms.

There is close coordination among the EU Member States present in Zambia (Sweden, Germany, Denmark, Finland, France, Ireland, the Netherlands and the UK). The EU (EC and MS) is by far the biggest donor.

The European Commission's Humanitarian Aid Directorate General (DG ECHO) works in close cooperation with other Commission services and coordinates its activities with the EC Delegation in Lusaka.

Donors in ZAMBIA the last 12 months					
1. EU Members States (*)		2. European Commission		3. Others	
	EUR		EUR		EUR
Austria		ECHO	3,500,000		
Belgium		Other services			
Cyprus					
Czech republic					
Denmark					
Estonia					
Finland					
France					
Germany	1,350,000				
Greece					
Hungary					
Ireland					
Italy					
Latvia					
Lithuania					
Luxemburg					
Malta					
Netherlands					
Poland					
Portugal					
Slovakia					
Slovenie					
Spain					
Sweden	4,799,234				
United kingdom					
Subtotal	6,149,234	Subtotal	3,500,000	Subtotal	0
		Grand total	9,649,234		

Dated : 24/01/2006

(*) Source : ECHO 14 Points reporting for Members States. <https://hac.cec.eu.int>
Empty cells means either no information is available or no contribution.

6 - Amount of decision and distribution by specific objective(s) :

6.1. – Total amount of the decision : EUR2,200,000.

6.2. - Budget breakdown by specific objectives

Principal objective: <i>To mitigate the effects of drought and HIV/AIDS on vulnerable populations in Zambia</i>				
Specific objectives	Allocated amount by specific objective (EUR)	Geographical area of operation	Activities	Potential partners⁵
Specific objective 1: To boost the nutritional status and livelihoods of the most vulnerable, and prevent water-borne diseases, by supporting nutritional, livestock and emergency water and sanitation interventions	2,200,000	Southern and western areas of Zambia	Nutrition : mobile outreach assessment programme ; Livelihoods : vaccination of cattle against Corridor disease ; the carefully-targeted replacement of draught cattle ; the provision of small irrigation inputs, such as lightweight treadle pumps ; Water/sanitation : Rehabilitation of existing boreholes, water tanks, shallow wells, etc. ; Rehabilitation or construction of latrines, hand washing and laundry facilities for households, communities, schools and health centres ; where strictly necessary, drilling of new boreholes after environmental analysis ; chlorination of water sources ; distribution of soap, water purification tablets and other hygiene items ; public health and hygiene education ; training in the management and maintenance of water points.	- CARE - AUT - OXFAM - UK - UN - FAO-I - WORLD VISION - UK
TOTAL:	2,200,000			

⁵ CARE OESTERREICH - VEREIN FÜR ENTWICKLUNGSZUSAMMENARBEIT UND HUMANITÄRE HILFE, OXFAM (GB), UNITED NATIONS - FOOD AND AGRICULTURE ORGANIZATION, WORLD VISION - UK

7 - Evaluation

Under article 18 of Council Regulation (EC) No.1257/96 of 20 June 1996 concerning humanitarian aid the Commission is required to "regularly assess humanitarian aid operations financed by the Community in order to establish whether they have achieved their objectives and to produce guidelines for improving the effectiveness of subsequent operations." These evaluations are structured and organised in overarching and cross cutting issues forming part of ECHO's Annual Strategy such as child-related issues, the security of relief workers, respect for human rights, gender. Each year, an indicative Evaluation Programme is established after a consultative process. This programme is flexible and can be adapted to include evaluations not foreseen in the initial programme, in response to particular events or changing circumstances. More information can be obtained at:

http://europa.eu.int/comm/echo/evaluation/index_en.htm.

COMMISSION DECISION
of
on the financing of humanitarian operations from the 9th European Development Fund
in
ZAMBIA

THE COMMISSION OF THE EUROPEAN COMMUNITIES,

Having regard to the Treaty establishing the European Community,
Having regard to the ACP-EC Partnership Agreement signed in Cotonou on 23 June 2000, in particular Article 72 thereof,

Having regard to the Internal Agreement of 18 September 2000 on the Financing and Administration of the Community Aid under the Financial Protocol to the Partnership Agreement between the African, Caribbean and Pacific States and the European Community and its Member States signed in Cotonou (Benin) on 23 June 2000, in particular Articles 24.3.a and 25.1 thereof,

Whereas:

- (1) There has been a prolonged drought in Zambia since 2004, with areas in the south and western parts of the country most affected;
- (2) More than 1.400.000 people are said to be in a situation of extreme food and livelihood insecurity, having completely depleted their coping mechanisms;
- (3) The vulnerability of the poorest segments of the population is exacerbated by HIV/AIDS, water-borne diseases such as cholera, which is endemic in Zambia, and enzootic Corridor disease, which has decimated cattle in the south of the country;
- (4) An assessment of the humanitarian situation leads to the conclusion that a humanitarian aid operation should be financed by the Community for a period of 12 months.
- (5) It is estimated that an amount of EUR 2,200,000 from the 9th European Development Fund, representing less than 25% of the National Indicative Programme, is necessary to provide humanitarian assistance to populations affected by HIV/AIDS who are experiencing the additional effects of drought.
- (6) The Commission has informed the EDF Committee on 21 February 2006.

HAS DECIDED AS FOLLOWS:

Article 1

1. In accordance with the objectives and general principles of humanitarian aid, the Commission hereby approves a total amount of EUR 2,200,000 from the 9th European Development Fund for humanitarian aid operations to assist vulnerable people directly affected by the drought in ZAMBIA.

2. In accordance with Article 72 of the ACP-EC Partnership Agreement, the humanitarian operations shall be implemented in the pursuance of the following specific objective:

To boost the nutritional status and livelihoods of the most vulnerable, and prevent water-borne diseases, by supporting nutritional, livestock and emergency water and sanitation interventions

The total amount of this decision is allocated to this objective.

Article 2

1. The implementation of humanitarian aid operations funded by this Decision shall have a maximum duration of 12 months from 1 March 2006.
2. Expenditure under this Decision is eligible from 1 March 2006.
3. If the operations envisaged in this Decision are suspended due to *force majeure* or comparable circumstances, the period of suspension will not be taken into account for the calculation of the duration of the humanitarian aid operations.

Article 3

The decision shall take effect on the date of its adoption.

Done at Brussels,

For the Commission

Member of the Commission