



REPUBLIC OF ZAMBIA
MINISTRY OF FINANCE AND NATIONAL PLANNING



PUBLIC INVESTMENT MANAGEMENT GUIDELINES

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PUBLIC INVESTMENT MANAGEMENT GUIDELINES

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Government is cognisant of the critical role of public investment as a driver for economic development and growth. It is in this regard, that Government policy as part of the reforms to strengthen public financial management is emphasising on prudent use of public resources and promotion of accountability and transparency. Efficiency in the delivery of public investment projects will ensure that projects are delivered at the lowest possible cost and that benefits are maximised from the available resources. This is also in line with the call for the delivery of public goods to be done at the right price, right quality and in a timely manner. To this effect and to ensure efficiency in the development and sustainability in the delivery of these projects with the limited resources, Government has provided a legal and policy framework to support effective and efficient public investment management.

The National Planning and Budgeting Act No. 1 of 2020 provides for among others, the appraising of projects before inclusion into the national budget, medium-term expenditure framework and national development plan. This has been done in an effort to further enhance efficiency in the management of public investments and ensure effective utilisation of public resources. It should therefore, be emphasised that all public investments developed by MPSAs (regardless of the source

of funds) will be financed only if the projects have been appraised as required by law. Therefore, appraising of the projects will be a continuous process.

The enactment of the National Planning and Budgeting Act No. 1 of 2020 has necessitated the revision of the Public Investment Management guidelines issued in 2019 under Cabinet circular no. 16. These guidelines, therefore, provide an institutional framework, standardised processes and procedures to assist Ministries, Provinces and Spending Agencies and other stakeholders, in the development, appraisal and implementation of public investment projects. This is critical to support optimisation of the use of public resources and achieve value for money thereby contributing to economic transformation and development.

I, wish to reiterate and urge all Government officials and other stakeholders involved in the development and implementation of public investment projects to adhere to the provisions of law as espoused in these guidelines as only those projects that will be developed in line with these guidelines shall be considered for approval for financing.



Mr Felix Nkulukusa
SECRETARY TO THE TREASURY

November, 2022



Acknowledgement



The Public Investment Management Guidelines is a critical tool that operationalises the National Planning and Budgeting legal framework. The revision of the 2019 guidelines has been done through a consultative process to ensure the new guidelines are aligned to the provisions of the National Planning and Budgeting Act No. 1 of 2020. The consultations with various stakeholders both internal and external was with the aim to provide effective guidance in the development and implementation of impactful public investment projects. The contribution of the various stakeholders to the finalisation of these robust and comprehensive guidelines cannot be overemphasized.

The Ministry in this regard, wishes to extend gratitude to the various stakeholders, including development partners for their invaluable financial and technical support that made this task a success. Lastly, I want to commend officers in the Ministry of Finance and National Planning particularly the Public Investment Planning Directorate for spearheading and coordinating the process of revising the 2019 version and formulating these guidelines with a lot of commitment.

A handwritten signature in black ink, appearing to read 'T. Kaunda', written over a light blue rectangular background.

Mr. Trevor Kaunda

PERMANENT SECRETARY-DEVELOPMENT PLANNING DIVISION

November, 2022

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Abbreviations and Acronyms

EIA	Environmental Impact Assessment
FS	Feasibility Study
M&E	Monitoring and Evaluation
MoFNP	Ministry of Finance and National Planning
MPSAs	Ministries, Provinces and Spending Agencies
MTBP	Medium-Term Budget Plan
NDP	National Development Plan
PCN	Project Concept Note
PMT	Project Management Team
PFS	Pre-Feasibility Study
PIPD	Public Investment Planning Department
PIM	Public Investment Management
PIMS	Public Investment Management System
PIP	Public Investment Plan
PPP	Public-Private Partnership
ZEMA	Zambia Environmental Management Agency

Definitions

Bottom-up approach:	means an approach that defines projects in response to shareholders need through stakeholder consultations.
Complex projects:	projects with multiple components or projects that require complex institutional coordination or projects for which the responsible Ministry, Province or Spending Agency does not have adequate experience in implementing, such as projects which may be considered for implementation using the PPP modality.
Cost Benefit Analysis:	the methodology for appraising financial and economic value of investing in a project that gives an indication of whether the project will result in a net positive impact on society in both financial and economic terms. The CBA is the main method used to assess a project's viability.
Cost Effectiveness Analysis:	the methodology for appraising the viability of projects by assessing relative costs and outcomes of alternative interventions to determine the least cost option of delivering the project outcome. This method is used mostly when benefits cannot be monetised.
Development Planning:	means an integrated, multi-sectoral process through which governmental institutions streamline social, economic and spatial growth by setting economic developmental goals and how to achieve them.



Environmental Impact Assessment:	means a systematic examination conducted to determine whether or not an activity or a project has or will have any adverse impacts on the environment.
Financing Modality:	preferred mechanism of raising funds for a project including budgetary funds, private sector participation or purely private sector funding.
Impact Evaluation:	a systematic and objective assessment of an ongoing or completed policy, programme or project in terms of design, implementation and results achieved against set targets.
Impact:	long term outcome of policy, programme or project that can be directly or indirectly attributed to the policy, programme or project.
Inputs:	resources used in the implementation of a project which may include financial, and human resources, time and other materials.
Logical Framework Analysis:	is a project planning approach that analyses incremental causal relations in project execution including risks and assumptions.
Logical Framework Matrix:	a systematic tool for designing, planning, implementing and monitoring and evaluating of a project or a programme.
Outcome:	a medium-term change or effect resulting from the implementation of a policy, programme or project.

Output:	the products, goods or services which result from the implementation of a policy, programme or project.
Procurement:	means acquisition by purchase, rental, lease, hire purchase, licence, tenancy, franchise or any combination thereof as defined in the Public Procurement Act.
Procuring entity:	a government agency or parastatal body carrying out procurement using public funds or any other funds / any other body or unit established or mandated by government to carry out procurement using public funds.
Programme:	a group of related projects managed in a coordinated way with the aim of achieving a specific objective within a stipulated timeframe and budget.
Project appraisal:	means a systematic assessment of a project's viability/ability to meet its objective through an examination of its financial, economic, social, environmental, technical and other aspects.
Project Sponsor:	a department, institution or agency which is initiating, developing and will implement the project.
Project:	a set of well-planned and interrelated activities aimed at achieving a specific objective within a stipulated timeframe and budget.



Public Entity:	an organisation or body providing services to the public on behalf of the government or another public entity.
Public Investment Management System:	a system that includes policies, institutional arrangements, processes and tools to facilitate the identification, development and implementation of viable public investment projects to ensure effective utilisation of public resources and attainment of value for money.
Public Investment Plan:	plan indicating public investment projects that have been appraised and approved for implementation by Cabinet.
Public Investment:	Government spending to acquire or establish assets for purposes of enhancing production and/or delivery of public goods and services.
Public-Private Partnership:	has the same meaning as assigned in the relevant Public Private Partnerships legislation.
Top-down approach:	means a project implementation approach that identifies projects in response to policy objectives highlighted in National development agenda or policy documents
Value for money:	means utility derived from every purchase or every sum of money spent in terms of (cost minimization), efficiency (output maximization) and effectiveness (full attainment of the intended results.

EXECUTIVE SUMMARY

In 2014, the Government approved the National Planning and Budgeting Policy in order to provide for a coordinated and integrated planning and budgeting process that is responsive, transparent, accountable and result oriented. One of the key measures to achieve this, as stipulated in the policy, is to have all major projects appraised before inclusion in the national development plan or national budget. To strengthen the policy framework, the National Planning and Budgeting Act was enacted in 2020 which has made the appraisal of projects and programmes mandatory. The appraisal of projects is critical for effective investments planning, ensuring that projects are appropriately costed and implemented in a manner that achieves value for money.

The Public Investment Management (PIM) Guidelines are, therefore, issued in accordance with Section 24 (2) of the National Planning and Budget Act of no. 1 of 2020, in order to provide a framework for facilitating an effective and efficient Public Investment Management System (PIMS) that ensures coordinated management of public investments. The Guidelines provide the coverage, tools, methodologies and institutional arrangements of the PIMS to ensure an integrated framework governing the preparation, appraisal, selection and implementation of public investment projects.

The guidelines are, applicable to all public investment projects that will be undertaken with financing from public resources as well as projects that have an implication of imposing a capital or recurrent expenditure on the Government, for instance those that are guaranteed by Government. In this regard and in accordance with these guidelines, all Ministries, Provinces and other Spending Agencies (MPSAs) are required to initiate



projects whose objectives, outputs and indicators are in line with Government policy as stipulated in the National Development, Sectoral, Provincial and District Development Plans. The identified projects will undergo a systematic development process that will ensure that projects are comprehensively conceptualised, designed and costed over the entire project lifecycle as well as evaluated for their technical, financial and socio-economic effectiveness.

MPSAs are in this regard, required to formulate Project Concept Notes, undertake Pre-Feasibility Studies and Feasibility Studies, as the case may be, and submit these project documents to the Ministry of Finance and National Planning (MoFNP) for appraisal. The project documents to be developed will be determined by the cost of the project as stipulated by the Project/Programme Thresholds provided in these PIM Guidelines. The Ministry responsible for Finance and National Planning will facilitate the technical assessment and appraisal of projects submitted by the various MPSAs to demonstrate financial viability, positive socio-economic returns, appropriateness of the technical solution, cost effectiveness, compliance with environmental, legal, and other legislative requirements coupled with the ability to manage risks. Projects that satisfy these criteria will be considered for inclusion in the Public Investment Plan (PIP) to be submitted for approval by Cabinet. Only projects contained in the approved PIP shall be considered for implementation by Government using public resources or any other mode of financing.

1. INTRODUCTION AND BACKGROUND

Effective public investment is key in facilitating economic growth, job creation, enhanced service delivery, as well as, the attainment of the objectives as set out in the national development agenda. Further, public investments provide the positive effect of lowering the cost of doing business thereby contributing to economic development. Nonetheless, positive contribution to economic growth depends on the effective assessment of public investments taking into account government's ability to deliver projects on time, within budget and to the right specifications.

An efficient public investment management framework is a cornerstone for effective project management. Critical to this, is the methodological guidance on undertaking public investments efficiently, as it forms a basis for consistent and comprehensive project appraisal.

An assessment of public investments in Zambia, revealed deficiencies in the management of public investments. These deficiencies manifested in form of weak linkages between project planning and the budgeting process, and limited or inadequate integration and coordination between different levels of government. This has resulted in delays in implementation and completion of projects coupled with significant cost overruns or even under-execution of capital projects among others.

To address these challenges, the Public Investment Management System (PIMS) has been developed, as part of the broader Public Financial Management Reforms by Government. The reforms are aimed at enhancing public service delivery and efficient management of public resources. These Guidelines, therefore, are a key element in



institutionalising the PIMS and to provide standard processes for project identification, appraisal, selection, budgeting, monitoring and evaluation as well as reporting. These guidelines will, however, be regularly updated to take in to account emerging issues or dynamics in Public Investment Management.

1.1. Purpose

The purpose of these guidelines is to provide a framework for an efficient and effective PIMS that governs development, appraisal, selection, implementation, monitoring and evaluation of public investment projects in order to optimise the use of public resources and achieve sustainability and ensure value for money.

1.2. Objectives

The three main objectives of these guidelines are to:

1. Provide a standardised approach for public investment management to facilitate and streamline development and appraisal of projects to be financed using public resources;
2. Provide an institutional framework that defines and clarifies roles and responsibilities of various institutions involved in the management of public investments; and
3. Ensure the implementation of viable projects:
 - a. that are aligned to national objectives and priorities and can be implemented in a cost-effective manner;
 - b. that meet the required technical, socio-economic and environmental criteria for allocation of public resources; and
 - c. where significant project risks have been identified and mitigation measures have been provided.

1.3. Authorisation

1. The National Planning and Budgeting Act No. 1 of 2020, Section 24, requires the Ministry responsible for finance and development planning to appraise major projects and programmes before being included in a national development and medium-term budget plans, and national budget.
2. These guidelines are issued in line with section 24 (2) of the National Planning and Budgeting Act No. 1 of 2020, which empowers “the Minister responsible for finance and development planning to issue guidelines for appraisal of major projects and programmes”, therefore, it is a requirement that all stakeholders involved in the development and implementation of public investment projects comply with the PIM guidelines.

1.4. Structure of the Guidelines

The PIM guidelines are structured as follows: section 1 outlines the background, purpose, objectives and authorisation of the PIM guidelines while section 2 is the scope and exemption of the guidelines. The linkage between National Development Plans and project development and implementation are highlighted in section 3. Section 4 outlines project categorisation and aggregations and section 5 discusses the public investment management process. Section 6 outlines the institutional set-up of the PIMS while section 7 discusses the PIMIS and the Project Development Calendar.



Box 1: RELEVANT LEGISLATIONS AND POLICY CONTEXT OF PUBLIC INVESTMENT MANAGEMENT

NATIONAL PLANNING AND BUDGETING ACT NO.1 OF 2020

Section 24 provides as follows:

The ministries responsible for development planning and budget shall appraise a major project and programme required to be appraised before being included in a national development plan, national budget and medium term budget plan. The Minister shall issue guidelines for the appraisal of major projects and programmes.

The ministry responsible for development planning shall publish in the Gazette a schedule of approved appraised projects

Section 25 (3) states that:

“A controlling officer of a ministry shall, every five years, after consultation with the relevant Cluster Advisory Group, prepare and submit to the ministry responsible for development planning, an Investment Plan in the prescribed manner and form.”

Section 29 states that:

“The Minister, in consultation with the minister responsible for finance and the Secretary to the Treasury shall, on or before the last Friday of May of each year, table before the National Assembly the annual assessment of the National Development Plan. [2] An annual assessment shall consider—

(a) capital investment projects with particular focus on the physical execution of a project in relation to the expenditure incurred and the time remaining to complete the project;”

Section 52 provides as follows:

The Minister may, in consultation with the minister responsible for finance, by statutory instrument, make regulations for the better carrying out of this Act.

Without prejudice to the generality of subsection (1) regulations made under that subsection may provide for—

- (c) the manner and form of an Investment Plan;
- (d) carrying out a project appraisal in accordance with this Act;

THE PUBLIC FINANCE MANAGEMENT ACT NO. 1 OF 2018

Section 5(1) (k) on the functions of the Treasury states that:

“the Treasury shall formulate and coordinate public investment policy;” Section 28 (4) on the application of general revenues:

“A controlling officer shall invest public funds, subject to the approval of the Secretary to the Treasury, except that the details of investments made from public funds shall be copied to the Auditor General.”

PUBLIC DEBT MANAGEMENT ACT NO. 15 OF 2022

Section 12 (1) States that:

“the Minister may raise a loan under section 11 to –

- (b) finance strategic national projects identified in accordance with the National Planning and Budgeting Act No. 1 of 2020

Section 31 (4) states that:

“The Minister shall not issue a guarantee under this section unless the –

- (b) purpose of the loan for which the guarantee is required is for a project under a National Development Plan formulated in accordance with the National Planning and Budgeting Act, No. 1 of 2020”

PUBLIC PRIVATE PARTNERSHIP ACT NO. 14 OF 2009

Section 2 Provides that:

“This Act applies to infrastructure projects and facilities, and the provision of social sector services as may be prescribed by the Minister, implemented through the Public-Private Partnership Unit.”



Section 5(f) (i) and (ii) provides that:

“The functions of the Unit are to, receive and make an assessment of any proposed project submitted to it and give its recommendations to the contracting authority as to whether the project or facility—

- (i) is affordable to a contracting authority;
- (ii) provides value for money;

ZAMBIA PUBLIC PROCUREMENT ACT NO. 8 OF 2020

Section 57 states that:

(5) A procuring entity may prepare a multi-year procurement plan in the prescribed format which shall be consistent with the medium term budgetary expenditure framework for projects or contracts that go beyond one year as provided under the National Planning and Budgeting Act, No. 1 of 2020.

Section 53 provides that:

(1) The Authority shall, adapt procurement procedures, specifications and contract packaging for purposes of project sustainability or achieve certain specific social objectives of the project, where it is desirable in selected project components to—

- (a) call for participation of local communities and nongovernmental organisations;
- (b) increase the utilisation of local know how and materials; and
- (c) employ labour intensive and other appropriate technologies.

2. SCOPE AND EXEMPTIONS OF THE PIM GUIDELINES

2.1. Scope/Coverage

These guidelines and procedures shall apply to all Ministries, Provinces and Spending Agencies (MPSAs) when planning and implementing public investments financed through:

- a. **The National Budget;**
- b. **Public entities:**
 - i. seeking Government guarantees, within the meaning of legislation governing public debt; or
 - ii. the undertaking of any other commitments that constitute liabilities to the budget.
- c. Public investment projects whether wholly or partially funded through public finances, irrespective of the source;
- d. Development partner funded projects which also require some funding for capital and/or recurrent expenditure from the national budget; and
- e. Projects considered for implementation through Public Private Partnership arrangements, in so far as the guidelines are not in contradiction with the provisions of the relevant laws.

2.2. Exemptions

The following are exempted from the provisions of these Guidelines:

- a. Projects of the Defence and Security that are of a national security nature; and
- b. Projects undertaken as a response to a national emergency and natural or man-made disaster.



3. LINKAGE OF NATIONAL DEVELOPMENT PLANS WITH PROJECT DEVELOPMENT AND IMPLEMENTATION

1. The National Planning and Budgeting Act No.1 of 2020 and the National Planning and Budgeting Policy of 2014 emphasize on the coordination of national development planning and budgeting processes. These PIM Guidelines have, therefore, been developed to enhance the integration and coherence of public investment project planning and appraisal with the budget process and overall development agenda into a unified framework for effective implementation. This is critical to support decision making and ensure derivation of value for money through optimal use of public resources that will contribute to enhanced public financial management for effective and efficient service delivery.
2. Project development is a critical process of preparing and allocating resources to a project from concept to the point of being actualized. It is critical for MPSAs to take cognisance of the goals, timelines, inputs and resource requirements of a project, throughout the project development phase and ensuring they are line with the development agenda. It is in this regard that in order to have effective and standardised processes in public investment management, all MPSAs are required to develop projects with objectives, outputs and indicators that are in line with the following:
 - a. National Development Plans;
 - b. Sectoral plans;
 - c. Provincial and District Development Plans; and
 - d. Any other Policy Directives.

- 3 If any project is not aligned with the above requirements it should not proceed for further development.
- 4 Project implementation is a critical phase that directly relates to managing a project to ensure it meets the objectives outlined in the planning (development) phase. For projects that have adhered to the requirements in 3(2) above, MPSAs shall be required to undertake further development and appraisal to demonstrate:
 - a. Appropriateness of technical solution;
 - b. Cost effectiveness;
 - c. Financial viability;
 - d. Positive socio-economic returns;
 - e. Compliance with environmental, legal, and other legislative requirements; and
 - f. Ability to manage risks.
- 5 The projects that satisfy the above criteria will be considered for inclusion in the Public Investment Plan (PIP). The PIP is a plan indicating all public investment projects that will be approved by Cabinet for implementation. All the projects in the PIP will have to be linked to the National Development Plan (NDP) and other relevant plans. Only projects that are contained in the PIP shall be considered for implementation through the national budget or any other available financing options.



4. PROJECT CATEGORISATION AND AGGREGATION

4.1. Project categorisation

1. Public investment projects shall be classified into three categories based on the estimated capital expenditure to enhance effective development and implementation of public investment projects.
2. These classifications will determine the specific processes and procedures that a project shall follow to be approved for implementation. These are as follows: -
 - i. **Category I: K2.0 million to less than K10.0 million.**
 - For these projects only a Project Concept Note (PCN) shall be prepared.
 - Project concept notes shall be submitted to the Ministry responsible for finance and national planning for assessment and possible inclusion into the Public Investment Plan (PIP).
 - ii. **Category II: K10 million and K100 million.**
 - A PCN and Pre-Feasibility Study (PFS) shall be prepared for projects in this category. The PCN and PFS shall be submitted to the ministry responsible for finance and national planning for consideration and possible inclusion into the PIP.
 - For a project in this category which shall be deemed a complex project, a Feasibility Study (FS) shall be undertaken.
 - iii. **Category III: above K100 million.**
 - For these projects, a PCN, PFS, and Feasibility Study (FS) shall be prepared and submitted to the Ministry responsible for finance and national planning for consideration and possible inclusion into the PIP.

4.2. Aggregation of projects

1. Where deemed necessary, the ministry responsible for finance and national planning may advise to consolidate a number of individual projects into a single project for them to be viable. Projects may be aggregated based on linkages relating outcomes, outputs and activities. For example, in order to increase access to education in a particular area, Government may need to concurrently implement the construction of a school project together with an access road and provision of electricity and water. The aggregated projects will be classified, based on aggregated costs and prepared as prescribed under the categories outlined above.

4.3. Other Projects

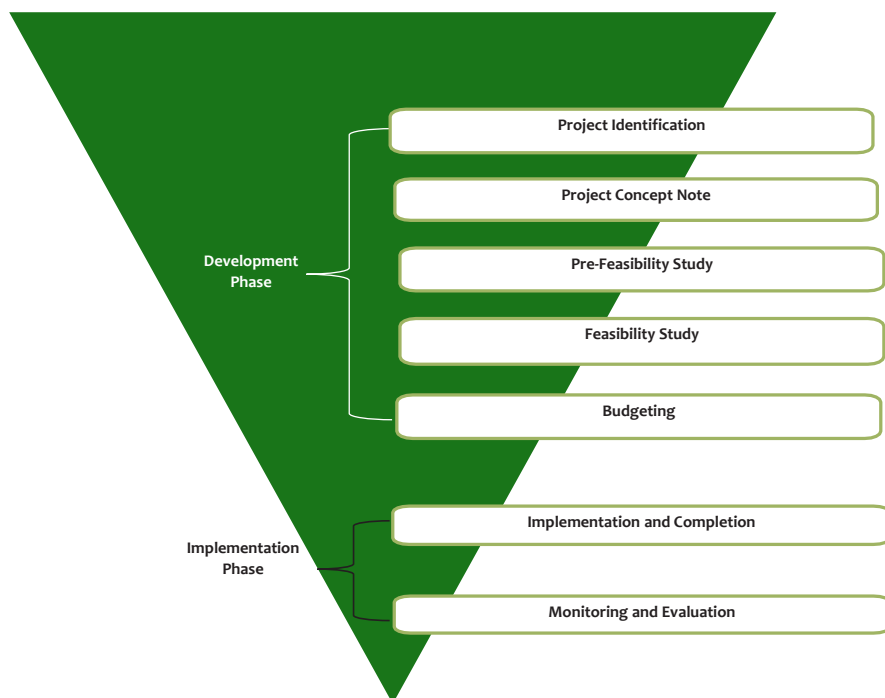
Projects falling below or outside Category I of these guidelines shall be identified, developed and documented using the PCN structure and shall be approved for implementation by the controlling officer after internal appraisal by the department responsible for planning in the MPSA. By September of each year, the controlling officer of an MPSA shall submit to the Ministry responsible for finance and planning all other public investment projects appraised and approved by the MPSA in that year for assessment and possible inclusion in the PIP.



5. PUBLIC INVESTMENT MANAGEMENT CYCLE

1. The Public Investment Management Cycle comprises of seven distinct stages within the project lifecycle from development to implementation phase (see figure 1). The project life cycle, which is also known as project management life cycle, refers to all the phases and the list of actions necessary to successfully fulfil all of the project goals and objectives. The cycle has two distinct phases, namely; the project development phase (from inception) and the project implementation phase (execution).

Figure 1. Project Life Cycle



5.1. The Project Development Phase

1. The project development phase consists of five distinct stages; Project identification, Concept Note development, Pre-Feasibility Study (including pre-appraisal), Feasibility Study (including appraisal) and Budgeting (selection for budgeting).

5.1.1. Project Identification

1. Project identification is the process through which a project idea is conceived aimed at addressing an identified problem or achieving an objective in the District, Provincial, Sectoral, and the National Development Plans and other policy directives. Project identification should be through stakeholder consultation process using a top-down or bottom-up¹ approach process. The project identification process involves undertaking a situation analysis to develop a preliminary proposal for the most appropriate set of interventions and course of actions. It is from these interventions that a project is developed. In practice, project ideas often result from the following:
 - Targets and objectives set out in the national and sectoral development plans;
 - Government response to economic or social issues raised at district and provincial level;
 - Response to natural disasters, such as floods and drought;
 - The need to complement other investments, such as constructing a railway line within the proximity of a copper mine; and
 - Regional or international agreements.

¹ Top-down approach is in response political perspective that are stipulated in national policy documents, investment strategies or sectorial priorities. Bottom -up relate to projects that address community identified needs such those stipulated in /district, provincial development plans or by development partners



2. Project identification will be undertaken by a project sponsor (which is a department, institution or agency initiating, developing and will implement the project) and shall be further developed into a project concept note before submission to the Ministry responsible for finance and national planning. During project identification the following key issues should be taken into account:
 - Definition of the problem/ challenge/ need or gap that requires to be addressed and justification;
 - Project should be within the institutional mandate undertaking the project anchored on the national development agenda;
 - Resource requirements and sources; and
 - Project identified is not being implemented by any other public entity.

5.1.2. Project Concept Note

1. A Project Concept Note (PCN) shall be required to be prepared for all identified projects, irrespective of the categorisation and mode of financing. A PCN is a brief and concise document containing key information about the project. The PCN involves transforming a project idea into a business case that can be considered for implementation. A PCN also involves the recording of project ideas in a clear and standard format that ensures that all key aspects relating to the project are captured for ease of assessment and decision making.
2. The PCN shall be comprehensively formulated for all project categories using the Logical Framework Approach (LFA) and developed in accordance with the structure in Annex A1 of these guidelines by the project sponsor.

3. The PCN shall contain key information including the following:
- Needs analysis: an assessment of the prevailing needs and identification of project beneficiaries/stakeholders and an outline of the project's objectives, outcomes, outputs and activities;
 - Stakeholder Assessment: identification of stakeholders that are affected or have interests in the project;
 - Options analysis: identification and assessment of alternative options through which the project's output can be delivered;
 - Technical feasibility: technical designs of the facilities required to provide the project's outputs. For category I projects, the technical designs should be detailed to facilitate implementation;
 - Cost and funding: cost estimates as well as proposed financing modalities;
 - Socio-Economic effectiveness: an assessment of all of the benefits that the project is expected to generate;
 - Social and Environmental Aspects: determination of the direct and indirect social and environmental impacts as well as proposed mitigation measures;
 - Institutional and management analysis: an assessment of the adequacy of institutional and management arrangements for efficient implementation and operation of the project;
 - Risk Assessment: a preliminary assessment of risks that could affect the implementation of a project and establish a mechanism of managing the risks;
 - Implementation Plan: an outline of how the project will be executed (which includes all of the activity and cost schedules) and monitored; and



- Procurement Plan: a plan which defines and consolidates project requirements including goods, services, procurement methods and processes, and determines the timeframes for their procurement with the aim of having them as and when they are required.
4. The PCN shall be summarised using the PCN Form as indicated in Annex A2. Both the PCN and the PCN Summary Form shall be submitted to the Ministry responsible for finance and national planning, together with all supporting documents.

5.1.2.1 Assessment and Submission of the Project Concept Note

1. The assessment of the PCN is a two-stage process. The first stage is an internal assessment by the Ministry, Province or Spending Agency (MPSA). The second is external and is conducted by the Ministry responsible for finance and national planning.

5.1.2.1.1 Internal Assessment and Submission of the PCN by the MPSA

1. The project sponsor shall submit the PCN to the department responsible for planning in the MPSA or project committee for assessment and make recommendation to the responsible controlling officer. The department responsible for planning/project committee shall assess the PCN to ensure it conforms to all the required information as prescribed in these Guidelines.
2. Projects that have been cleared and deemed feasible for implementation after the internal assessment by the department responsible for planning/project committee shall be submitted to the ministry responsible for finance and national planning.

3. The submission of the PCN to ministry responsible for finance and national planning shall be the responsibility of the controlling officer in the MPSA. The Approval Form (see Annex D) shall be countersigned by the project sponsor, head of department responsible for planning and controlling officer. PCNs for projects of other Government institutions shall be submitted through their respective line ministries with all necessary documents attached and a copy to ministry responsible for finance and national planning.

5.1.2.1.2. External Assessment of the PCN

1. The Ministry responsible for finance and national planning shall first assess the PCN for compliance with the submission process including endorsement by the project sponsor, head of department responsible for planning and the controlling officer. The PCN shall also be assessed for completeness of information to facilitate for technical assessment. PCNs that do not have complete information shall be returned to the MPSA for further enhancement.
2. A PCN that receives a positive assessment in terms of compliance with the submission process shall be further assessed as to whether:
 - sufficient project information exists to make an informed judgement;
 - the project is consistent with government policy and development agenda;
 - the project addresses the identified problem;
 - alternative project solutions have been adequately considered;
 - project benefits are likely to be achieved in a cost-effective manner;



- project financing requirements are likely to be secured within a realistic timeframe;
 - the capacity of the project sponsor is sufficient for the successful implementation of the project;
 - the project can be undertaken by the private sector;
 - the project's sustainability is not likely to be compromised because of a shortage of funding for operations and/or maintenance; and
 - the project sponsor has obtained a clearance letter from Zambia Environmental Management Agency (ZEMA) which highlights whether the proposed project requires an Environmental Impact Assessment (EIA) to be undertaken; for category I projects which are required to undertake an EIA a decision letter from ZEMA should be submitted along with the PCN, which states that the proposed project is not likely to result in negative impacts on the environment.
3. Only projects with PCNs that have met the requirements and been cleared by the Ministry responsible for finance and national planning shall proceed to the next stage of the project development phase. Projects in Category I with approved PCNs shall be included in the PIP, while those in category II and III shall proceed to pre-feasibility study stage.

5.1.2.2 Validity of PCN

1. PCNs for Category I projects approved and included in the PIP shall have a validity of five (05) years after which the PCN shall have to be reviewed by the project sponsor and resubmitted for consideration.

5.1.3. Pre-Feasibility Stage

1. The Pre-Feasibility Study (PFS) builds on information obtained at the PCN stage in 5.1.2. The PFS (which includes pre-appraisal) is a preliminary systematic assessment of crucial elements of the project that provides details on the technical, financial and socio-economic aspects of the various options of delivering the project, in order to identify the most viable option. It also takes into account the risks and environmental aspects of the project.
2. The project sponsor shall undertake a PFS for all category II and III projects to assess the three (03) alternative options that can be undertaken to address the identified problem. Where the project sponsor lacks the technical capacity to undertake the PFS, this may be outsourced to a third party.
3. The PFS shall involve assessing all the alternative options using either the Cost Benefit Analysis (CBA) or Cost Effectiveness Analysis (CEA) using secondary data to determine the socio-economic viability of the project.
4. The PFS shall also be used to identify projects that can potentially be delivered under public private partnership in line with the relevant legislation.
5. The PFS report shall be prepared in accordance with the prescribed structure in these guidelines (Annex B1) and shall include the following details:
 - Preliminary technical design of the project: design to a level of detail suitable for accurate estimation of costs and assessment of technical feasibility and identification of technical design options;
 - Cost estimation: estimates of costs such as those relating to construction and land acquisition for project implementation and the operating and maintenance costs of the completed project;



- Cost of conducting feasibility study: estimated cost of conducting a full-fledged feasibility study for Category III projects;
- Preparation of demand forecasts: estimates of the future demand for the services to be delivered by the project;
- Assessment of technical feasibility: providing answers to the questions: Will the preferred design solve the problem being addressed? How much will it cost? Is it an efficient solution? Is the capacity of the project consistent with the demand forecast?
- Social and Environmental Aspects: determination of the direct and indirect social and environmental impacts as well as proposed mitigation measures;
- Financial and economic analysis: an assessment of whether the estimated life-cycle benefits of the project outweigh the life-cycle costs from the perspective of the operating entity (financial) and of society as a whole (economic). The final decision on requirements for economic analysis shall rest with the MoFNP;
- Institutional and management analysis: an assessment of the adequacy of institutional and management arrangements for efficient implementation and operation of the project;
- Risk Assessment: assesses the potential qualitative and/or quantitative risks that could negatively affect the implementation of the project and establish a risk management plan in order to manage the identified risk; and
- Stakeholder Impact Assessment: identification of stakeholders that are affected or have interests in the project, including those who stand to gain or lose as a result of the project and by how much.

6. The PFS report shall be summarised using the PFS Summary Form as indicated in Annex B2. The PFS report and the PFS Summary Form shall be submitted together with all supporting documents to the Ministry responsible for finance and national planning.

5.1.3.1. Assessment of Pre-Feasibility Study

1. The assessment of the PFS shall be undertaken in a two-stage process. The first stage is an internal assessment by the MPSA while the second stage is an external assessment to be conducted by the Ministry responsible for finance and national planning.

5.1.3.1.1. Internal Assessment and submission of the PFS

1. The project sponsor shall submit the PFS to the department/unit/section responsible for planning in the MPSA/project committee. The department responsible for planning or project committee shall assess the PFS to ensure it contains the following:
 - a definition of a project;
 - options identified to address the problem and a justification for the preferred option;
 - alignment to institutional mandate, national or other developmental objectives,
 - financing options; and
 - expected financial and economic returns.
2. Projects that are deemed feasible for implementation after the assessment by the department responsible for planning in the MPSA will be submitted to the Ministry responsible for finance and national planning.
3. The submission of the PFS to the ministry responsible for finance and national planning shall be the responsibility of the controlling officer in the MPSA.



4. The PFS shall be countersigned by the project sponsor and department responsible for planning. PFS for projects for Grant Aided institutions and other Government institutions shall be submitted through their respective MPSAs.
5. Projects identified under guideline 5.1.3 (4) shall be forwarded to the Public Private Partnership department/unit for processing in accordance to the public private partnership legislation.
6. Projects found not to be suitable for implementation under Public Private Partnership by the Public Private Partnership Department/unit as per 5.1.3.1.1(5) shall proceed to feasibility study as prescribed in these guidelines.

5.1.3.1.2. External Assessment of the PFS

1. The Ministry responsible for finance and national planning shall first check the PFS for compliance with the submission process including endorsement by the MPSA's department responsible for planning and the controlling officer. The PFS shall also be assessed for completeness of information to facilitate technical assessment. PFSs that do not have complete information shall be returned to the MPSA for completion.
2. A PFS that receives a positive assessment in terms of compliance with the submission process shall be further assessed with respect to:
 - the relevance of the project in terms of project objectives;
 - options addressing the problem and justification for the preferred option;
 - cost effectiveness of the project;
 - financial and socio-economic returns of the project;
 - distribution of costs and benefits among stakeholders;
 - the complexity of Category II projects and determine the requirement for a feasibility study;

- project financing options;
 - availability of a clearance letter from ZEMA which highlights whether the proposed project requires an EIA to be undertaken; for category II projects which are required to undertake an EIA a decision letter from ZEMA should be submitted along with the PFS, which states that the proposed project is not likely to result in negative impacts on the environment; and
 - the sustainability of the project by analysing the identified risks and mitigation arrangements.
3. Based on the above assessment, if the PFS for a category II project passes the above criteria it will be included in the draft Public Investment Plan (PIP).
 4. If, the project is, however, deemed complex or having significant risk, Category II projects with an approved PFS shall be recommended to proceed to the Feasibility Study stage.
 5. Projects in Category III with an approved PFS shall proceed to the Feasibility Study stage.

5.1.3.2. Validity of Pre-Feasibility Studies

1. A PFS for Category II projects approved and included in the PIP shall have a validity of five (5) years.
2. If the PFS exceeds the validity period of 5 years it shall have to be assessed and updated by the project sponsor and resubmitted to the Ministry responsible for finance and national planning for consideration and approval. The assessment shall verify, among other issues, the following:
 - a. Project cost;
 - b. Demand projections;
 - c. Technological aspects;



- d. Legal issues;
- e. Environmental and social impacts; and
- f. Institutional capacity.

5.1.4. Feasibility Study Stage

1. A Feasibility Study (FS) focuses only on the most preferred technical option for the project as identified during the PFS stage.
2. The FS, therefore, provides much greater detail on the project's design and a more thorough assessment of technical, financial and economic feasibility, social and environmental impact, legal and institutional capacity, and risk analysis (including fiscal risk) as well as long term sustainability. This will be done as prescribed in these guidelines.
3. Data collection activities during the FS stage are often more intensive and costlier than in the PFS stage, as primary data which is more specific to the project design needs to be collected.
4. The FS shall be undertaken by the project sponsor for Category III as well as complex Category II projects, detailing the following:
 - Demand Survey: a study to collect primary/first-hand data required to establish demand for the project output;
 - Detailed technical design of the project: design to a level of detail suitable for precise estimation of costs and assessment of technical feasibility and identification of technical design options;
 - Cost estimation: detailed estimates of the lifetime costs of the project;
 - Financial and Economic Analysis including Stakeholder Analysis: assessment of the financial and economic viability of a project including the distribution of benefits and costs to stakeholders;

- Legal and Regulatory Assessment: a comprehensive legal and regulatory due diligence of the proposed project to ensure its success, including all the necessary permits and licenses;
 - Institutional and Management Capacity: the assessment of the ability of the project sponsor to effectively implement the project;
 - Environmental Impact Assessment: determination of the direct and indirect social and environmental impacts as well as proposed response measures;
 - Risk analysis: identification of risks associated with the project as well as response measures;
 - Procurement Plan: a plan which defines and consolidates project requirements including goods, services, procurement methods and processes, and determines the timeframes for their procurement with the aim of having them as and when they are required; and
 - Implementation Plan: an outline of how the project will be executed (which includes all of the activity and cost schedules) and monitored.
5. The FS shall be undertaken by the project sponsor using internal capacity where it is available or sourced from relevant government institutions or outsourcing using consultancy where such capacity is limited within government.
6. The structure of the FS report is outlined in Annex C1. The FS report shall be summarised using the FS Summary Form as indicated in Annex C2. The FS report and the FS Form shall be submitted together with all supporting documents to the Ministry responsible for development planning.



5.1.4.1. Assessment and submission of Feasibility Study

1. The assessment of the FS is a two-stage process. The first stage is an internal assessment by the MPSA/project committee while the second is an external assessment which shall be conducted by the Ministry responsible for finance and national planning.

5.1.4.1.1. Internal Assessment and submission of the FS

1. The project sponsor shall submit the FS to the department responsible for Planning in the MPSA/ project committee. The department responsible for planning/project committee shall assess the FS in accordance with these guidelines as stipulated in 5.1.3.1.1.(1).
2. Projects that are deemed feasible for implementation after the assessment by the department responsible for planning in the MPSA/ project committee will be submitted to the Ministry responsible for finance and national planning for further assessment and approval.
3. The submission of the FS to the Ministry responsible for finance and national planning shall be in line with these guidelines as stipulated in 5.1.3.1.1(3)(4).

5.1.4.1.2. External Assessment of the FS

1. The Ministry responsible for finance and national planning shall first assess the FS for compliance with the submission process including endorsement by the MPSA's department responsible for planning/ project committee and the controlling officer.
2. The FS shall also be assessed for completeness of information to facilitate for technical assessment. A FS that does not have complete information shall be returned to the MPSA for completion.
3. A FS that receives a positive assessment in terms of compliance with the submission process shall be further assessed with respect to:

- the relevance of the project in achieving strategic developmental objectives;
 - the appropriateness of the technical solution in addressing the problem;
 - the justification of the preferred technical option;
 - financial and socio-economic returns of the project;
 - distribution of costs and benefits among stakeholders;
 - legal and regulatory issues affecting the project;
 - the capacity of the project sponsor to implement the project;
 - availability of a clearance letter from ZEMA which highlights whether the proposed project requires an EIA to be undertaken; for category III projects which are required to undertake an EIA a decision letter from ZEMA should be submitted along with the FS, which states that the proposed project is not likely to result in negative impacts on the environment; and
 - financing options including the possibility for private sector participation; and,
 - the sustainability of the project by analysing the identified risks and mitigation arrangements.
4. If the FS is approved by the ministry responsible by finance and national planning it shall be included in the PIP.

5.1.4.2. Validity of Feasibility Studies

1. Feasibility Studies for projects approved in the PIP shall have a validity of five (5) years after which the FS shall have to be assessed by the project sponsor and resubmitted to the Ministry responsible for finance and national planning for consideration and approval.



2. Re-appraisal of the projects may be required in either one or a combination of the following cases:
 - Change of scope;
 - Force majeure; or
 - Any other reasons beyond the control of the sponsor which should be approved by the Ministry responsible for finance and national planning.
3. The assessment shall verify, among other issues, in accordance with these guidelines in section 5.1.3.3 (2).

5.1.5. Project Selection for Budgeting

1. Budgeting² for projects is critical and the national budget is one option for financing public investments.
2. Only projects that are in the approved PIP shall be included in the budget proposals by the respective MPSAs.
3. Subject to fiscal space, the Ministry responsible for finance and national planning shall approve from the proposals submitted by MPSAs projects for inclusion in the budget.
4. Subject to (2) before projects are included in the budget, MPSAs shall ensure: -
 - All conditions precedent have been fulfilled, including land acquisitions, stakeholder management among others;
 - Detailed designs have been completed and relevant approvals obtained where applicable;
 - Project has received necessary regulatory approvals; and
 - Multi-year projects are budgeted for beyond one year in accordance with the project implementation plan
5. The Ministry responsible for finance and national planning shall

² To be done in line with the provision of the relevant legislation e.g. National Planning and Budgeting Act, Public finance Management etc

ensure allocation of sufficient funding in the respective budget year (and subsequent years) in accordance with the project implementation plans for the approved projects included in the budget.

6. MPSAs shall report any on-going project that has not been funded during the financial year when submitting for budgets for the next financial year.
7. MPSAs shall prioritize already approved projects and are in the PIP.

5.2. Project Implementation Phase

1. Once financing for the project has been obtained, the next stage in the project life cycle is implementation.
2. The project implementation phase consists of two distinct stages namely; Project implementation and completion, and monitoring and evaluation.

5.2.1. Project Implementation and completion

1. Project implementation can be defined as the process where the project produces outputs to achieve its development objective. It involves procuring³ the various inputs that are needed to undertake the different project activities. The procurement shall be undertaken using the relevant procurement legislation issued by the Government of Zambia.
2. The project sponsor (MPSAs) shall establish a Project Management Team (PMT) which will be responsible for day-to-day operations, for ensuring that the project is delivered on time, on budget and in line with the agreed design put in place, for every project.

³ When a project falls within the scope of the public procurement legislation it should be procured within the relevant legislation in Zambia



3. The structure and composition of the PMT shall include a project manager and technical experts, who will be decided by the project sponsor, subject to the complexity and scale of the project.
4. for projects being implemented through multiple agencies, the PMT shall have representatives from the concerned agencies to be responsible for implementation, monitoring and evaluation of the project to ensure effective and efficient delivery of the project. The project sponsor shall also establish a project steering committee comprising controlling officers to provide strategic direction in the project implementation.
5. The PMT shall also develop the project implementation Plan which shall detail the activities to be undertaken, when and by whom. This should include possible risks and how they will be addressed.
6. The PMT shall also develop a Monitoring and Evaluation (M&E) Plan which will detail how the monitoring and evaluation activities shall be undertaken and specify for each of the project's output and outcome, indicators that can be used for measurement⁴ . The performance of the project will be assessed by comparing an indicator over time against expected targets.
7. The PMT shall provide regular reports on project progress to the project sponsor/ steering committee for monitoring and evaluation purposes. The reports shall include both financial and non- financial data including risks assessment of emerging challenges and mitigation measures.

5.2.1.1 Project Completion and Handover

1. The project completion stage emphasises on handing over the final deliverables of the project, project documentation to the sponsor/

⁴ This should in line with the M & E procedures and standards as provided for in M & E legislation in Zambia

MPSAs, terminating supplier contracts, releasing project resources if any, and communicating the closure of the project implementation to all stakeholders.

2. The purpose of this stage is also to verify that the works/tasks have been completed satisfactorily within the specified contract period, cost and quality and completed tasks are being transferred to the project sponsor/MPSAs.
3. The project completion and handover phase typically consists of two activities:
 - a) Administrative: includes the collection of project records for use in the compilation of the project completion report as well as archiving of project information for future use.
 - b) Contractual: this involves verification of the delivery of all outputs under the contractual agreements established for the project including whether the outputs were delivered in accordance with specifications outlined in the contracts. In case of any deviations, verification and documentation of any scope and cost or other changes from the initial design and contract specification should be undertaken. The reasons for these deviations and preventative/corrective measures that were taken should be clearly documented.
4. The project will be deemed to be successfully implemented if all project outputs have been delivered or when a contract has fully executed the assignment and handed over to the relevant project sponsor/MPSAs.
5. where the contractor fails to fulfil its obligation of delivering a successfully complete project, there shall be sanction(s) imposed on the contractor in line with relevant legislation.
6. under the circumstances in 5.2.1.1 (5), a number of options to be considered which include termination of the contract in line with the



provision in the agreement or retendering the contract/project.

7. When the Project Completion and Handover exercise has been completed, the MPSA shall submit a copy of the project completion report to Ministry responsible for finance and national planning together with a project completion form (See Annex E).
8. The project completion report shall provide a complete picture of the lessons learnt and challenges encountered during implementation of the project taking into account the project results matrix.

5.2.2. Project Monitoring and Evaluation

The Monitoring and Evaluation of public investment projects will be undertaken in line with the National Monitoring and Evaluation Policy of 2019 and related guidelines.

5.2.2.1. Project Monitoring

1. The MPSAs shall take responsibility for undertaking monitoring and evaluation activities and preparing M&E reports.
2. For on-going projects assessment, it is important for the implementers to put in place strategies to bridge performance gaps or any changes on the project in the course of implementation to ensure that the project is moving towards its objectives.
3. The monitoring may be conducted taking into account both financial and non-financial aspects such as:
 - i) Process (activity) monitoring: track the use of inputs and resources, the progress of activities and the delivery of outputs. Examine how activities are delivered especially with respect to the efficiency of both time and resources.
 - ii) Compliance monitoring: track project compliance with government or donor regulations, grant and contract requirements, local government regulations and other

relevant laws, environmental and ethical standards.

- iii) Context (situational) monitoring: track the setting in which the project is operating, as it affects identified risks and assumptions, but also any unexpected considerations that may arise. Include also the operating environment as well as the larger political, institutional, funding, and policy context that affect the project.
 - iv) Beneficiary monitoring: track beneficiary perceptions of a project. The focus must be on beneficiary satisfaction or complaints (feedback) with the project, including their participation, treatment, access to resources and their overall experience of change.
 - v) Financial monitoring: compare actual costs of inputs and activities against the planned costs. It is often conducted in conjunction with compliance and process monitoring.
 - vi) Organizational monitoring: tracks the sustainability, institutional development and capacity building in the project. It is often done in conjunction with the monitoring processes of the MPSA under which the project falls.
4. M &E reports shall be prepared periodically (monthly, quarterly and annually), detailing the outcomes of monitoring and evaluation and present an overall picture of how the project outputs and outcomes are performing relative to the targets that were set out in the implementation and M&E plans. The reports shall also make recommendations on how improvements could be made in the implementation of the project.
5. The project M&E report shall be an input into the compilation of the MPSA quarterly and annual M&E reports, including disclosure of



stalled projects and recommendations that will be submitted to the Ministry responsible for finance and national planning, while monthly M&E reports shall be presented to management in the MPSA.

5.2.2.2. Project Evaluation

1. Project evaluation is a systematic and objective assessment of an ongoing or completed project. The aim is to determine the relevance and level of achievement of project objectives, development effectiveness, efficiency, impact and sustainability.
2. Project evaluation is also a vital tool for updating stakeholders on the status and any changes on the project that may impose fiscal requirement or rescheduling of the project.
3. The broad categories of the project evaluation include mid-term, final and ex-post evaluation are explained below:
 - i) Mid-term Evaluation: The project sponsor shall ensure that an evaluation is done midway through the project implementation as a way of assessing the likelihood of achievement of the project outputs and outcomes. This evaluation is important as it can assist to refocus the project to its intended objectives in case of challenges. Key issues for possible consideration will include but not limited the following:
 - Is the project managed in a manner that is leading to its expectations? The evaluation will check the interim outputs during midterm and judge progress.
 - Are there unintended outcomes? The evaluation will determine the socio-economic impact of the unintended outcomes and compare them with the intended ones.
 - What are the likely corrective measures that can improve the results? In case there is any observed misalignment of the project's results, the midterm evaluation process should

be able to point out protective means to avoid or reduce the likely loss.

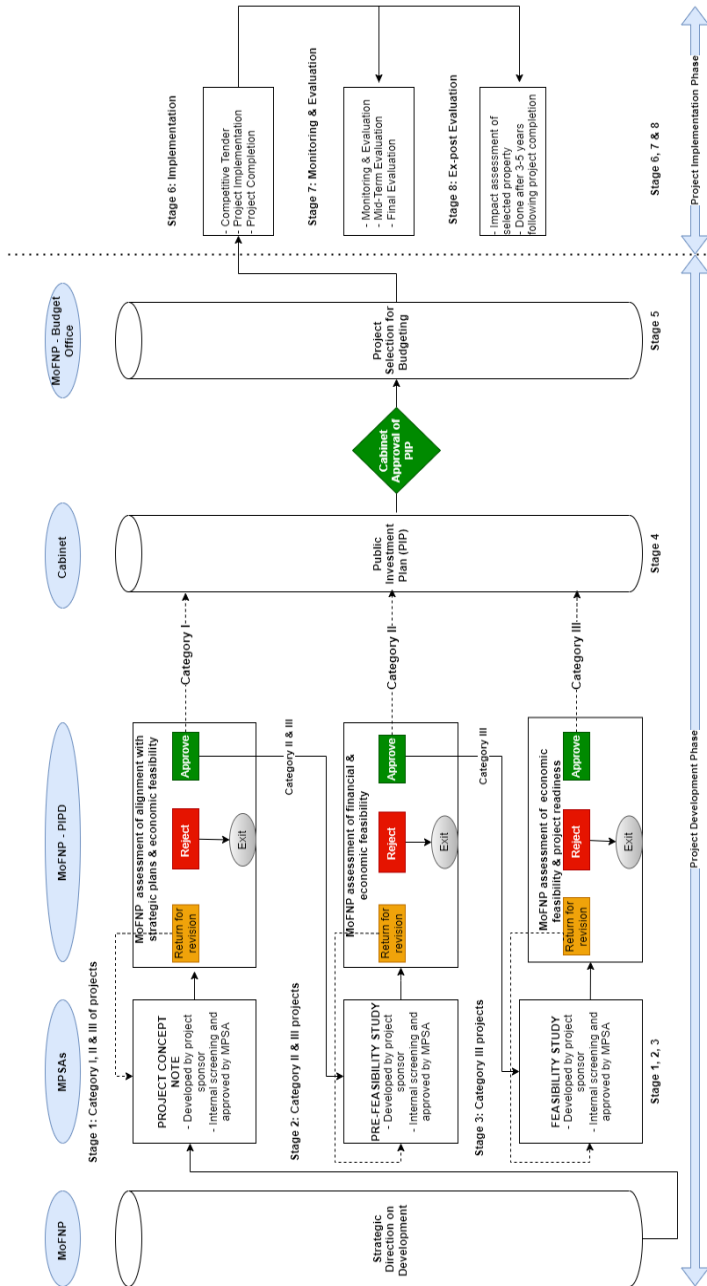
- ii) The Final Evaluation: is expected to be carried out soon after the project is completed to document the outcomes (results) of the development initiative. The main focus of the final evaluation is to determine whether project objectives have been met. The final evaluation should also check whether there are any adverse outcomes due to the project.
 - iii) The Ex-post Evaluation: is carried out three (3) to five (5) years after the project is completed on a sample basis and should be conducted on selected projects. The emphasis at this stage is on the assessment of the positive or negative impacts that the project generated as well as to evaluate whether the project provided value-for-money relative to other possible interventions. Ex-post evaluation will also help in learning lessons from the project's successes and failures and will assist in designing future projects.
4. The project Sponsor/MPSA shall constitute an evaluation team to undertake an ex-post evaluation. The M & E Department in the Ministry responsible for finance and national planning shall be responsible for the overall coordination of the evaluation. The M & E Department will also be responsible for the review of all impact evaluations, in collaboration with the project sponsor and submit the report to policy makers.



6. INSTITUTIONAL SET-UP FOR THE PUBLIC INVESTMENT MANAGEMENT SYSTEM

1. This chapter provides an overview of the governance and institutional set-up for the various stakeholders in the Public Investment Management System (PIMS). It highlights the different roles and responsibilities in the process of project development and implementation. The PIM institutional framework is designed to facilitate the coordination and decision making as a project evolves from development phase to the implementation phase in the project lifecycle. Figure 2 provides a schematic flow in the Public Investment Management process.

Figure 2: Public Investment Management Process Flow





(2) Table 1 below provides details on the roles and responsibilities for key institutions in the PIMS.

Table 1: Institutional Set-up for the PIMS

S/N	Institution/ Stakeholders	Roles and Responsibilities
	Cabinet	a) Provide strategic policy oversight for the management of public investments; and b) Approve the Public Investment Plan (PIP).
	Ministry responsible for finance and national planning-	a) Developing and maintaining a framework for public investment management; b) Develop and update PIM guidelines, regulations and project appraisal standards to support effective delivery and management of public investments; c) Appraise public investment projects to ensure: (i) alignment with national development objectives and priorities, and (ii) technical, financial, economic, social, legal and environmental viability and other aspects and recommend appropriate financing option; d) Assess project concept notes and make recommendation, where required, for undertaking the pre-feasibility and feasibility studies; e) Assess project concept notes, pre-feasibility and feasibility studies and recommend for inclusion in the Public Investment Plan; f) Prepare a Public Investment Plan for approval by Cabinet; g) Develop and manage the public investment management information system for all public investment projects, that includes a database on all projects at various stages in the project development process; h) Coordinate the planning, monitoring and evaluation of public investment projects; i) Provide support to MPSAs during the development phase of the project; j) Ensure that only projects that have been approved in the PIP are included in the budget for implementation; and k) Ensure that public investment projects selected for implementation are allocated adequate funds for investment, operations and maintenance.

MPSAs	1. Controlling officer a) Submit project documents to the Ministry responsible for finance and national planning for assessment in line with these Guidelines; b) Ensure that projects co-financed by the cooperating partners follow the same processes and procedures established by these Guidelines; c) Monitor and report progress on the implementation of public investment projects to MoFNP; and d) Put in place appropriate institutional mechanisms to facilitate effective execution of these functions. 2. Department responsible for planning a) Provide technical guidance to project sponsors on the process and methods of project identification, development, and implementation as set out in these Guidelines; b) Assess PCN, PFS, FS to ensure conformity to all the requirements prescribed by these guidelines; c) Recommend assessed PCN, PFS, and FS to the Permanent Secretary for submission to the Ministry responsible for finance and national planning; d) Ensure that projects co-financed by the cooperating partners follow the same processes and procedures established by these Guidelines; e) Coordinate monitoring and reporting of progress on the implementation of public investment projects; and a) Undertake evaluation of projects under its responsibility where required. 3. Project Sponsor a) Identify projects; b) prepare concept notes, pre-feasibility study, feasibility studies, and monitoring and evaluation plans; c) Undertake project implementation; d) Report to the responsible sector MPSA on project implementation and completion; and e) Undertake M & E for projects in collaboration with the Ministry responsible for finance and national planning.
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Ministry responsible for infrastructure development	a) Issue standards, specifications, regulations and guidelines on technical design and costing for use during the development, implementation and maintenance of infrastructure projects; b) Assure technical quality of projects during the development and implementation phase; c) Ensure contractual provisions of the project are adhered to during implementation; and d) Assure technical quality of maintenance works during project operation.
Zambia Environmental Management Agency	a) Assess the social and environmental impact of a proposed project; b) Issue a decision on whether the project is environmentally viable; and c) Ensure compliance with relevant environmental legislation and regulations.
Ministry responsible for Local Government	a) Provide control of settlements that may affect projects implementation; b) Provide updated spatial plans; and c) Ensure compliance with planning regulations.
Ministry of Justice	a) on request from the Ministry responsible for finance and national planning and other MPSAs, advise on legal aspects that will ensure the effective and efficient implementation of public investment projects.
Zambia Public Procurement Authority	a) Issue regulations and guidelines on the procurement of public investment projects; b) Assure that the procurement regulations and procedures are adhered to; and c) Publish Market Price Indices.
Ministry responsible for Lands	a) Provide information on land ownership; b) Assist in resolving any land related issues that may affect implementation of public investment projects; and c) Provide updated land survey and mapping.

7. PUBLIC INVESTMENT MANAGEMENT INFORMATION SYSTEM AND PROJECT APPRAISAL AND APPROVAL CALENDAR

7.1. Public Investment Management Information System

1. The Ministry responsible for finance and national planning shall be responsible for the development and management an efficient, effective and reliable Public Investment Management Information system (PIMIS).
2. The PIMIS shall automate the PIMS processes and will be used in the project management life cycle.
3. Only projects processed, appraised and included in the PIP through the information system shall be considered for implementation using available financing options.
4. Pending the development and operationalisation of the PIMIS, all MPSAs shall submit hard copies of project documents in line with these guidelines.

7.2. Project Development Calendar

1. The Project Development Calendar provides an outline of the sequencing and linkages of various activities required for the smooth functioning of the PIMS. This Calendar is to enable seamless coordination with respect to the processes and activities undertaken by various stakeholders who are involved at different stages of the project development phase that culminates into the PIP.
2. Project Documents Submission by Project Sponsors: In order to facilitate the effective and efficient appraisal of projects, the project sponsors shall ensure that projects are submitted to Ministry



responsible for finance and national planning for consideration and possible inclusion in the PIP by 30th January.

3. The date indicated in (2) above shall apply to submissions that have all the project documents and information required to facilitate appraisal and decision by the Ministry responsible for finance and national planning. Where the information submitted is not adequate, then the consideration of the project by the Ministry responsible for finance and national planning will be done in the subsequent PIP.
4. Feedback to MPSAs on project submissions: The Ministry responsible for finance and national planning shall assess and provide feedback on the projects received within Fourteen (14) working days of receipt of the project.
5. Cabinet Approval of PIP: The PIP shall be consolidated and approved by first quarter of each year by Cabinet, to ensure inclusion of new projects in the subsequent annual budget. The PIP shall be considered and approved by Cabinet prior to commencement of the budgeting process for the following year.

8. ANNEXES

Annex A1: Structure of the Project Concept Note (PCN)

A: Project summary	
Project Name	Project reference number
Project Category	
Sector	MPSA
Start date	End Date
Project cost	Project Location
B: Executive Summary	
C: Project Introduction	i. Project Background ii. Project Description iii. Project objectives iv. Status before the project v. Status after the project vi. Justification vii. Alignment to national and institutional objectives
D. Approach and methodology Analysis Phase	i. Problem Analysis ii. Stakeholder Assessment iii. Analysis of Objectives iv. Options Analysis (Demand Analysis, Technical and Engineering Analysis) v. Technical Feasibility (only for Category I projects):-[Final technical design of the facilities required to provide the project's outputs (as the project will not be evaluated any further, the PCN entails the final assessment)]; Final project cost estimates based on the technical solution to be employed:{ Financial Analysis, Economic Analysis, Institutional Capacity Assessment, Legal Assessment, Environmental Analysis, Recommendation of the preferred option for Category I projects and shortlisting of 3 of the most promising options for Category II and III projects
Planning Phase	i. Logical Framework Matrix ii. Implementation Plan (Activities, outputs, and milestones schedule, Financial execution plan) iii. Procurement Plan iv. Environmental Impact Assessment (Determination of qualitative direct and indirect social and environmental costs and benefits, Identification of the non-quantifiable direct and indirect social and environmental costs and benefits, Proposal of measures to mitigate adverse impacts as well as the estimated costs



Annex A2: Concept Note Summary Form

Item	Project Information Required
PROJECT INFORMATION	
ID	Insert project identification number. Identification number should be unique and should include up to 5 alphabetic letters to identify the MPSA, followed by a numerical sequence.
MPSA	MPSA functionally responsible for the project.
Implementing Agency	Indicate the authority that is or will be in charge of implementing the project.
Project Title	Short and succinct, capturing the essence of the project.
Project Start Date	Indicate the day/month/year in which project implementation is expected to begin.
Project End Date	Indicate the day/month/year in which project implementation is expected to end.
Estimated Project Lifetime	Provide an estimate of the project's economic lifetime.
Project Location (Town, District, Constituency and Province)	Provide project location including town, district, constituency and province
PROJECT BACKGROUND AND DESCRIPTION	
Project Objective	One clear sentence to describe the direct benefit of implementing the project. Think of the fundamental reason the project is being proposed — examining immediate change or overall result. Do not provide project details here that can be described elsewhere on the Form.
Status Before Project	Briefly, describe the current situation (that is, without the project), using concrete, factual data.
Status After Project	Briefly, describe how the current situation will be affected if the project is implemented. Use specific and accurate data.
Justification	Justify the reason for undertaking the project in less than 250 words. Justification is done by comparing anticipated results and expected costs.
Options analysis and Technical Feasibility	Briefly, describe the options considered to deliver the project outputs and the viable technical solutions.
Alignment with Development Strategies	Briefly, describe how the project is aligned with Government strategic objectives, which Government strategic objectives does the project address, and how?

Other Strategic Considerations	Briefly, describe how the project fits with national security considerations, could it prevent or mitigate a national disaster (for example, a drought or epidemic)?
COST AND FUNDING	
Total Capital Cost	Preliminary estimates of the project's total capital costs.
Operating and Maintenance Cost	Anticipated annual operating/maintenance expenditures.
Sources of Funds	Internal MPSA, budget funds, the private sector, borrowing.
Proposed financing modality of Public Investment	Proposed modality of financing for the project
ECONOMIC EFFECTIVENESS	
Socio-economic Effectiveness (an assessment of all the benefits that the project is expected to generate)	Provide evidence for the demand for project output. List quantifiable and other socio-economic benefits that the project is expected to generate
Environmental Brief	For Category II and III projects list main environmental and social impacts, if adverse, propose mitigation strategies. For Category I projects provide the summary of Environmental Decision letter issued by the Environmental Council, Decision number and Decision Date.
Procurement Plan	Draft project procurement methods — open tender, closed tender, direct purchases — for all project goods and services (be alert to any Government thresholds). Include a schedule (Gantt chart) detailing principal procurement deadlines.
RESULTS MATRIX	
Outcomes	List all expected outcomes resulting from the project. Outcomes should be a direct result of the project outputs.
Outputs	List all expected outputs to be directly delivered by the project (that is, the direct result of project activities. See below). Outputs should be within or just within the Government agency's control. List all anticipated results (that is, those that will remain once the project has ended).



Main Activities	List the main project activities associated with the delivery of outputs. Activities should be listed in a logical order and numerically linked to outputs to facilitate an assessment of whether the proposed activities can realistically produce the outputs expected.	
Implementation Plan:	Provide a project implementation plan which is technically optimal. The construction schedule should also specify funds required for each phase and propose sources of funding.	
STAKEHOLDER ASSESSMENT		
Stakeholder	Role/Interest	Qualitative Impact
Project beneficiaries		
Stakeholders with adverse impacts from the project (specify)		
Project Sponsor Department/ MPSA		
Implementing authority		
Local government authority		
Donor organisations		
Civil society organisations		
Organised labour		
Local committees		
Others		
Risk Analysis		
Risk Variable	Response	
ATTACHMENTS		
List of Supporting Documentation Attached	List all supportive documents/studies that are attached to the form.	

Annex B1: Structure of the Pre-Feasibility Study Report

A: EXECUTIVE SUMMARY	
B: OVERVIEW	
	Project Background.
	Project Description.
	Project Objectives.
C: APPROACH AND METHODOLOGY TO THE PRE-FEASIBILITY STUDY	
(Overall study process and description of methodology)	
	Options Analysis
	(Assessment of identified options)
	Technical Feasibility
	• A preliminary technical design of the facilities required to provide the project's outputs (in the case of Category II projects the estimates are final as the project will not be evaluated any further as the PFS entails the final assessment). • Preliminary project cost estimates based on the technical solution to be employed.
PROJECT MODEL	
	Model structure, Inputs and Assumptions
	Financial Analysis
	Economic Analysis
	Stakeholder Impact Assessment
	Risk Analysis
	Selection of the Preferred Option
D: LEGAL AND REGULATORY ASSESSMENT	
E: INSTITUTIONAL CAPACITY ASSESSMENT	
F:	Environmental Impact Assessment
	• Determination of quantifiable direct and indirect social and environmental costs and benefits. • Identification of the non-quantifiable direct and indirect social and environmental costs and benefits. • Proposal of measures to mitigate adverse impacts as well as the estimated costs.
G:	Implementation Plan
	• Activities, outputs, and milestones schedule • Financial execution plan/Cost schedule
H:	Procurement plan
I:	Conclusion and Recommendation
J:	Appendices



Annex B2: Pre-feasibility Study Summary Form

Item	Project Information Required
PROJECT INFORMATION	
ID	Insert project identification number. Identification number should be unique and should include up to 5 alphabetic letters to identify the MPSA, followed by a numerical sequence.
MPSA	MPSA functionally responsible for the project.
Implementing Agency	Indicate the authority that is or will be in charge of implementing the project.
Project Title	Short and succinct, capturing the essence of the project.
Project Start Date	Indicate the day/month/year in which project implementation is expected to begin.
Project End Date	Indicate the day/month/year in which project implementation is expected to end.
Estimated Project Lifetime	Provide an estimate of the project's economic lifetime.
Project Location (Town, District, Constituency and Province)	Provide project location including town, district, constituency and province
Project Concept Decision and Date	Insert decision number for the project concept. Enter project concept decision date.
PROJECT BACKGROUND AND DESCRIPTION	
Project Objective	One clear sentence to describe the direct benefit of implementing the project. Think of the fundamental reason the project is being proposed — examining immediate change or overall result. Do not provide project details here that can be described elsewhere on the Form.
Status Before Project	Briefly, describe the current situation (that is, without the project), using concrete, factual data.
Status After Project	Briefly, describe how the current situation will be affected if the project is implemented. Use specific and accurate data.

Justification	Justify the reason for undertaking the project in less than 250 words. Justification is done by comparing anticipated results and expected costs.
Options Analysis and Technical Feasibility	Briefly, describe 3 options considered to deliver the project outputs and the viable technical solutions. The three (3) options below were considered: Options Analysis Option 1 – Option 2 – Option 3 – Technical Feasibility for options: Option 1 – Option 2 – Option 3 – Select an Option deemed to be the preferred technical option based on Cost Efficiency.
Alignment with Development Strategies	Briefly, describe how the project is aligned with Government strategic objectives, which Government strategic objectives does the project address, and how?
Other Strategic Considerations	Briefly, describe how the project fits with national security considerations, could it prevent or mitigate a national disaster (for example, a drought or epidemic)?
COST AND FUNDING	
Total Capital Cost	Preliminary estimates of the project's total capital costs.
Operating and Maintenance Cost	Anticipated annual operating/maintenance expenditures.
Sources of Funds for the Project	Internal MPSA, budget funds, the private sector, borrowing.
Proposed Financing Modality of Public Investment	Proposed modality of financing for the project.
Funds Required to Conduct Feasibility Study	Indicate the funding needed to complete the feasibility analysis of the project. A compelling case should be made if the funding requirement exceeds 3 percent of the total capital cost.



RESULTS MATRIX		
Outcomes	List all expected outcomes resulting from the project. Outcomes should be a direct result of the project outputs.	
Outputs	List all expected outputs to be directly delivered by the project (that is, the direct result of project activities. See below). Outputs should be within or just within the Government agency’s control. List all anticipated results (that is, those that will remain once the project has ended).	
Main Activities	List the main project activities associated with the delivery of outputs. Activities should be listed in a logical order and numerically linked to outputs to facilitate an assessment of whether the proposed activities can realistically produce the outputs expected.	
Procurement Plan	Draft Project Procurement Methods — Open Tender, Closed Tender, Direct Purchases — for all Project Goods and Services (be alert to any Government thresholds). Include a schedule (Gantt Chart) detailing Principal Procurement Deadlines.	
Implementation Plan	Provide a project implementation plan which is technically optimal. The construction schedule should also specify funds required for each phase and propose sources of funding.	
STAKEHOLDER ASSESSMENT		
Stakeholder	Role/Interest	Qualitative Impact/Influence
Project beneficiaries		
Stakeholders with adverse impacts from the project (specify)		
Project Sponsor Department/ MPSA		
Implementing authority		
Local government authority		
Donor organisations		
Civil society organisations		
Organised labour		

Local Committees		
Others		
COST-BENEFIT ANALYSIS		
Financial Effectiveness/Analysis	Indicate: (i) The Financial Net Present Value, and (ii) The Financial Internal Rate of Return	
Socio-economic Effectiveness/Analysis	Indicate: (i) The Economic Net Present Value, and (ii) The Economic Internal Rate of Return	
Risk Analysis		
Risk Variable	Response	
Environmental Brief	For Category II and III projects list main environmental and social impacts, if adverse, propose mitigation strategies. For Category I projects provide the summary of Environmental Decision letter issued by the Environmental Council, Decision number and Decision Date.	
Procurement Plan	Draft Project Procurement Methods — Open tender, Closed tender, Direct purchases — for all project goods and services (be alert to any Government thresholds). Include a schedule (Gantt Chart) detailing Principal Procurement Deadlines.	
OTHER STUDIES		
Other Studies Conducted	Baseline Study conducted which informed the formulation of the project. List and provide a summary of results of other studies carried out.	
ATTACHMENTS		
List of Supporting Documentation Attached	List all supportive documents/studies that are attached to the form.	



Annex C1: Structure of the Feasibility Study Report

A: EXECUTIVE SUMMARY	
B: OVERVIEW	
	Project Background.
	Project Description.
	Project Objectives.
C: APPROACH AND METHODOLOGY TO THE FEASIBILITY STUDY (FS).	
(Overall study process and description of methodology)	
	Demand Analysis.
	Technical Design.
	Detailed Cost Estimates.
	Financial, Economic and Stakeholder Analysis.
	Legal and Regulatory Assessment.
	Institutional Capacity Assessment.
	Risk Analysis.
	Environmental Impact Assessment.
	Implementation Plan.
	Procurement Plan.
D: Conclusion and Recommendations.	
E: Appendices.	

Annex C2: Feasibility Study Summary Form

Item	Project Information Required
PROJECT SUMMARY	
ID	Insert project identification number. Identification number should be unique and should include up to 5 alphabetic letters to identify the MPSA followed by a numerical sequence.
MPSA	MPSA functionally responsible for the project.
Implementing Agency	Indicate the authority that is or will be in charge of implementing the project.
Project Title	Short and succinct, capturing the essence of the project.
Project Start Date	Indicate the day/month/year in which project implementation is expected to begin.
Project End Date	Indicate the day/month/year in which project implementation is expected to end.
Estimated Project Lifetime	Provide an estimate of the project's economic lifetime
Location	Provide project location including Province and District.
Project Pre-feasibility Study Decision and Date	Insert decision number for the project pre-feasibility study. Enter project PFS decision date.
Feasibility Analysis Completion Date	dd/mm/yyyy
OVERVIEW	
Project Background	Briefly, describe the current situation (that is, without the project), using concrete, factual data.
Project Description	Briefly, describe how the current situation will be affected if the project is implemented. Use specific and accurate data.
Project Objective	Describe the direct benefit of implementing the project. Think of the fundamental reason the project is being proposed — examining immediate change or overall result. Do not provide project details here that can be described elsewhere on the Form.
Alignment with Development Strategies	How the project is aligned with Government strategic objectives? Which Government strategic objectives do the project address, and how?
Other Strategic Considerations	Does the project fit with national security considerations? Could it prevent or mitigate a national disaster (for example, a drought or epidemic)?



Approach and methodology to the FS	
Demand Analysis	Indicate current and future demand for the project's output, as well as the effects of prices, regulation and technological trends on the output.
Technical Design (Feasibility)	Provide the technical description of the project.
Financial Analysis	Indicate: (i) The Financial Net Present Value, and (ii) The Financial Internal Rate of Return
Economic Analysis	Indicate: (i) The Economic Net Present Value, and (ii) The Economic Internal Rate of Return
Institutional Capacity Assessment	Provide a comprehensive assessment of the institutional capacity to effectively implement the project.
COST AND FUNDING	
Total Capital Cost	Final estimates of the project's total capital costs. The estimates of the project's capital costs should be as accurate as possible. Copies of engineering drawings and costing should also be submitted.
Operating and Maintenance Cost	Indicate optimal annual operating and maintenance expenditures.
Sources of Funds for the Project	Internal Contracting Authority funds, Government budget funds, the private sector, borrowing.
RESULTS MATRIX	
Outcomes	List all expected outcomes resulting from the project. Outcomes should be a direct result of the project outputs.
Outputs	List all expected outputs to be directly delivered by the project (that is, the direct result of project activities. See below). Outputs should be within or just within the Government agency's control. List all anticipated results (that is, those that will remain once the project has ended).
Main Activities	List the main project activities associated with the delivery of outputs. Activities should be listed in a logical order and numerically linked to outputs to facilitate an assessment of whether the proposed activities can realistically produce the outputs expected.
Implementation Plan and monitoring plan	Provide a project implementation and monitoring schedule which is technically optimal. The construction schedule should also specify funds required for each phase and propose sources of funding. Provide output and activity schedule (Gantt chart) showing timing, sequencing, and dependencies for all activities.

Procurement Plan	Project procurement methods — open tender, closed tender, direct purchases — for all project goods and services (be alert to any Government thresholds). Include a schedule (Gantt chart) detailing principal procurement deadlines.
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RISK ANALYSIS

(A comprehensive risk analysis shall be conducted at this stage. Whenever possible additional data should be collected to better measure the risk. At this stage implementing agencies are encouraged to use the entire range of techniques, such as sensitivity analysis, decision trees, and risk simulation software.)

Risk Variable	Response
Political risk	
Policy-related risk	
Social risk	
Institutional risk	
Legal risk	
Macroeconomic risk	
Financial risk	
Others	
Environmental and Social Impact Assessment	Indicated the project's social and environmental impacts including the decision date by ZEMA.

STAKEHOLDER ASSESSMENT

Stakeholder	Role	Qualitative Impact	Quantitative Impact
		(if applicable)	(if applicable)
Project beneficiaries			
Stakeholders with adverse impacts from the project (specify)			
Project Sponsor Department/ MPSA			
Implementing authority			
Local government authority			
Donor organisations			



Civil society organisations			
Organised labour			
Local committees			
Others			
OTHER STUDIES			
Other Studies	List and provide a summary of the results of other studies carried out.		
ATTACHMENTS			
List of Supporting Documentation Attached	List all supportive documents/studies that are attached to the form.		

Annex D: Approval Form

Project Approval Form			
Project Title	Insert project title.		
Project ID	Insert project identification number. Identification number should be unique and should include up to 5 alphabetic letters to identify the MPSA, followed by a numerical sequence.		
Project Description	Briefly , describe the project outputs.		
Project Objective	One clear sentence to describe the direct benefit of implementing the project. Think of the fundamental reason the project is being proposed — examining immediate change or overall result. Do not provide project details here that can be described elsewhere on the Form.		
Project Location (Town, District, Constituency and Province)	Provide project location including town, district, constituency and province.		
Project Start Date	Indicate the day/month/year in which project implementation is expected to begin.		
Project End Date	Indicate the day/month/year in which project implementation is expected to end.		
Estimated Project lifetime	Provide an estimate of the project's economic lifetime.		
Implementing Agency	Indicate the authority that is or will be in charge of implementing the project.		
Partnering Agencies	Indicate identified financial partners		
Project Cost Estimate	Indicate: a) total capital cost; and b) total operation and maintenance cost.		
Implementing Agency Project Approval and Authorization			
		Signature	Date
Project Sponsor (this could be a department or agency with the MPSA that is initiating the project)			
Director Planning, MPSA			
Permanent Secretary/ Controlling Officer, MPSA			



Annex E: Project Completion Form

Item	Project Information Required			
PROJECT INFORMATION				
ID	Insert project identification number. Identification number should be unique and should include up to 5 alphabetic letters to identify the MPSA followed by a numerical sequence.			
MPSA	MPSA functionally responsible for the project.			
Implementing Agency	Indicate the authority that was in charge of implementing the project.			
Title	Short and succinct, capturing the essence of the project.			
Project Objectives				
Item	Status	Comment		
Project Objective	Achieved or not achieved	Include any pertinent comments/explanations about the objective, especially if it was not achieved		
Timelines< Indicate any changes in the timelines of the project. >				
Item	Expected	Actual	Variance (calendar days)	Variance Explanation
Start date	dd - mm - yyyy	dd-mm-yyyy		
End date	dd - mm - yyyy	dd-mm-yyyy		
Budget < Provide details of the budget. Detailed budget information can be included as an attachment. >				
Item	Expected	Actual	Variance	Variance Explanation
			(Currency/%)	
Project Cost				
Lessons Learned from Project Describe any lessons learned during the various stages of the project cycle.				

Signatures and dates				
Item	Project Information Required			
PROJECT INFORMATION				
ID	Insert project identification number. Identification number should be unique and should include up to 5 alphabetic letters to identify the MPSA followed by a numerical sequence.			
MPSA	MPSA functionally responsible for the project.			
Implementing Agency	Indicate the authority that was in charge of implementing the project.			
Title	Short and succinct, capturing the essence of the project.			
Project Objectives				
Item	Status		Comment	
Project Objective	Achieved or not achieved		Include any pertinent comments/explanations about the objective, especially if it was not achieved	
Timelines < Indicate any changes in the timelines of the project. >				
Item	Expected	Actual	Variance (calendar days)	Variance Explanation
Start date	dd-mm-yyyy	dd-mm-yyyy		
End date	dd-mm-yyyy	dd-mm-yyyy		
Budget< Provide details of the budget. Detailed budget information can be included as an attachment. >				
Item	Expected		Actual	Variance
				[Currency/%]
Project Cost				
Lessons Learned from Project				
Describe any lessons learned during the various stages of the project cycle.				
Signatures and dates				

