An abstract graphic at the top of the page consists of a dark blue background with a network of thin white lines connecting various colored dots (yellow, blue, orange, white) scattered across the space, creating a complex, web-like structure.

Independent Country Programme Evaluation:

Zambia

Annexes



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ANNEX 1. TERMS OF REFERENCE

INTRODUCTION

The Independent Evaluation Office (IEO) of the United Nations Development Program (UNDP) conducts country evaluations called “Independent Country Programme Evaluations (ICPEs)” to capture and demonstrate evaluative evidence of UNDP’s contributions to development results at the country level, as well as the effectiveness of UNDP’s strategy in facilitating and leveraging national effort for achieving development results. The purpose of an ICPE is to:

- Support the development of the next UNDP Country Programme Document
- Strengthen accountability of UNDP to national stakeholders
- Strengthen accountability of UNDP to the Executive Board

ICPEs are independent evaluations carried out within the overall provisions contained in the UNDP Evaluation Policy.¹ The IEO is independent of UNDP management and is headed by a Director who reports to the UNDP Executive Board. The responsibility of the IEO is two-fold: (a) provide the Executive Board with valid and credible information from evaluations for corporate accountability, decision-making and improvement; and (b) enhance the independence, credibility and utility of the evaluation function, and its coherence, harmonization and alignment in support of United Nations reform and national ownership. Based on the principle of national ownership, IEO seeks to conduct ICPEs in collaboration with the national authorities where the country programme is implemented.

UNDP Zambia has been selected for an ICPE since its country programme will end in 2021. The ICPE will be conducted in 2020 to feed into the development of the new country programme. The ICPE will be conducted in close collaboration with the Government of Zambia, UNDP Zambia country office, and UNDP Regional Bureau for Africa.

NATIONAL CONTEXT

Zambia’s Seventh National Development Plan (7NDP) guides the country’s development planning for the period 2017-2021. The 7NDP, under the theme “Accelerating Development Efforts towards Vision 2030 without Leaving Anyone Behind,” has an integrated multi-sectoral development approach with multi-sectoral strategies. Zambia aims to become a “prosperous middle-income country by 2030” under its Vision 2030, with a diversified and resilient economy driven by agriculture, tourism, manufacturing and mining.² Zambia is a medium human development country, positioned at 143 of 189 countries and territories.³ The country has experienced good economic growth over the past 20 years, however it is still considered one of the Least Developed Countries due to inequality. Zambia has the third-highest level of income inequality in the world.⁴ An estimated 56.2% of Zambians lived under \$1.90 per

¹ See UNDP Evaluation Policy: www.undp.org/eo/documents/Evaluation-Policy.pdf. The ICPE is conducted in adherence to the Norms and the Standards and the ethical Code of Conduct established by the United Nations Evaluation Group (www.uneval.org).

² <https://www.zm.one.un.org/download/file/fid/534>

³ UNDP, Briefing note for countries on the 2019 Human Development Report: Zambia, 2019. http://www.hdr.undp.org/sites/all/themes/hdr_theme/country-notes/ZMB.pdf

⁴ Gini coefficient measure of 57.1 (World Bank, 2015). <http://www.hdr.undp.org/en/indicators/67106#>

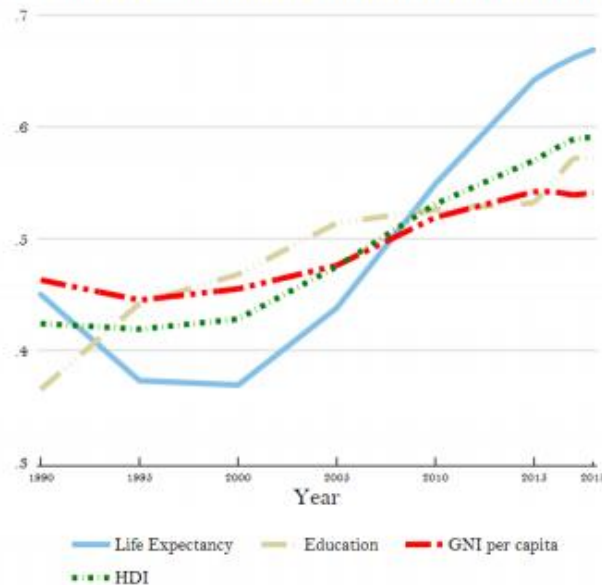
day in 2018.⁵ Poverty is most prevalent in rural areas, where 77% of Zambians in poverty live. While Zambia has had steady progress in most development indicators, slowed economic growth and climate change pose serious threats to sustainable livelihoods and poverty alleviation efforts.

The Zambian economy is dominated by the copper industry, which represents more than 70% of export earnings. Lowered global prices for copper, the impact of drought and flooding, and increasing public debt (reaching 73% of GDP in 2018, up from 64% in 2017) have slowed Zambia's economic growth.⁶

Between 1990 and 2018, Zambia had steady progress in education and income (see Figure 1) which has led to a 40% increase in the HDI during the same period (.421). While life expectancy was decreasing in the 1990s (49.2 to 44.0 years) largely due to the HIV/AIDS crisis, Zambia had a positive reversal by 2000, and life expectancy rose to 63.5 years by 2018.

Climate change has accelerated in Zambia, bringing immediate and devastating impacts for food and water security, livelihoods, and energy. Zambia recorded one of the lowest rainfalls since 1981 in 2018-2019, with El Nino conditions.⁷ Droughts in the western and southern provinces have become more frequent and intense, while the north has suffered from flash floods. The situation has been compounded by pest infestations and livestock diseases resulting in major declines in agricultural production, including staple crop maize.⁸ OCHA estimates 2.3 million people will be food insecure during the 2019-2020 lean season (October-March) – 25% of the rural population – with at least 430,000 in emergency levels.⁹ Reduced access to clean water also increases the risk of communicable disease outbreaks – with 64% relying on unsafe sources in drought-affected areas. The record low rainfall has disrupted power supply from the hydroelectric Kariba Dam, the country's main power source, resulting in regular rolling blackouts which jeopardize businesses; 95% of the country's energy supply is from hydropower.¹⁰ Zambia has signed on the Paris climate agreement however, gaps remain in adequate financial, technological and technical support, national reporting capacities, and access to funding.¹¹

Figure 1: Trends in Zambia's HDI component indices 1990-2018



⁵ World Bank, Wealth Beyond Mining: Leveraging Renewable Natural Capital, July 2019, 24. <http://documents.worldbank.org/curated/en/585601563379738493/Wealth-Beyond-Mining-Leveraging-Renewable-Natural-Capital>

⁶ Wealth Beyond Mining, 2.

⁷ OCHA, Zambia 2019-2020 Humanitarian Appeal, 5, citing Zambia Meteorological Department. https://reliefweb.int/sites/reliefweb.int/files/resources/ROSEA_20191024_Zambia_Response_Plan.pdf

⁸ OCHA estimated a 16% decline in national production; Gwembe district was the most affected by the drought, with a 98% reduction in maize production.

⁹ Zambia 2019-2020 Humanitarian Appeal and OCHA, Zambia Vulnerability Assessment Committee Results 2019, July 2019. https://reliefweb.int/sites/reliefweb.int/files/resources/SADC_Zambia_snapshot_July2019.pdf

¹⁰ Wealth Beyond Mining, 5.

¹¹ Republic of Zambia, Zambia's Statement to the 25th Session of COP-25 to the UNFCCC, December 2019. https://unfccc.int/sites/default/files/resource/ZAMBIA_cop25cmp15cma2_HLS_EN.pdf

Zambia ranks 144th of 177 countries in the 2018 Gender Inequality Index (.540). The Zambia National Assembly has 18% female representation (29 of 165 members)¹² with 30% women in ministerial positions.¹³ Although Zambia has a legal framework on domestic violence (i.e. the Anti-Gender-Based Violence Act, Domestic Violence Act of 2011 and the National Gender Policy of 2014), it is still common, as 43 percent of women aged 15-49 have experienced physical violence (31 percent from a partner in the last year) and 17 percent have experienced sexual violence.¹⁴ Child marriage is also prevalent: 45 percent of women marry by age 18.¹⁵

As of October 2019, Zambia hosts 85,579 registered persons of concern: refugees and asylum seekers.¹⁶ Two in three persons of concern live in Meheba and Mayukwayukwa settlements, one in five live in urban areas, with the remainder (14%) self-settled throughout five districts.

UNDP PROGRAMME STRATEGY IN ZAMBIA

UNDP has worked in Zambia since 1964. Cooperation was formalized with the Standard Basic Assistance Agreement signed in 1983 to support national development. The United Nations in Zambia and the Government of Zambia shifted from a development assistance to a partnership framework outlined in the Zambia-United Nations Sustainable Development Partnership Framework (UNSDPF) (2016-2021), reflecting the country's graduation to lower-middle income country in 2010 and medium human development in 2014.

Zambia is a Delivering as One (DaO) country. The 2016-2021 UNDP country programme aligns with this partnership framework and contributes to the objectives of the Zambia Seventh National Development Plan (7NDP) (2017-2021). UNDP's 2016 Zambia Human Development Report (Industrialization and Human Development: Poverty Reduction through Wealth and Employment Creation), found that despite marked economic improvements, there are "left behind" populations which are marginalized from socioeconomic progress and slow development gains.¹⁷ This analysis informed the 7NDP and the partnership framework, which pursues three sustainable development pillars (inclusive social development, environmentally sustainable economic development, and governance and participation) to "deliver transformation as one."

In previous country programmes, UNDP Zambia had a substantial healthcare portfolio as the Global Fund Principal Recipient to the Government. This role is being handed over to the Government during the 2016-2020 country programme, with UNDP supporting this transition through capacity building to the Ministry of Health and Medical Stores Limited (an autonomous government agency) on health sector supply chains. UNDP planned to leverage this experience to support Zambia's efforts to access vertical funds such as the Green Climate Fund, support South-South Cooperation with Brazil, China, South Africa, and others, as well as development cooperation with OECD Development Assistance Committee members.

UNDP Zambia has three core areas of work: inclusive growth, governance and gender, and environment and energy. The 2016-2021 Country Programme Document outlines four outcomes in these areas:

¹² National Assembly of Zambia, Members of Parliament by Gender. 2020. <http://www.parliament.gov.zm/members/gender>

¹³ World Economic Forum, Global Gender Gap Report 2020: Zambia, 2019. <http://reports.weforum.org/global-gender-gap-report-2020/dataexplorer/#economy=ZMB>

¹⁴ Zambia Demographic and Health Survey 2013-2014, 273 <https://www.dhsprogram.com/pubs/pdf/FR304/FR304.pdf>.

¹⁵ Zambia Demographic and Health Survey 2013-2014, 58.

¹⁶ UNHCR, Zambia Persons of Concern as of 31 October 2019. <https://reliefweb.int/sites/reliefweb.int/files/resources/72114.pdf>

¹⁷ http://hdr.undp.org/sites/default/files/zambia_human_development_report_2016.pdf

Environment and Energy

Outcome 1: By 2021, productive sectors expand income earning opportunities that are decent and sustainable, especially for youths and women in the poorest areas.

Inclusive Growth

Outcome 2: By 2021 national institutions at all levels target, manage, coordinate and account for resources for equitable service delivery and economic growth that is based on reliable data.

Outcome 4: By 2021, All people in Zambia, including the large number of marginalized and vulnerable people, have greater understanding of their rights and are able to claim them, have greater human security, have access to justice and have equal opportunity under the law.

Governance and Gender

Outcome 3: By 2021, All people in Zambia, including women, youth and marginalized, have equitable and effective participation in national and democratic processes, especially women, youth and marginalized groups.

Table 1: Country programme outcomes and indicative resources (2016–2021)

	Country Programme Output	Finances (US\$ million)	
		Indicative Resources	2016-19 Expenditure
Outcome 1	<p>Output 1.1: Gov. has developed policies, strategies, plans and systems at national and subnational levels to achieve sustainable management of extractives and employment/livelihood intensive productive sectors for reduction of poverty and inequalities.</p> <p>Output 1.2: MLNREP and its partners have developed policies, systems and measures at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.</p> <p>Output 1.3: Government has scaled up action on climate change adaptation and mitigation across sectors with increased funding and implementation status.</p> <p>Output 1.4: MMEWD has developed inclusive and sustainable solutions to achieve increased energy efficiency and universal modern energy access.</p>	<p>Regular: \$3.0</p> <p>Other: \$47.0</p> <p>Total: \$50.0</p>	<p>Regular: \$5.3</p> <p>Other: \$21.1</p> <p>Total: \$26.4</p>
Outcome 2	<p>Output 2.1: Planning, coordination, accountability and implementing ministries have reviewed policies, plans, functions, financing, systems and implementation procedures at national and sub-national levels to deliver improved basic services and respond to priorities voiced by the public. Output 2.2: MoH and partner orgs. have revised policies, laws, systems and institutional arrangements for equitable, accountable and effective delivery of HIV and related services.</p> <p>Output 2.3: The Judiciary, MoJ, and related national institutions have reviewed laws, strategies, procedures, functions and financing to improve access to justice and redress.</p> <p>Output 2.4: Gov. has revised institutional arrangements and put measures in place and systems for implementation of across sector strategies to prevent and respond to SGBV.</p>	<p>Regular: \$6.0</p> <p>Other: \$36.0</p> <p>Total: \$42.0</p>	<p>Regular: \$2.0</p> <p>Other: \$57.4</p> <p>Total: \$59.4</p>
Outcome 3	<p>Output 3.1: Parliament constitution making body and Electoral Commission have developed strategies, laws, systems, and institutional mechanisms to enable them to perform core functions for improved accountability, participation and representation.</p> <p>Output 3.2: Natl. Assembly has developed strategies, policies and legal frameworks to address awareness, prevention and enforcement of anti-corruption measures.</p> <p>Output 3.3: CSOs have developed frameworks, strategic plans and platforms for effective engagement with government on national development and parallel reporting on regional and international conventions.</p> <p>Output 3.4: National institutions have revised legal and regulatory frameworks, policies, strategies and systems to ensure conservation and sustainable use of natural resources and biodiversity in line with international conventions and national legislation.</p>	<p>Regular: \$6.5</p> <p>Other: \$16.0</p> <p>Total: \$22.5</p>	<p>Regular: \$1.4</p> <p>Other: \$7.6</p> <p>Total: \$9.0</p>

Outcome 4	Output 4.1: Human Rights Commission has developed strategies, procedures and systems to perform core functions for advocating the domestication and fulfilment of human rights in line with regional and international treaties and conventions.	Regular: \$1.0	Regular: \$1.3
	Output 4.2: Communities, CSOs and marginalized groups have developed networks and coalitions to fight discrimination and address emerging issues.	Other: \$4.5	Other: \$3.1
	Output 4.3: Line ministries driving national econ. growth have developed evidence-informed national strategies and partnerships to advance gender equality and women's empowerment.	Total: \$5.5	Total: \$4.4
	Other (regional, global and management projects)		Regular: \$2.2 Other: \$2.7 Total: \$4.9
	TOTAL	Regular: \$16.5 Other: \$103.5 Total: \$120.0	Regular: \$12.2 Other: \$92.0 Total: \$104.2

Source: UNDP Zambia CPD 2016–2021 (DP/DCP/ZMB/3). Expenditure data from Atlas/PowerBI, as of September 2020.

SCOPE OF THE EVALUATION

ICPEs are conducted in the penultimate year of the ongoing UNDP country programme in order to feed into the process of developing the new country programme.

As the country-level evaluation of UNDP, ICPEs will focus on the formal UNDP country programmes approved by the Executive Board. The country programmes are defined – depending on the programme cycle and the country – in the Country Programme Document (CPD). The scope of the ICPE includes the entirety of UNDP's activities in the country and therefore covers interventions funded by all sources, including core UNDP resources, donor funds, government funds. There will also be initiatives from the regional and global programmes that are included in the scope of the ICPE. It is important to note, however, that a UNDP county office may be involved in a number of activities that may not be included in a specific project. Some of these 'non-project' activities may be crucial for the political and social agenda of a country.

Special efforts will be made to capture the role and contribution of UNV and UNCDF through undertaking joint work with UNDP. This information will be used for synthesis in order to provide corporate level evaluative evidence of performance of the associated fund and programme.

METHODOLOGY

The evaluation methodology will adhere to the United Nations Evaluation Group (UNEG) Norms & Standards.¹⁸ The ICPE will address the following three key evaluation questions.¹⁹ These questions will also guide the presentation of the evaluation findings in the report.

1. What did the UNDP country programme intend to achieve during the period under review?
2. To what extent has the programme achieved (or is likely to achieve) its intended objectives?

¹⁸ <http://www.uneval.org/document/detail/1914>

¹⁹ The ICPEs have adopted a streamlined methodology, which differs from the previous ADRs that were structured according to the four standard OECD DAC criteria.

3. What factors contributed to or hindered UNDP's performance and eventually, the sustainability of results?

The ICPE is conducted at the outcome level. To address question 1, a Theory of Change (ToC) approach will be used in consultation with stakeholders, as appropriate. Discussions of the ToC will focus on mapping the assumptions behind the programme's desired change(s) and the causal linkages between the intervention(s) and the intended country programme outcomes. As part of this analysis, the CPD's progression over the review period will also be examined. In assessing the CPD's evolution, UNDP's capacity to adapt to the changing context and respond to national development needs and priorities will also be looked at. The effectiveness of UNDP's country programme will be analysed under evaluation question 2. This will include an assessment of the achieved outputs and the extent to which these outputs have contributed to the intended CPD outcomes. In this process, both positive and negative, direct and indirect unintended outcomes will also be identified.

To better understand UNDP's performance, the specific factors that influenced - positively or negatively - UNDP's performance and eventually, the sustainability of results in the country will be examined under evaluation question 3. The utilization of resources to deliver results (including managerial practices), the extent to which the CO fostered partnerships and synergies with other actors (including through south-south and triangular cooperation), and the integration of gender equality and women's empowerment in design and implementation of the CPD are some of the aspects that will be assessed under this question.

Special attention will be given to integrate a gender-responsive evaluation approach to data collection methods. To assess gender, the evaluation will consider the gender marker²⁰ in the portfolio analyses by priority outcome area and the gender results effectiveness scale (GRES) when assessing results. The GRES classifies gender results into five categories: gender negative, gender blind, gender targeted, gender responsive, gender transformative. In addition, gender-related questions will be incorporated in the data collection methods and tools, such as the pre-mission questionnaire and interview questionnaire, and reporting.

DATA COLLECTION

Assessment of data collection constraints and existing data: An assessment was carried for each outcome to ascertain the available information, identify data constraints, to determine the data collection needs and method. The assessment outlined the level of evaluable data that is available. The assessment indicates that: there are seven completed evaluations and one planned evaluation for this country programme cycle.²¹ With respect to indicators, the CPD, UNDP Results-Oriented Annual Report (ROAR) and the corporate planning system associated with it also provide baselines, indicators, targets, as well as annual data on the status of the indicators. Evaluability concerns include (i) institutional memory and staff turnover, (ii) limited evaluations for outcomes 2, 3, and 4, and (iv) incomplete reporting or lack of annual data on outcome and output indicators.

Data collection methods: The evaluation will use data from primary and secondary sources, including desk review of documentation, surveys and information and interviews with key stakeholders, including beneficiaries, partners and managers. The evaluation questions mentioned above, and the data collection

²⁰ A corporate tool to sensitize programme managers in advancing GEWE by assigning ratings to projects during their design phase to indicate the level of expected contribution to GEWE. It can also be used to track planned programme expenditures on GEWE (not actual expenditures).

²¹ <https://erc.undp.org/evaluation/plans/detail/1400>

method will be further detailed and outlined in the outcome analysis. A multi-stakeholder approach will be followed, and interviews will include government representatives, civil-society organizations, private-sector representatives, UN agencies, multilateral organizations, bilateral donors, and beneficiaries of the programme. Focus groups will be used to consult some groups of beneficiaries as appropriate.

The criteria for selecting projects for field visits include:

- Programme coverage (projects covering the various components and cross-cutting areas)
- Financial expenditure (projects of all sizes, both large and smaller pilot projects)
- Geographic coverage (not only national-level and urban-based ones, but also in the various regions)
- Maturity (covering both completed and active projects)
- Programme cycle (coverage of projects/activities from the past and mainly the current cycles)
- Degree of “success” (coverage of successful projects, as well as projects reporting difficulties where lessons can be learned)

The IEO and the CO will identify an initial list of background and programme-related documents and post it on an ICPE SharePoint website. The following secondary data and others will be reviewed: background documents on the national context, documents prepared by international partners and other UN agencies during the period under review; programmatic documents such as workplans and frameworks; progress reports; monitoring self-assessments such as the yearly UNDP Results Oriented Annual Reports (ROARs); and evaluations conducted by the country office and partners, including the quality assurance reports.

All information and data collected from multiple sources will be triangulated to ensure its validity. The evaluation matrix will be used to organize the available evidence by key evaluation question. This will also facilitate the analysis process and will support the evaluation team in drawing well substantiated conclusions and recommendations.

In line with UNDP’s gender mainstreaming strategy, the ICPE will examine the level of gender mainstreaming across all of UNDP Zambia programmes and operations. Gender disaggregated data will be collected, where available, and assessed against its programme outcomes. This information will be used to provide corporate level evidence on the performance of the associated fund and programme.

Stakeholder involvement: A participatory and transparent process will be followed to engage with multiple stakeholders at all stages of the evaluation process. During the initial phase a stakeholder analysis will be conducted to identify all relevant UNDP partners, including those that may have not worked with UNDP but play a key role in the outcomes to which UNDP contributes. This stakeholder analysis will serve to identify key informants for interviews during the main data collection phase of the evaluation, and to examine any potential partnerships that could further improve UNDP’s contribution to the country.

MANAGEMENT ARRANGEMENTS

Independent Evaluation Office of UNDP: The UNDP IEO will conduct the ICPE in consultation with the UNDP Zambia country office, the Regional Bureau for Africa and the Government of Zambia. The IEO lead evaluator will lead the evaluation and coordinate the evaluation team. The IEO will cover all costs directly related to the conduct of the ICPE.

UNDP Country Office in Zambia: The country office will support the evaluation team to liaise with key partners and other stakeholders, make available to the team all necessary information regarding UNDP’s programmes, projects and activities in the country, and provide factual verifications of the draft report on a timely basis. The country office will provide the evaluation team support in kind (e.g. arranging meetings

with project staff, stakeholders and beneficiaries; and assistance for the project site visits). To ensure the anonymity of the views expressed, the CO staff will not participate in the interviews with key stakeholders. The country office and IEO will jointly organize the final stakeholder debriefing, ensuring participation of key government counterparts, through a videoconference, where findings and results of the evaluation will be presented. Once a final draft report has been prepared, the CO will prepare a management response to the evaluation recommendations, in consultation with the Regional Bureau. It will support the use and dissemination of the final ICPE report at the country level.

UNDP Regional Bureau for Africa: The UNDP Regional Bureau for Africa will support the evaluation through information sharing and will also participate in the final stakeholder debriefing. Once the evaluation has been completed, the Bureau is also responsible of supporting the country office in the preparation of the management response, as required, and monitoring the implementation of the evaluation recommendations, in accordance with the management response.

Evaluation Team: The IEO will constitute an evaluation team to undertake the ICPE. The IEO will ensure gender balance in the team which will include the following members:

- **Lead Evaluator (LE) Ana Rosa Soares:** IEO staff member with overall responsibility for developing the evaluation design and terms of reference; managing the conduct of the ICPE, preparing/finalizing the final report; and organizing the stakeholder workshop, as appropriate, with the country office.
- **Associate Lead Evaluator (ALE) Elizabeth Wojnar:** IEO staff member with the general responsibility to support the LE, including in the preparation of terms of reference, data collection and analysis and the final report. Together with the LE, she will help backstop the work of other team members. The ALE will also provide background research and support portfolio analysis.
- **Consultants:** Two external consultants (preferably national/regional but international consultants will also be considered, as needed) will be recruited to collect data and help assess the governance and environment portfolios. Under the guidance of LE, they will conduct preliminary research and data collection activities, prepare outcome analysis, and contribute to the preparation of the final ICPE report.

The roles of the different members of the evaluation team are summarized in table 2.

Table 2: Data collection responsibilities by outcome		
Outcome/area	Data collection	Report
Outcome 1	Consultant 1 and LE	Consultant 1 and LE
Outcome 2	ALE and LE	ALE and LE
Outcomes 3 and 4	Consultant 2	Consultant 2 and LE
Gender mainstreaming and women's empowerment	All	All
Strategic positioning issues	LE	LE
Operations/management	LE/ALE	LE

EVALUATION PROCESS

The ICPE will be conducted according to the approved IEO process.²² The following represents a summary of the five key phases of the process, which constitute framework for conducting the evaluation.

Phase 1: Preparatory work. The IEO prepares the TOR, evaluation design and recruits external evaluation team members, comprising international and/or national development professionals. They are recruited once the TOR is approved. The IEO start collecting data and documentation internally first and then filling data gaps with help from the UNDP country office, and external resources through various methods.

Phase 2: Desk analysis. Further in-depth data collection is conducted, by administering an “advance questionnaire” and interviews (via phone, Skype etc.) with key stakeholders, including country office staff. Based on these the key evaluation questions will guide the evaluation matrix containing detailed questions and means of data collection and verification to guide data collection based on an overall evaluation matrix for the ICPEs. Evaluation team members conduct desk reviews of reference material, prepare a summary of context and other evaluative evidence, and identify the outcome theory of change, specific evaluation questions, gaps and issues that will require validation during the field-based phase of data collection.

Phase 3: Field data collection. The phase will commence in April 2020 (tentatively scheduled for 27 April- 8 May). During this phase, the evaluation team undertakes an in-country mission to engage in data collection activities. The estimated duration of the mission is up to 2-3 calendar weeks. Data will be collected according to the approach outlined in Section 6 with responsibilities outlined in Section 8. The evaluation team will liaise with CO staff and management, key government stakeholders and other partners and beneficiaries. At the end of the mission, the evaluation team holds a formal debrief presentation of the key preliminary findings at the country office.

Phase 4: Analysis, report writing, quality review and debrief. Based on the analysis of data collected and triangulated, the LE will undertake a synthesis process to write the ICPE report. The first draft (“zero draft”) of the ICPE report will be subject to peer review by IEO and the Evaluation Advisory Panel (EAP). Once the first draft is quality cleared, it will be circulated to the country office and the UNDP Regional Bureau for Africa for factual corrections. The second draft, which takes into account any factual corrections, will be shared with national stakeholders for further comments. Any necessary additional corrections will be made, and the UNDP Zambia country office will prepare the management response to the ICPE, under the overall oversight of the regional bureau. The report will then be shared at a final debriefing where the results of the evaluation are presented to key national stakeholders. Ways forward will be discussed with a view to creating greater ownership by national stakeholders in taking forward the recommendations and strengthening national accountability of UNDP. Considering the discussion at the stakeholder event, the evaluation report will be finalized.

Phase 5: Publication and dissemination. The ICPE report, including the management response, and brief summary will be widely distributed in hard and electronic versions. The evaluation report will be made available to UNDP Executive Board by the time of approving a new Country Programme Document. It will be distributed by the IEO within UNDP as well as to the evaluation units of other international organisations, evaluation societies/networks and research institutions in the region. The Zambia country office and the Government of Zambia will disseminate the report to stakeholders in the country. The report and the management response will be published on the UNDP website²³ as well as in the Evaluation

²² The evaluation will be conducted according to the [ICPE Process Manual](#) and the [ICPE Methodology Manual](#)

²³ www.web.undp.org/evaluation

Resource Centre (ERC). The regional bureau will be responsible for monitoring and overseeing the implementation of follow-up actions in the ERC.²⁴

TIMEFRAME FOR THE ICPE PROCESS

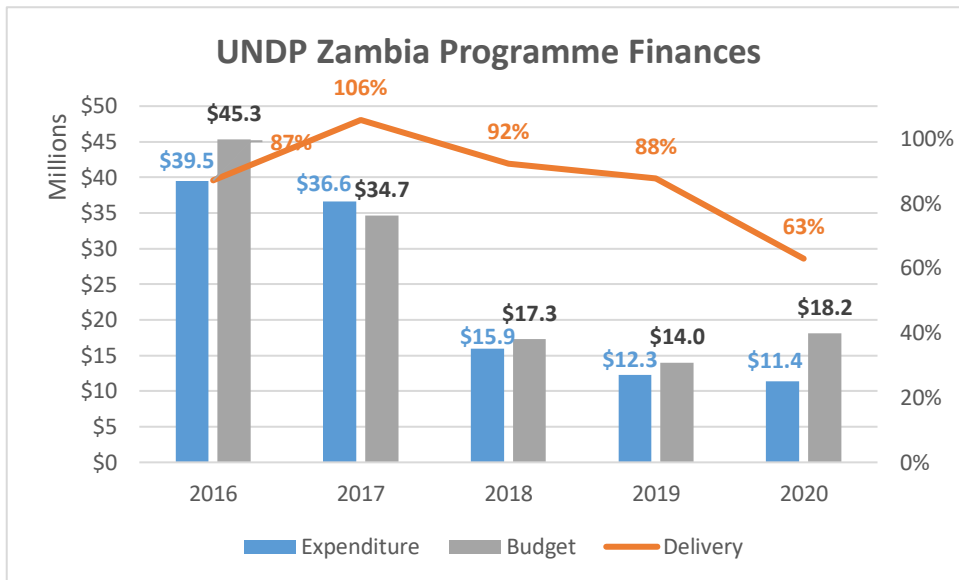
The time frame and responsibilities for the evaluation process are tentatively²⁵ as follows:

Table 3: Timeframe for the ICPE process going to the board in June 2021		
Activity	Responsible party	Proposed timeframe
Phase 1: Preparation		
TOR – approval by the IEO	LE	February 2020
Selection of other evaluation team members	LE	February 2020
Phase 2: Desk analysis		
Preliminary analysis of available data and context analysis	Evaluation team	March 2020
Phase 3: Data collection		
Data collection and preliminary findings	Evaluation team	27 April – 8 May 2020
Phase 4: Analysis, report writing, quality review and debrief		
Analysis and synthesis	LE	June-July 2020
Zero draft ICPE for clearance by IEO and EAP	LE	August 2020
First draft ICPE for CO/RBA review	LE	September 2020
Second draft shared with government	CO/GOV	October 2020
Draft management response	CO/RB	October 2020
Stakeholder workshop	CO/LE	November 2020
Phase 4: Production and follow-up		
Editing and formatting	IEO	December 2020
Final report	IEO	January 2021
Dissemination of the final report	IEO/CO	January 2021

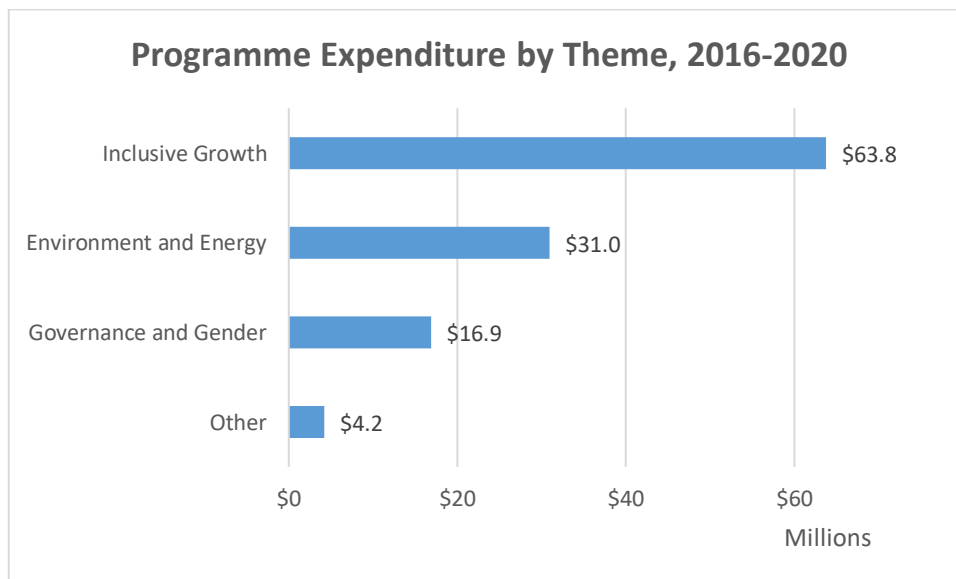
²⁴ www.erc.undp.org

²⁵ The timeframe, indicative of process and deadlines, does not imply full-time engagement of evaluation team during the period.

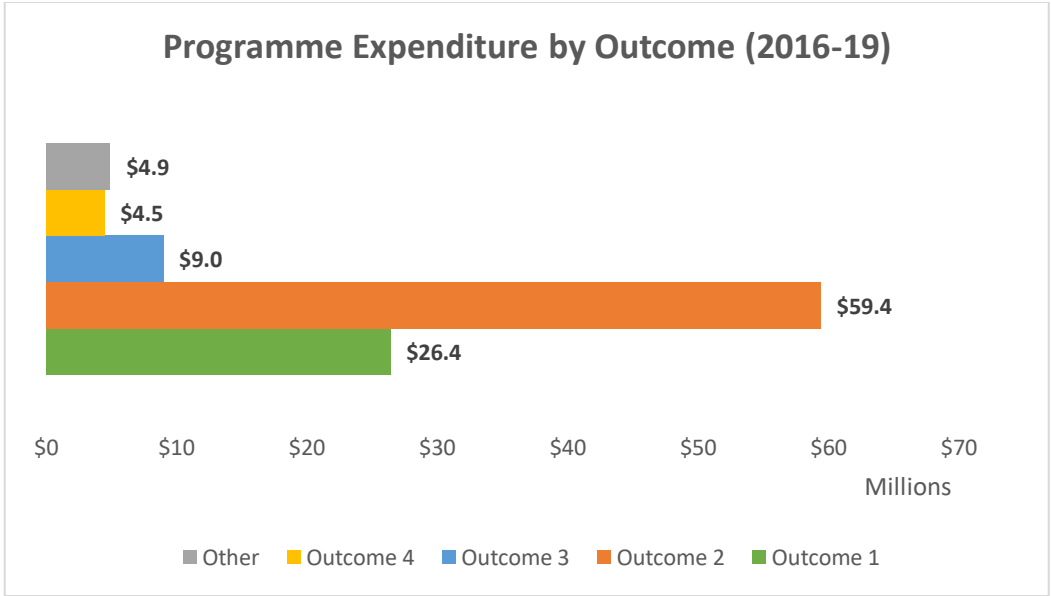
ANNEX 2. COUNTRY OFFICE AT A GLANCE



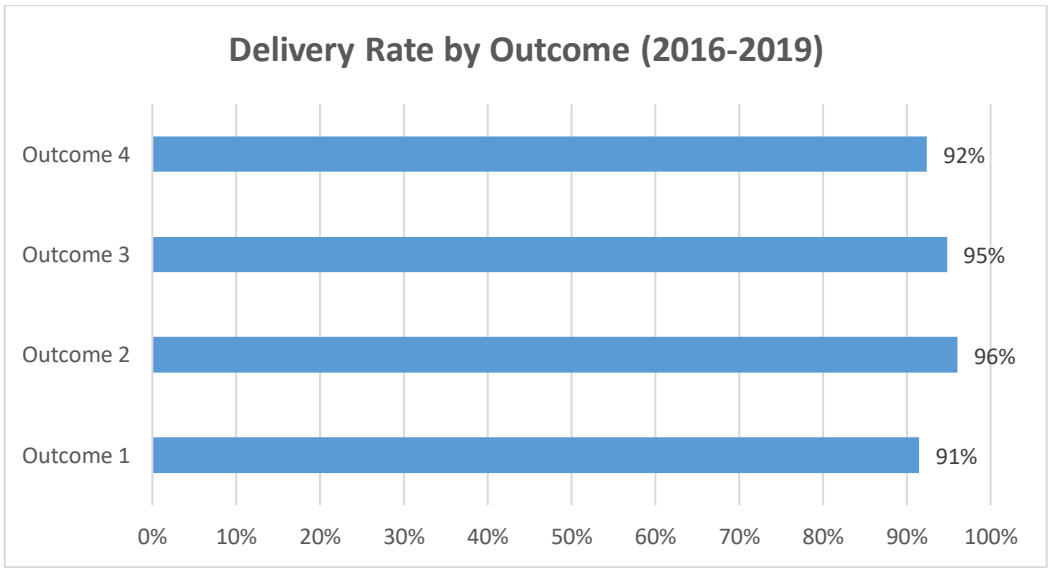
Source: UNDP Atlas, May 2021



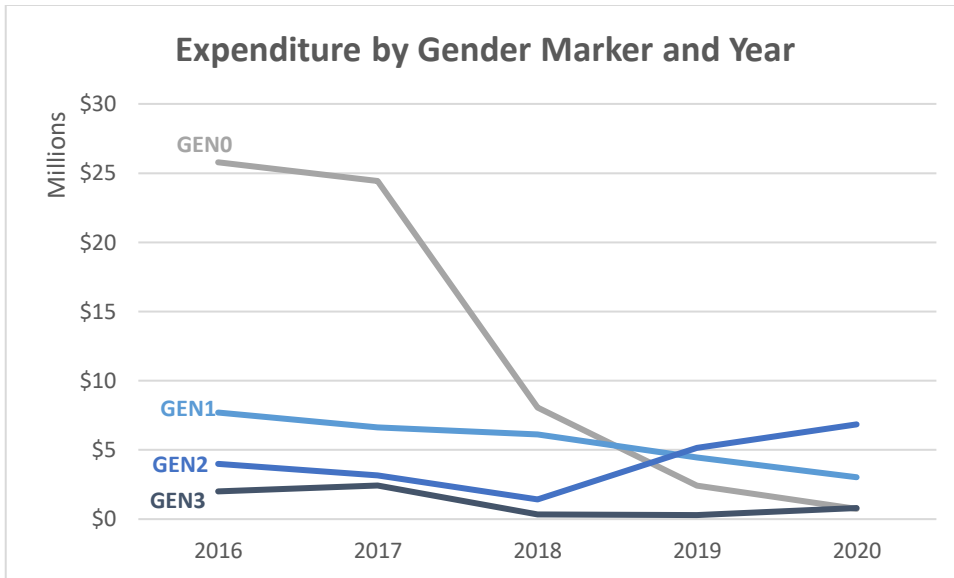
Source: IEO project table and UNDP Atlas data, May 2021



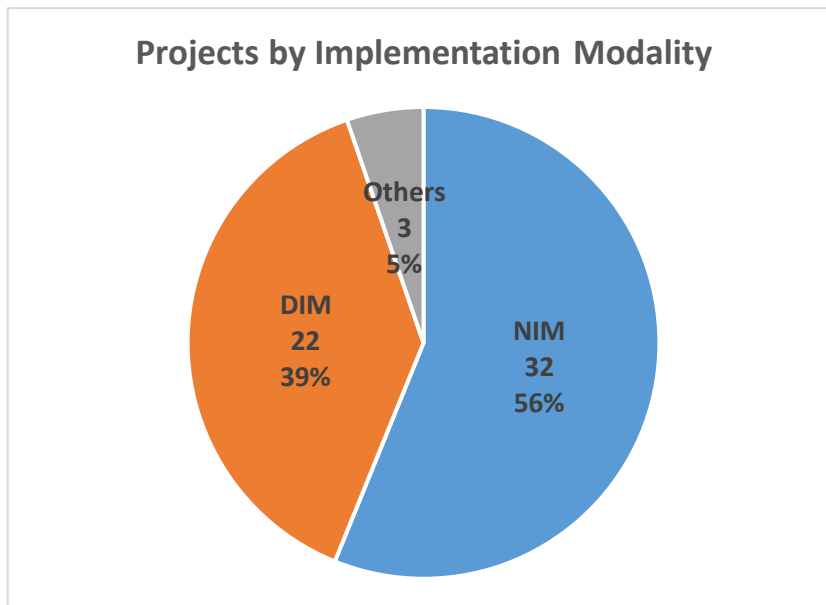
Source: UNDP Atlas, Sept. 2020



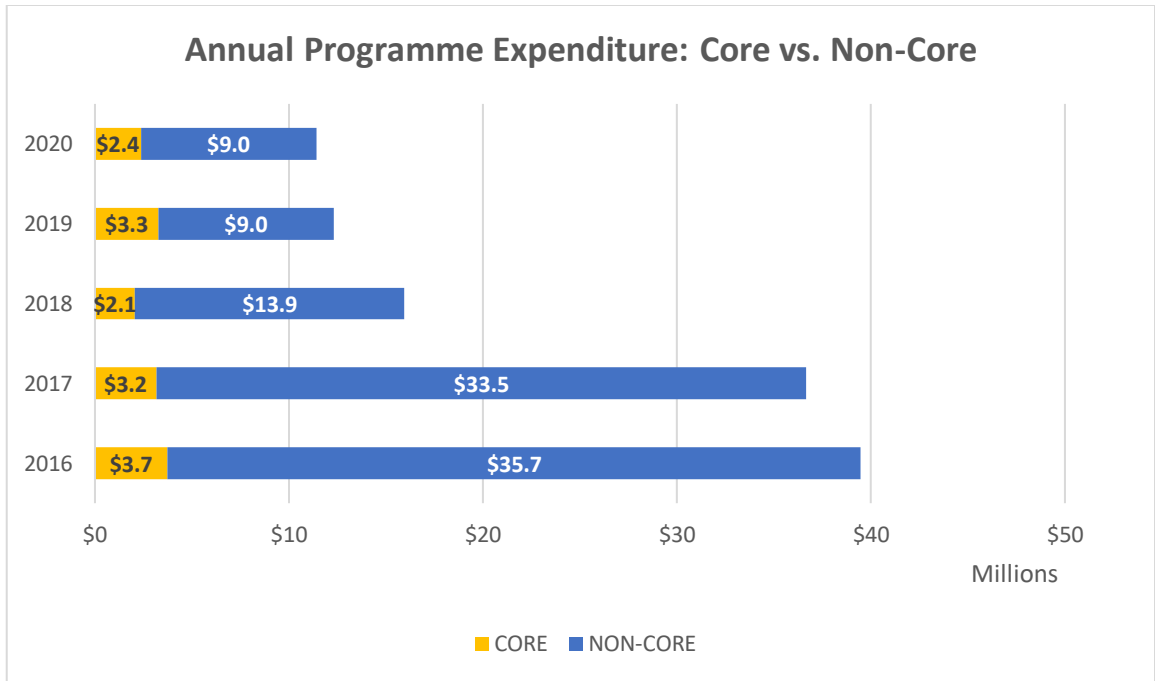
Source: UNDP Atlas, Sept. 2020



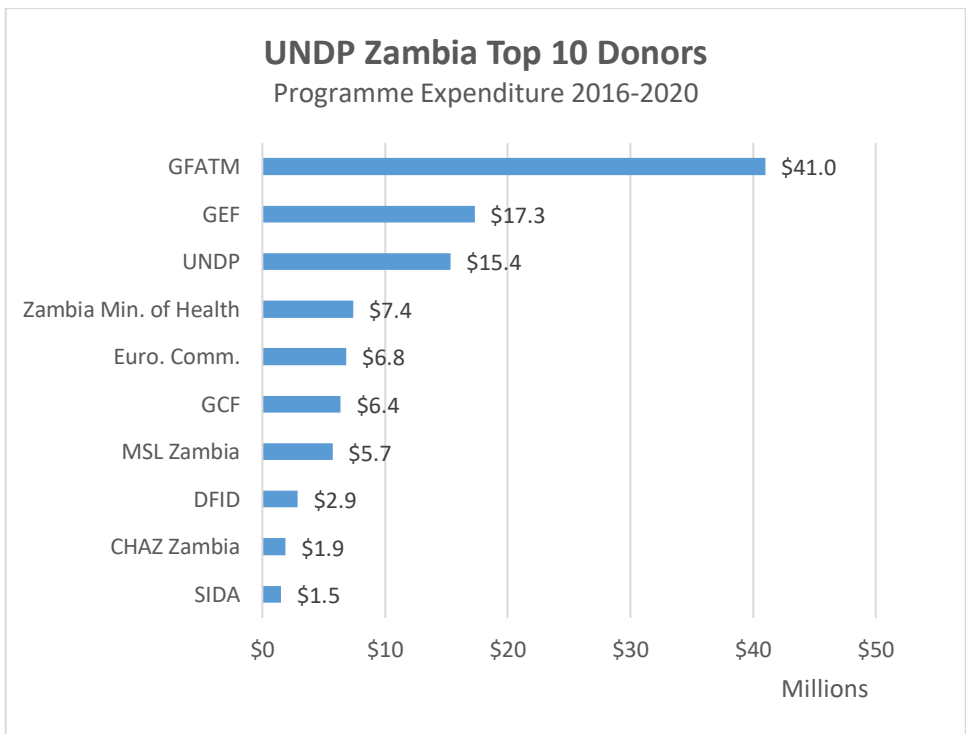
Source: UNDP Atlas, May 2021



Source: IEO project table and UNDP Atlas data, Sept. 2020



Source: UNDP Atlas, May 2021



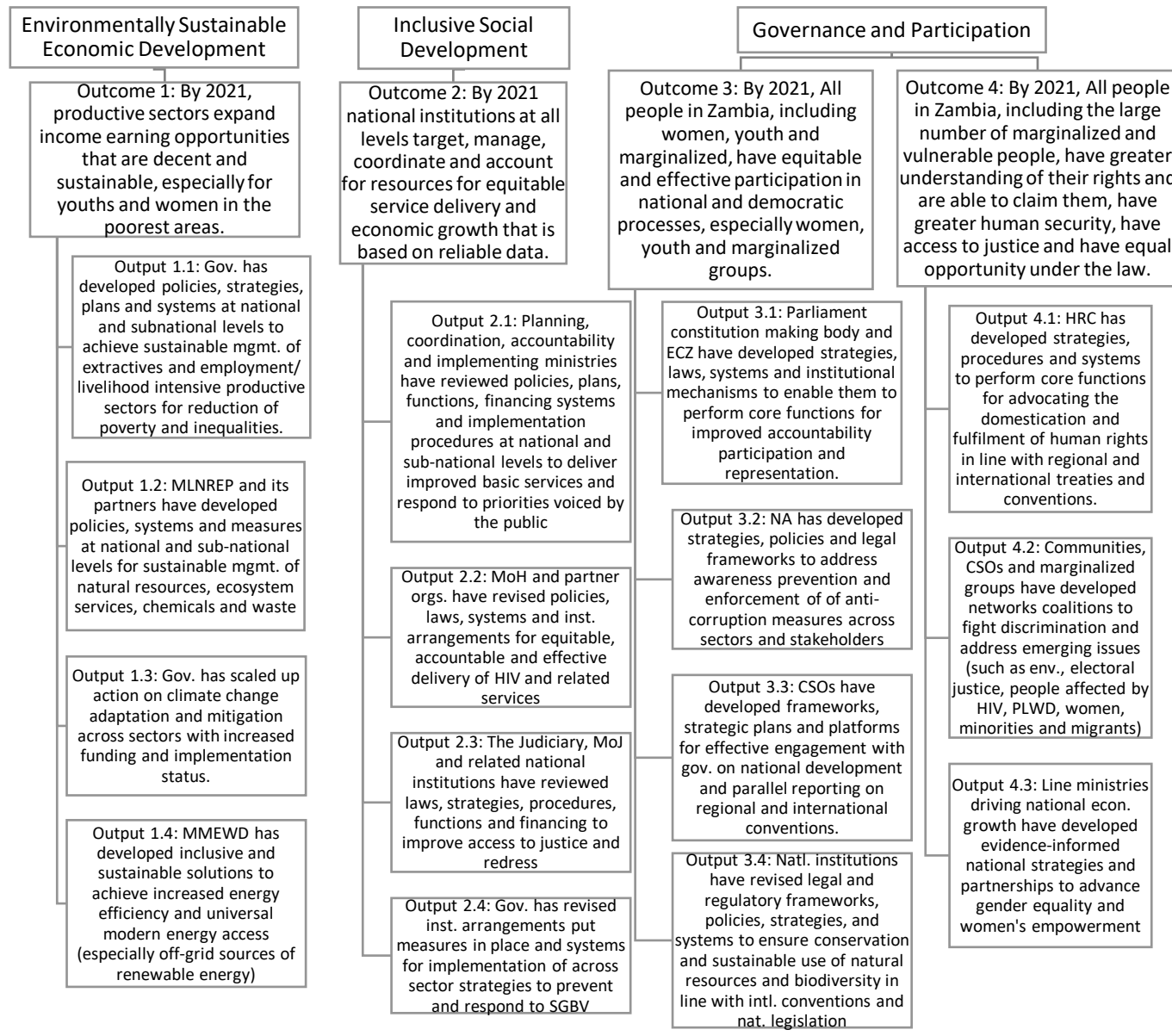
Source: UNDP Atlas, May 2021

ANNEX 3. EVALUATION FRAMEWORK

Key questions	Sub-questions
EFFECTIVENESS	
1. To what extent did the project achieve its stated objectives?	1a. Results achieved/changes, if any brought about by the project at policy, institutional, individual and community levels as applicable?
	1b. Major factors contributing to the achievement of results?
	1c. Key results not achieved?
	1d. Major factors impeding the achievement of results?
	1e. Any positive or negative unintended results?
2. To what extent did the project reach vulnerable and excluded groups?	2a. Mechanisms/criteria applied by the project to reach the vulnerable (poor, minorities, disabled, youth, HIV/AIDS)?
3. To what extent did the project mainstream gender issues?	3a. Extent to which benefitted from the project?
RELEVANCE	
4. How well aligned is the project/programme with national priorities as well as with the needs of the community?	4a. National plan/policy/strategic framework the project objectives fall under, if any at all?
	4b. How needs of the community and beneficiaries were assessed (e.g. needs assessment, consultations, etc.)?
	4c. Participants in planning and design of the project?
5. To what extent is/was the project aligned with UNDP's agenda in addressing inequality and exclusion and gender equality and women's empowerment?	5a. Criteria used in identifying project locations and beneficiaries?
	5b. Did such criteria identify excluded and worse-off groups in villages (poor, minorities, disabled, people living with HIV/AIDS)? If so, are they covered in the project?
	5c. Integration of gender issues in project design?

Key questions	Sub-questions
	5d. Were baselines established for agreed indicators on reduction of inequalities? Extent to which these were monitored and reported on?
<p>6. To what extent were the approaches taken by UNDP appropriate in terms of:</p> <ul style="list-style-type: none"> - Project design (including leveraging of synergies between projects) - Implementation approach (including DIM/NIM) - Balance between upstream and downstream, including in financial allocation 	
EFFICIENCY	
7. How efficiently has UNDP used the available resources to deliver high-quality outputs in a timely manner, and to achieve the targeted objectives?	7a. Extent required support (technical, financial, supplies, etc.) for producing results provided by UNDP?
	7b. If so, adequacy and timeliness of support?
8. To what extent did UNDP address implementation issues faced by the project?	8a. Implementation challenges faced by the project, if any? Extent to which UNDP took prompt action to solve these?
9. How is the <i>current</i> project management structure including reporting structure, oversight responsibility set up?	9a. M&E activities of the project and how frequently are they conducted? How are the results from M&E reported to UNDP, donors and other partners? What worked, what did not work and why?
10. To what extent did UNDP initiate efforts to ensure synergies among various UNDP projects and with those of other partners?	10a. Extent to which UNDP ensured synergies among various interventions? What were the results of this? What were the contributing/hindering factors?
11. To what extent UNDP establish partnerships or coordination mechanisms with other key actors? (CSOs, private sector, UN agencies, donors, academia/research institutions)	11a. Frequency of coordination and progress review meetings with relevant stakeholders? Were these recorded? Any mechanism to follow up on action points?
SUSTAINABILITY	
12. To what extent did the project address sustainability concerns in its designs?	12a. Plans to ensure continuity of the efforts in terms of funding, technical capacity, if any?
	12b. Exit strategy that describes these plans?
13. To what extent will project results be sustainable?	13a. Key enabling/constraining factors (e.g. political, economic / financial, technical, and environmental factors)?
	13b. How well UNDP identified and addressed such factors?

ANNEX 4. THEORY OF CHANGE



Main Risks

- Changes in government result in reprioritization and/or capacity gaps
- Reduced financing due to Zambia's LMIC status.
- Poor coherence of policies and programmes leading to poor service delivery.
- Limited availability of empirical evidence for more accurate targeting of interventions.

Key Assumptions

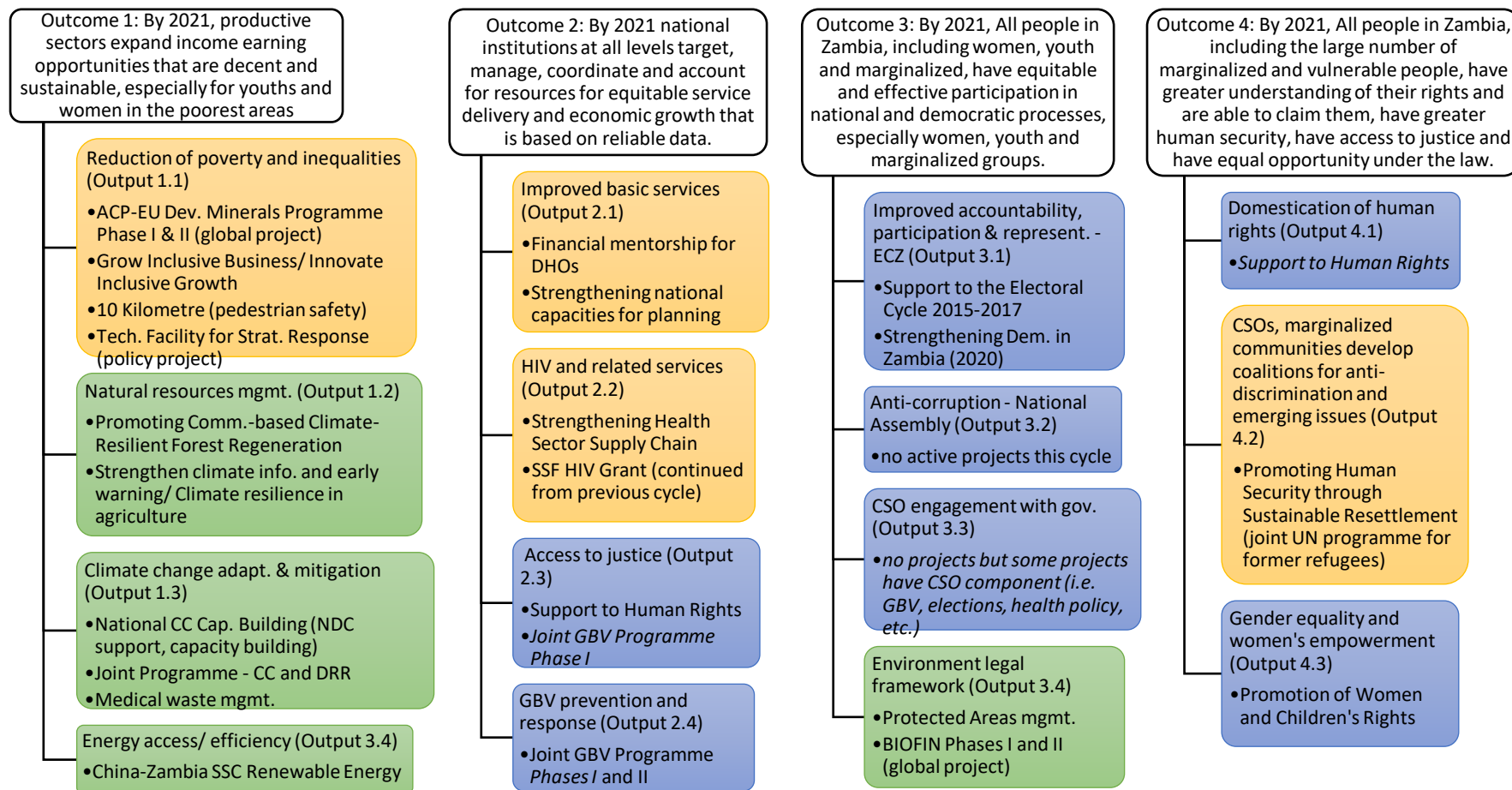
- Cooperation and resources of UN partners to reinforce impact through greater programme and operational synergies
- Access additional financing from existing and emerging vertical funds such as the Green Climate Fund, based on Global Fund experience
- No or minimal restrictions on civil society engagement
- Increased public participation in elections and government processes and strengthened oversight functions will engender greater transparency and accountability
- Policy reforms for natural resource management and energy sectors
- Upgrades in health sector supply chain systems will improve distribution of

ANNEX 5. PROJECT LIST

Project Mapping by CPD Outcome and Output

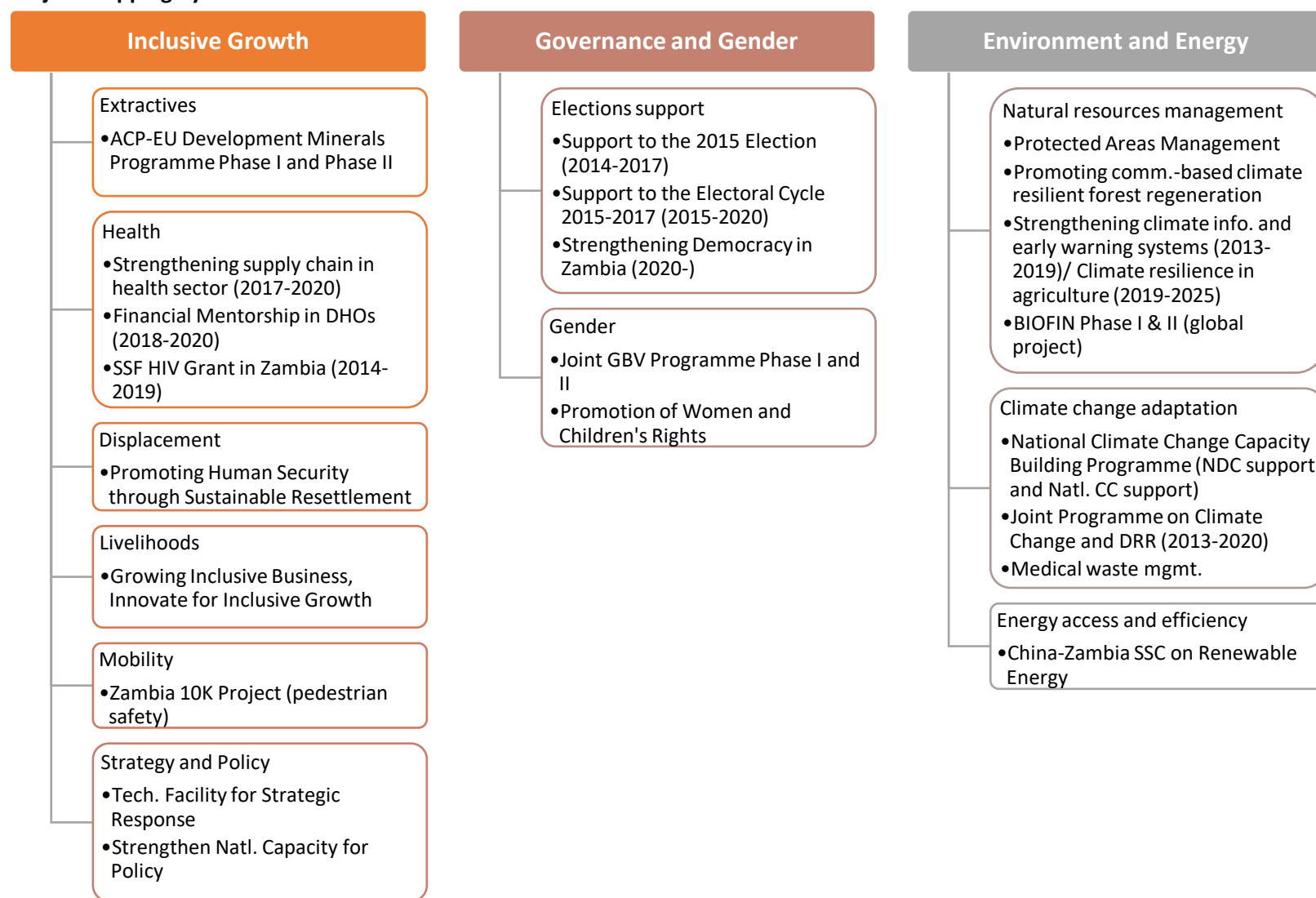
Key: color-coded by Country Office unit

- Inclusive Growth
- Energy and Environment
- Governance and Gender



Note: This project mapping is not comprehensive but covers the key projects implemented during this cycle. Projects which had not yet begun implementation at the time of evaluation, project preparation grants/initiation plans, and projects which had expenditure recorded in 2016 but largely completed programmatic activities in 2015 or earlier are not included. Projects which had not yet begun implementation at the time of evaluation and project preparation grants/initiation plans are not included. Projects may contribute indirectly or secondarily to a second output, in which case it is listed in italics.

Project mapping by theme and intervention are



Note: This project mapping is not comprehensive but covers the key projects implemented during this cycle. Projects which had not yet begun implementation at the time of evaluation, project preparation grants/initiation plans, and projects which had expenditure recorded in 2016 but largely completed programmatic activities in 2015 or earlier are not included.

ANNEX 6. PEOPLE CONSULTED

Government of Zambia

BANDA, Andrew, Department of Resettlement, Office of the Vice President

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CHILEMBO, Hon. Ruth, Judiciary of Zambia

CHILESHE, Lee, Assistant Director, Ministry of National Development Planning

HAMPONDELA, Vanny, M&E Specialist, Ministry of Justice

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MUKOMA, Kanembwa, Forestry Research Officer, Forestry Department, Ministry of Lands and Natural Resources

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SIMWAWA, Charles, Senior Wildlife Warden - Solwezi, Dept. of National Parks and Wildlife, Ministry of Tourism

SINYANGWE, Joy, Principal Land Husbandry Officer, Ministry of Agriculture

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MANDA, Mandy, National Law Clinic for Women

MUMBA, Daliso, Civil Society Coordinator, National AIDS Council

MUMBA, Martford, President, Zambia Gemstone Miners, Traders and Jewelers Marketing Association (ZAGEMA)

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VALDINI, Sergio, Deputy Resident Representative (previous), UNDP Zambia

VAN DEN BROEK, Jan, Acting Unit Head and Senior Health Systems Strengthening Advisor, UNDP Zambia

YEROKUN, Dellia, Programme Analyst, UNDP Zambia



UN agencies

GADIO, Coumba Mar, Resident Coordinator

KOKWE, Miseal, Technical Coordinator, Climate-Smart Agriculture project, Food and Agriculture Organization (FAO)

MALANDO, Allan, Senior Programme Policy Officer, World Food Programme (WFP)

ANNEX 7. DOCUMENTS CONSULTED

In addition to the documents named below, the evaluation team reviewed project documents (proposals, workplans, reports, audits, and evaluations), partnership and staff surveys, and UNDP Results-Oriented Annual Reports.

Executive Board of the United Nations Development Programme, the United Nations Population Fund and the United Nations Office for Project Services, 'Country programme document for Zambia (2016-2021,' DP/DCP/ZMB/3, 2015.

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ANNEX 8. STATUS OF COUNTRY PROGRAMME OUTCOME INDICATORS

Indicator	Baseline	Target (2021)	Status/Progress				
			2016	2017	2018	2019	2020
CPD Outcome 1: By 2021, productive sectors expand income earning opportunities that are decent and sustainable, especially for youths and women in the poorest areas.							
1.1 Total value added (% of GDP) by the productive sectors: agriculture, manufacturing, energy, tourism, mining	Agriculture: 8.9% (2014) Manufacturing: 7.5% (2014) Energy: 2% (2014) Tourism: 1.4% (2014) Mining: 6.5% (2014)	Agriculture: 10% Manufacturing: 9% Energy: 4% Tourism: 2% Mining: 7%		Agriculture: 1.1% Manufacturing: 0.3% Energy: 0.3% Construction: 0.4% Tourism: n/a Mining: 0.1%	Agriculture: 2.7% Manufacturing: 0% Energy: 3.3% Tourism: 0.3% Mining: 16.2%		Agriculture: 2.1% Manufacturing: 0.2% Energy: 6.6% Tourism: 2.3% Mining: 7%
1.2 Number of hectares (ha) of forest coverage lost due to deforestation annually	300,000 (2013)	230,000	276,000 ²⁶	276,000	276,000	276,000	276,000
1.3 National annual emissions of carbon dioxide with land use, land-use change and forestry (LULUCF) activities (Giga gramme-Gg, CO2 equivalent)	54,715 (2010)	51,432	54,715	54,715	54,715	54,715	54,715 Note: no national survey since 2016.
1.4 Percentage of renewable and alternative energy in national energy mix	0.03% (2012)	2%	0.08%		0.6%		5% - 3% solar, 2% mini hydro
CPD Outcome 2: By 2021 national institutions at all levels target, manage, coordinate and account for resources for equitable service delivery and economic growth that is based on reliable data.							

²⁶ 2016: 95,946 hectares have been brought under effective forest management in Kafue and West Lunga game management reserves and Central Province. The deforestation data is from the 2015 Integrated Land Use Assessment (ILUA) II.

Indicator	Baseline	Target (2021)	Status/Progress				
			2016	2017	2018	2019	2020
2.1 Mo-Ibrahim score for Public Management	47.6 (2013)	53	43.6	51.9	46.8		55.7
2.2 Percent of children in Zambia with birth registration records	17% (2010)	30%	17%	20%			14.2%
2.3 Percent % of prison population on remand	33% (2013)	15%	23.2%				30%
2.4 Number of new HIV cases per year, disaggregated by gender and age group	40,000 (2012)	20,000	28,000 ²⁷	58,300 ²⁸			51,000
2.5 Percentage of persons living with HIV who are alive at 36 months after initiation of antiretroviral therapy	80% (2013)	90%	88%				
2.6 Number of legal cases brought forward to the following year (case back log)	4,592 (2012) Magistrate court: 2,117 (2012) High court: 2,475 (212)	2,755 Magistrate court: 1,270 High Court: 1,485	3,960		3,960		7,629
2.7 Percentage of gender-based violence cases adjudicated	31% (2014)	45%	33% ²⁹	66% ³⁰	75%		
CPD Outcome 3: By 2021, All people in Zambia, including women, youth and marginalized, have equitable and effective participation in national and democratic processes, especially women, youth and marginalized groups.							

²⁷ Latest Spectrum data indicates that the incidence has reduced from 1.08% to 0.85% for 15-49 years age group and overall for 15 years above is 0.7%. This is a significant improvement.

²⁸ 2017: 21,000 [17,000 - 28,000] Deaths due to AIDS among adults aged 15 and over 16 000 [12,000 - 22,000] Deaths due to AIDS among women aged 15 and over 7200 [5,400 - 10,000] Deaths due to AIDS among men aged 15 and over 8,400 [6,300 - 12,000]. Deaths due to AIDS among children aged 0 to 14 5,700 [4,700 - 6,800]

²⁹ The number GBV cases reported to police increased from 15,153 in 2014 to 18,088 in 2015, representing a 16.2% increase. UNDP supported operationalisation of 2 fast track courts in Kabwe and Lusaka in January and March 2016, respectively. The two courts handled 224 cases in 2016.

³⁰ Total number of cases in Kabwe and Lusaka was 387. Total number cases adjudicated in 2017 in the Kabwe and Lusaka fast track courts was 256 representing 66%.

Indicator	Baseline	Target (2021)	Status/Progress				
			2016	2017	2018	2019	2020
3.1 African Parliamentary Index (API)	64.82 (2012)	80	64.82	64.82	64.82		
3.2 Voter turnout in general elections	53% (2011)	60%	56.45%	n/a – no general elections	n/a – no general elections	n/a – no general elections	n/a – no general elections
3.3 Mo Ibrahim Index for accountability	44.9 (2013)	55.0	42.5	43.8	43		47.7
3.4 Corruption Perception Index (CPI)	38 (2014)	48	38	37	35		34
3.5 Mo Ibrahim Index for participation and human rights	60.4 (2013)	65.0	61.4	57.7	58		48.9
3.6 Percentage of land brought under protected area management system.	19% (2014)	25%	19%	19%	19%		
CPD Outcome 4: By 2021, All people in Zambia, including the large number of marginalized and vulnerable people, have greater understanding of their rights and are able to claim them, have greater human security, have access to justice and have equal opportunity under the law.							
4.1 Percentage of human right cases reported to the Human Rights Commission that have been investigated and concluded.	79% (2014)	85%	80%	39% ³¹	85%		
4.2 Mo Ibrahim Index for participation and human rights (note: also listed in CPD under Outcome 3)	60.4 (2013)	65.0	61.4	57.7	58		48.9
4.3 Gender Inequality Index (GII)	0.617 (2014)		0.692	0.526	0.517		0.539

Source: UNDP Corporate Planning System.

³¹ The Commission received a total of 1,396 and a total of 548 were resolved during the year 2017 representing 39.2%. Majority of cases received are cases relating to access to justice and constitute complaints whose resolution might lie with other institutions such as the Judiciary. This therefore means that the resolution might not be immediate but rather gradual hence the 39.2%. These statistics are subject to change because the Commission is still in the process of compiling the annual report.