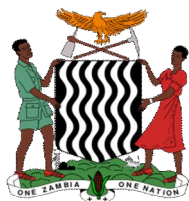# Supplemental Project of support to HIV and AIDS Mainstreaming: Irish Aid, NAC and UN Joint Team

Project ZMB10/00049510

Project Review Report

September, 2010

Contents

Acronyms

AIDS	Acquired Immune Deficiency Syndrome
AMICAALL	Alliance of Mayors Initiative for Community Action on AIDS at the Local Level
CBO	Community Based Organisation
CPAP	Country Programme Action Plan
CPs	Cooperating Partners
DACA	District AIDS Coordination Advisor
DATF	District AIDS Task Force
DDCC	District Development Coordinating Committee
DFID	Department for International Development
GRZ	Government of the Republic of Zambia
HIV and AIDS	Human Immunodeficiency Virus and Acquired Immune Deficiency Syndrome
IAZ	Irish Aid Zambia
INGO	International Non-Government Organisation
JAPR	Joint Annual Programme Review
JFA	Joint Funding Agreement
JMTR	Joint Mid-Term Review
FNDP	Fifth National Development Plan
M&E	Monitoring & Evaluation
NAC	National AIDS Council
NAISP	National AIDS Intervention Strategic Plan
NASF	National AIDS Strategic Framework
NARF	National AIDS Reporting Framework
NGO	Non- Government Organisation
PACA	Provincial AIDS Coordination Advisor
PATF	Provincial AIDS Task Force
SNDP	Sixth National Development Plan
UNDP	United Nations Development Programme
UNDAF	United Nations Development Assistance Framework
UNGASS	United Nations General Assembly Special Session for HIV&AIDS
UNV	United Nations Volunteer
ZATF	Zone AIDS Task Force

Supplemental Project of support to HIV and AIDS Mainstreaming: GRZ/NAC, Developmental Cooperation of Ireland and UNDP

Abstract

Mainstreaming is a complex, multi-faceted and evolving development methodology and process, and, as such, remains at the cutting edge of discourse and practice. As a central plank of the multi-sectoral response, its importance is widely acknowledged, but the difficulties of effective implementation and sustainability, given the complexity of issues which need to be addressed, are, perhaps, not always fully appreciated: *the song sheet is large, the melody complex and often uncertain, and there are many voices to harmonise and sustain.*

Given the centrality of Mainstreaming to the response, the reviewed Project sought to implement a decentralised mainstreaming public sector project on a national basis, with concomitant development of pertinent frameworks. Thus, the Project is of significance. While progressing the mainstreaming of HIV and AIDS in Zambia within key areas of the public sector, it flagged-up important 'learning points' as to the success or otherwise of modalities employed, clarity of strategic intent, management and reporting, resource/output appreciation, linkages, and so forth, that provide the subject of this Review.

Further, there is a particular relevance to the timing of this Review, given both the centrality of mainstreaming and decentralisation within the national response and the ongoing formulation of the 2011-15 NASF and the SNDP, together with recent reviews of the JFA and the NAC. The release of GRZ's Decentralisation Implementation Plan (2009-13) also provides a new strategic focus to the mainstreaming agenda. Additionally, in terms of Irish Aid Zambia (IAZ), this review will inform ongoing Country Strategic Planning (2011-15), together with the UNDAF Country Programme Document for the UN/UNDP (2011-15).

Summary of Findings

Implementation, Planning and Strategic/Operational Management

The Project's aims, objectives and overall focus – provision of planning tools and capacity built within decentralised public sector mainstreaming – provide a model of clarity and programmatic focus and intent, with national and local foci combined in one programme dynamic. The operational and administrative frameworks to be developed: building NAC's mainstreaming capacities in Councils and in overall M&E Mainstreaming, thus provided real opportunity to move forward on such key issues.

- *Generally, however, the Project, as implemented, lacked such clarity of purpose and intent. As a result it became overly ambitious, demanding too much from an uncertain/limited strategic and operational base, without clearly defining/appreciating overall resource margins, roles and relationships, etc., as determinants of the operational and strategic model to be best adopted.*

A central driver of the above situation was lack of articulation as to where overall executive power and strategic leadership might best be situated. A more realistic approach would have had greater cognisance of such factors and the opportunities/restraints apparent in moving forward key mandated issues regarding the NAC and decentralised public sector mainstreaming, and how the Project might then best be articulated.

The adoption of a gradual 'roll out' of the Project through time, using a learn and reflection model as a guiding tool would have provided an ideal way forward given such factors. In essence, the Project provides an apposite vehicle for such an approach.

- *Greater in-depth and rigorous appreciation of such opportunities was required of Tripartite Agreement stakeholders, linked to a critical review of overall resource and technical capacity and constraints in effectively managing the project, its sequencing and development, than is apparent.*

- *As a result, NAC assumed, or was presented with, an 'executive' role there-in which was insufficiently thought through to progress/realign effectively its internal structures, planning, human resources, management and operational abilities (with regard to decentralisation and mainstreaming vis a vis its mandated obligations). Neither could the NAC effectively manage such an executive function as transpired in terms of resources, management and operational planning.*

- *Internal vertical stakeholders at the NAC had, it would appear, little opportunity to provide meaningful inputs on best ways forward, gauge internal impact on resources, human resources, etc., or how best an already complex and elaborate mainstreaming (and others) workload, might effectively be accommodated.*

- *Lack of congruence regarding UNDP's and the NAC's planning cycles further exacerbated this situation.*

- *The Project utilised a mix of different, and differing, perspectives and inputs – many of whom brought in-depth allied skills – but the necessary focus of overall intent/purpose needed to effectively harmonise their inputs was lacking. The lack of consensus and harmonization of the Toolkit is a prime example.*

- *External consultants suffered too in so uncertain an environment. Though it is questionable, in general, whether they had sufficient expertise to provide overall adequate guidance, the programmatic environment they were placed within exacerbated such limitations. However, such an environment also tended to hamper the corporate and operational effectiveness of those who do have the skills, for example, within M&E. Better clarification of the role and 'executive reach' of future external support and intended strategic outcomes, needs to occur, and be adequately and realistically supported.*

- *Together with M&E, the overall programmatic 'tracking' and information management of the Project was generally poor. Information was not collected centrally or collated in any meaningful sequential manner. Again, lack of clear strategic and operational thinking resulted in this key programmatic area being managed on a seemingly ad-hoc basis. The efficacy of the Review process has been severely hampered by such a lack of crucial documentation.*

Despite such major caveats, however, the usefulness of the Project and its achievements should not be under-estimated, nor the continuing validity of it aims and objectives.

- *A key output has been the enormous amount of technical skills engendered and gathered together in a key area of development discourse and practice both locally and nationally. The overall failure to utilise such resources effectively should not cloud judgement as to individual commitment, capabilities and future potential. What is still lacking is operational structure and management to best contextualise such skills.*

- *Operational and resource shortfalls are now better identified and concomitant 'delivery and management' frameworks better delineated. M&E is of particular note in its progress towards realignment to mandated outputs, concomitant expansion, and clear appreciation of ongoing shortfalls.*

- *The considerable progress made in line-ministries needs to be acknowledged, as does an evolving appreciation of outstanding issues now needing to be addressed. That UNV Focal Point personnel – who have provided some of the best technical and reportage information in the writing of this Review – are being reutilised here is welcomed.*

Strategic Issues and Future Context

- *Central to the future efficacy of the Project is how best the NAC can elucidate and then address its mandated tasks with regard to mainstreaming, decentralisation and the willingness of external CP support and requisite technical assistance to help enable that process.*

- *M&E is a prime concern and though, by degree, is being addressed, the issues raised – M&E funding, reporting, human resources and technical capacity - must be further contextualised within the findings/recommendations of this and other reviews.*

> *In essence, however, it is the ability of the NAC to correctly position itself within decentralisation and mainstreaming, delivering on it's mandated remit in supporting/co-ordinating the executive/implementation function of other key players, at decentralised level, which remain pivotal considerations.*

- *A major constraint at district level in many locations has been, and remains, a dearth of funding, resources and appropriate human resources. Reporting and data collection systems are, for example, currently inadequately resourced in many districts, and with poor synergy. The necessary public sector frameworks needed while conceptually understood are largely not in place.*

- *Future funding from co-operating partners, its placement and delivery structure, needs to provide greater direct support to capacity building of decentralised and mainstreaming initiatives, at local level, while helping to better enable the NAC to realise its co-ordination and reporting mandates*

- *The role and function of UNDP, given its key positioning, together with that of IAZ, needs far greater appreciation of internal and allied resource capabilities as a determinant of what can be effectively manage.*

> *In all such respects, the opportunity provided by this Review together with various allied review recommendations to address issues pertinent to the future of devolved public sector, line-ministry, et al mainstreaming, must therefore be effectively utilised. Similarly, the provision of strategically pertinent inputs towards shaping future GRZ policy, as detailed above, is largely dependent on the success or otherwise of the many review and recommendation processes now underway, both specific to the Project and wider relational environment.*

Key Recommendations

More detailed and context specific recommendations are supplied at the end of each output section as appropriate.

Strategic Approach and Management

- *There is need to clarify, from a Project perspective, how best to engage with the recommendations given and the personnel, structure required. It is thus recommended that UNDP assume a clearer strategic role within the context of the Review processes, recommendations and allied activities described. IAZ's future positioning needs to be clarified with regard to the Project and/or future decentralised mainstreaming activities as does that of the JFA.*

- *The current operational framework is unclear as is its overall composition and management. This needs clarification to provide ongoing strategic focus and approach. The review and recommendation processes currently underway provides a primary framework within which it should work, feeding into future planning and allied activities.*

- *While the use of an external centralised team is not recommended, use of local consultants to take forward particular pieces of evaluation at district level should be considered and worked into evolving planning. If future external consultancies are used to take the overall NAC et al process forward, then they must encompass mainstreaming and decentralisation as key components of their brief.*

- *Clear, committed and strategically apt engagement with GRZ at all levels needs to occur in order to drive the whole decentralised mainstreaming process effectively forward. Without such involvement, issues of on-going technical support, devolved and secure funding, personnel positioning and executive authority cannot be realistically moved forward.*

- *The Project's current/potential positioning within the wider GRZ/CP/UN discourse on mainstreaming and decentralisation, needs to be better defined and contextualised if it is to maximise future potential.*

- *The opportunity provided by this Review together with various allied review recommendations to address issues pertinent to the future of devolved public sector, line-ministry, et al mainstreaming, must now be effectively utilised.*

- *The need for a preliminary review of the NAC to be undertaken towards the development of a pertinent strategic plan, itself contextualised within the SNDP and the NASF 2011-15, and concomitant management, planning and other pertinent structures being put in place.*

- *Review and allied review recommendations regarding structure and operations, management, purpose and strategic intent of the NAC, need to be moved forward. Engaging high-level internationally recognised technical assistance to help drive the overall process is further recommended. Decentralisation and mainstreaming, as already noted, must provide a strategic focus for this remit.*

Project Objectives

- *With the central strategic positioning of 'decentralisation' and its linkages to mainstreaming, mechanisms for delivering funding/resources direct to decentralised structures – Councils, Planning Officers, DACAs, AMICAALL and so forth – need to be further developed, contextualised within constraints already identified.*

- *A modality, for example, which situates AMICAALL as a prime funding recipient, would thus devolve executive function and implementation responsibilities, while providing the NAC with an alternative model within which to contextualise its national co-ordination and information remits.*

- *In such respects, DACAs require adequate funding and resources as a matter of urgency to reflect their crucial implementation and reporting role, and far more coherent operational contextualisation within the 'parent' organisation, the NAC than is currently apparent.*

- *The placement and delivery structure of future funding from CPs must provide greater direct support to such processes, together with appropriate dialogue as to how this might be best realised.*

- *Outstanding and linked structural, executive and other issues as delineated within this Review, need to be progressed.*

- *The Toolkit needs to be revised and simplified, and a Second Edition produced, particularly as training continues under the direction of the DACAs and others. But future usage and strategic and end-user requirements need to be understood and agreed prior to production, if it is to be effective.*

- *Implementation of pubic sector decentralised mainstreaming should be viewed as key in the provision of much needed structure, reporting and information conduits within the wider multi-sectoral response at decentralised level. This fact needs far greater articulation than is currently apparent.*

Review Outputs

1. Assess the extent to which the project, supported jointly by NAC, UNDP and Irish Aid Zambia achieved its objectives in terms of:

    1.1   Planning tools/materials for mainstreaming developed: relevance, usefulness, etc
    1.2   Mainstreaming capacity built - The extent of capacity building at national or sub-national levels achieved
    1.3   Frameworks for M&E developed, usefulness, etc
    1.4   Changes that have taken place in the planning process of HIV and AIDS Programmes.

2. The strategic value of utilising the NAC

3. Alternative channels and/or approaches might have been used

4. The effectiveness of the management and oversight requirements of the project

    4.1   The strategic value of channelling support through UNDP to support the NAC
    4.2   Irish Aid Zambia

5. Review options and recommend a way forward that ensures strategic direction for the support of HIV and AIDS mainstreaming initiatives in Zambia.

The above have been reordered/edited from the original ToRs to allow for better Review sequencing. Findings are given under each topic (or sub-topic) heading, with accompanying comments and recommendations as appropriate. The final section (5) provides primary recommendations.

Methodology

The Review is based upon an in-depth strategic literature review and Key Informant (KI) interviews, the latter conducted through March and into mid-April. I would like to thank all those who gave their time and inputs, together with all those involved in the Review process – their input is much appreciated. KIs were taken through a series of topics in a questionnaire format based directly upon the key outputs defined (as above), plus an open-ended discussion of topics they wished to raise or elaborate on. This finalised Review is the outcome of a validation meeting with stakeholders and their inputs in early August 2010.

Mr. Benard Munkombwe, then HIV&AIDS Mainstreaming Specialist

_____

1. Mainstreaming HIV and AIDS

1.1 Mainstreaming - A Definition

Mainstreaming AIDS is a process that enables development actors to address the causes and effects of AIDS in an effective and sustained manner, both through their usual work and within their workplace. Mainstreaming addresses both the direct and indirect aspects of HIV and AIDS within the context of the normal functions of an organization or community. It is essentially a process whereby a sector analyses how HIV and AIDS can impact it now and in the future, and considers how sectoral policies, decisions and actions might influence the longer- term development of the epidemic and the sector.

To respond effectively to the epidemic, requires exceptional responses that demonstrate timeliness, scale, inclusiveness, partnerships, innovation and responsiveness. In other words, to stay on top of the rapidly evolving epidemics, actions need to be incorporated into sectors' normal operations while simultaneously continue seeking innovations and extending new partnerships. Mainstreaming HIV and AIDS is a collective and iterative process of learning, engagement, action, experimentation and reflection (Mainstreaming HIV in Sectors and Programmes, Guide for National Responses, introduction, UNAIDS, World Bank, UNDP undated).

1.2 Centrality of Mainstreaming in the HIV and AIDS Response

The acknowledged key importance of effective mainstreaming of HIV and AIDS across all sectors places it at the centre of the ongoing 'multi-sectoral' response to the pandemic (contextualised within the Three Ones Principles - from 2004), a fact well understood and acted upon by GRZ with increasing clarity of purpose since 2002.[1] Additionally, mainstreaming cross-cuts and provides a major strategic driver in addressing GRZ's concern to realise effective decentralisation, the devolution of executive power and responsibility being rightly viewed as a guiding principle of good governance.[2]

Mainstreaming is thus not bounded by one project or programme but is an ongoing multi-sectoral development process whereby each sectoral component contributes strategically to enhancing an agreed and cohesive national framework, both conceptually and in terms of implementation and measurable programmatic outputs. Mainstreaming, if it is to be effectively implemented and sustained, therefore requires a harmonisation of purpose coupled with clarity of strategic planning, intent and application by all developmental actors involved. The three key components outlined above provide an overall framework within which to contextualise the Review.

Germane to such an approach is an appreciation of the positioning of the project in terms of the developing response through time, both within the boarder 'mainstreaming' developmental discourse and, importantly, the context specific and developing response as witnessed in Zambia. Certainly, at its inception, the project sought to address effectively a number of then emerging, and cutting-edge, key policy and programmatic drivers, building upon its antecedent programme's outputs and the gaps identified in subsequent review.

1.3 Mainstreaming within Developmental Discourse

From the mid-1990s an expanding body of evidence was coalescing which demonstrated the impact that HIV and AIDS was having on all sectors, from agriculture, to education, transport and beyond into the private/commercial sector and within civil society. (Arndt & Lewis, 2001; UNAIDS/World Bank, 2001; Dixon et al., 2002; Whiteside & Barnett, 2002). Thus, while initial responses to the epidemic were dominated by a bio-medical approach led by the health sector, increasing recognition of the social and economic impacts of the pandemic, and its complexity, led to calls for a multi-sectoral response and HIV/AIDS mainstreaming (Collins & Rau, 2000; UNAIDS/GTZ, 2002).

---

[1] See for example 2010 results-base annual workplan for the multi-sectoral response to HIV & AIDS Outcome 1.1.2.
[2] See Decentralization Implementation Plan 2009 – 2013 Ministry of Local Government and Housing, Decentralisation Secretariat. The original Decentralisation conceptual document was produced in 2002

Mainstreaming within the context of HIV and AIDS can therefore be seen as directly related to the conceptual evolution of response frameworks. In consequence, in a number of countries AIDS Commissions were established with a remit to work across sectors. What is noticeable, particularly within early responses, was the close relationship and inter-linkage of 'Gender Mainstreaming' with that of HIV and AIDS, and its shared and emerging problematics (for example Elsey, et al, 2005).[3]

By 2001, the 'mainstreaming' of HIV and AIDS was being increasingly recognised, and acted upon, as a fundamental component of expanding the 'multisectoral' response to the epidemic. Yet, at that time, the understanding and application of mainstreaming remained both uncoordinated and ill-defined (UNAIDS/GTZ 2002). However, the growing movement toward multi-sectionalism, together with an increasing focus on decentralisation, provided ongoing policy and programmatic drivers.

Such approaches built ever stronger response alignments when predicated on the UN's 'Three Ones' Principles approach to the pandemic: a single, country-specific National AIDS Action Framework (strategic plan) and a single, nationwide, monitoring and evaluation system, coordinated by one National AIDS Authority.[4] The intended system-wide impact of mainstreaming, given the complexity of the pandemic, is only viewed as achievable if the respective efforts complement and reinforce each other.

In order for this to occur, mainstreaming efforts need to be coordinated within a framework of harmonized multi-sectoral national response. Such an approach saw the strengthening of the strategic position and responsibilities of National AIDS Authorities given their central positioning. Currently, mainstreaming continues to be situated at the dynamic heart of the HIV and AIDS response in Zambia.

1.4   The Zambian Context through time

GRZ set up a National HIV/AIDS/STI/TB Council (the NAC) in late 2002 via Government Act, as the national body 'to coordinate and support the development, monitoring and evaluation of the multi-sectoral national response'.[5] Additionally, GRZ formulated and published the NAISP (2002-05), while in 2003 launching its National Decentralisation Policy Document (of 2002).[6]

The NAISP provides eight strategic objectives, six focusing on transmission reduction and treatment, the final two 'cross-cutting': information management/decision making and in describing DATF, PATF and NAC responsibilities in supporting GRZ commitment to the development of national as well as strategic decentralised planning for HIV and AIDS. NAC set up such Provincial and District level Task Forces (PATFs and DATFs) as sub-committees of PDCCs and DDCCs in 2003. Of interest in the NAISP is the focus on gender mainstreaming and equity with regard to HIV and AIDS.

The ensuing National HIV/AIDS Strategic Framework (NASF 2006-10), demonstrates GRZ's developing commitment to implementing a multi-sectoral response, of particular note in the context of this Review being Theme Four: 'Strengthening the Decentralised Response and Mainstreaming HIV and AIDS.'[7] Several challenges in Mainstreaming to date are also described, including unevenness of the response; lack of adequate analysis of the sectoral impact of HIV and AIDS in the PRSP and TNDP; lack of linkages to macroeconomic frameworks; and public expenditure restraints.

Core Strategies at district level, by Strategic Objective, included building M&E capacity; supporting the development of lead sectors in public, private and civil society for mainstreaming at district level; harmonising and aligning donor activity on HIV and AIDS at district level; building mainstreaming capacity at all levels; and training district, provincial and national planners on HIV and AIDS mainstreaming.

---

[3] The adoption of a 'mainstreaming' approach by advocates of gender equity across all sectors seems to predate its use by HIV/AIDS activists and policy-makers. The term 'gender mainstreaming' came into widespread use with the adoption of the Beijing Platform for Action (PfA) at the 1995 UN International Conference on Women.
[4] UN 'Three Ones Principles' 2004
[5] Via a GRZ Cabinet memorandum; Council Act No 10, supplement to GRZ Gazette, December 2002
[6] As yet unimplemented, but see Decentralisation Implementation Plan 2009 – 13 Min of Local Government and Housing, Decentralisation Secretariat Lusaka, December 2009
[7] See Strategic Objectives 17 thru 21, pp 21 NHASF

Decentralisation of planning is thus a linked key objective via 'district development policies, strategies and budgets', with District Planning Officers and the Planning sub-committee of the DDCCs being 'recognised as the mandated authority on integrated district development planning'. Mention is also made of the AMICAALL programme which, by March 2005, had 'reached all 72 District Councils with HIV and AIDS awareness and programming initiatives' with workplace programmes and community response initiatives being developed.[8]

Within the Fifth National Development Plan (2006-10) which the NASF informs, mainstreaming challenges were summarised as: understanding and application of the concept of mainstreaming HIV and AIDS in development sector plans and operations; the serious 'implementation' gap existing between national plans on the one hand and operational capacity to implement them at a local level; devolving power, authority, functions and resources including relevant capacity building for HIV and AIDS at a local level; financing of technical support (FNDP 2006-10; 285)[9]

As noted in the introduction, planning for both the SNDP (2011-15) and NASF is currently underway. In both, the key themes of HIV and AIDS mainstreaming and decentralisation will continue to occupy central strategic positions in GRZ's development policy and planning initiatives.[10] The Decentralisation Implementation Plan (2009-13) has now be published, providing an allied implementation framework.

1.5   Response role of the United Nations Development Programme (UNDP) in Zambia

UNDP's mandated areas of programmatic and development responsibilities are currently contextualized in the CPAP (2007-10), a formal partnership agreement between GRZ and UNDP. The CPAP is based on the development challenges identified in the FNDP and the United Nations response as outlined in the United Nations Development Assistance Framework (UNDAF) which provides the common strategic framework umbrella for the operational activities of the UN system in Zambia. Within the CPAP, the GRZ/UNDP partnership is viewed as 'central' with UNDP's role seen as one of technical rather than financing partner to GRZ, supporting the development of national capacities to advocate, coordinate and manage development process.

> *'UNDP is recognized as not being a donor per se, but as a partner that can occupy a particular niche in meeting national needs in terms of facilitating dialogue and establishing enabling processes that can fulfil the expectations of all stakeholders within a development process: Government, civil society and other national stakeholders, together with donors' (CPAP 2007-10;6).*

GRZ further acknowledges that UNDP is well-placed to help facilitated coordinated support to national governance programmes and initiatives involving active and background partners under the terms of the JASZ: reflecting the role to be played by UNDP as part of the United Nations system in the harmonization and alignment of international cooperation with Zambia(CPAP 2007-11;3).

> *The neutral and cross-disciplinary character of UNDP makes it well suited to convene and facilitate multi-stakeholder efforts in support of national priorities, including civil society and the private sector (UNDP Annual Report 2006;3).*

The United Nations Development Assistance Framework (UNDAF) for Zambia (2002 – 2006) does not mention HIV and AIDS mainstreaming specifically, though gender and HIV and AIDS are viewed as cross-cutting issues and advocates for the mainstreaming of gender in policy, planning and programmes, with gender considerations to be given in all policies, planning and programme initiatives (UNDAF 2002-06; 29).

---

[8] NASF 2006-10, pp 31-34. By November 2005, a mainstreaming toolkit for local councillors was developed and being utilises, via support of a number of donors, including the UN, AMICAALL, UNDP, UNAIDS and USAID
[9] See also HIV and AIDS Programmes 9 and 10, pp 271
[10] Planning for UNDAF 211-15 , has also commenced with design workshops held in June/July 2009

Mention is made, however, of the NAC as a 'high level institution to effectively co-ordinate the actions of all segments, of government and civil society in the response to HIV and AIDS' (UNDAF 2002-06; 27). By 2005, the NAC's key role in an evolving response and its requisite institutional capacity to plan, coordinate, monitor and evaluate the national multi-sectoral responses is underlined by the UN, it being viewed as a critical factor in addressing the 'existing fragmented multi-sectoral approach to tackling the HIV and AIDS response in Zambia' (UN HIV/AIDS Implementation Support Plan 2005, Zambia).

By 2006, the centrality of mainstreaming HIV and AIDS within the multi-sectoral response is clearly articulated within Theme Four of the NASF, as is the pivotal role of the NAC in its effective multi-sectoral coordination, with monitoring, and the technical support, lead and convening role of UNDP (Joint UN Programme of Support on AIDS, Zambia – 2007-10). As this section has attempted to demonstrate, what is important to appreciate is the evolving nature of the response, shifts in theme and programmatic/strategic foci, including that of gender, human rights, mainstreaming, decentralisation and so on, as they impact upon and (re) shape HIV and AIDS policy and objectives, through time.

_____

2. The Project

2.1   Background to the Project

The evolution of conceptual approach and policy and programmatic objectives is clearly demonstrated in both the initial and the subsequent supplementary project now reviewed. UNDP support to GRZ in the area of HIV and AIDS, starting in 2002, was a phased 5 year project to help strengthen national, provincial and district level capacities in the planning, co-ordination, monitoring and evaluating, of gender-sensitive and rights-based multi-sectoral responses to limit the effect of HIV and AIDS. The supplementary Project was instigated following a 2004 evaluation of UNDP's role in the HIV and AIDS response in Zambia. Outputs from the 'first phase' of this project (2002-04) contributed to the following:

1. Provision of technical assistance in all 72 districts for strengthening the planning, coordinating and monitoring roles of District Development Coordinating Committees, with DATFs
2. Development of a planning Manual for mainstreaming HIV and AIDS and Gender
3. Training for development of district level strategic plans.

The initial project thus may be contextualised within and responding to the NAISP 2002-05 framework and ensuing, and evolving GRZ mainstreaming policy documents, together with the 2003 National Decentralisation Policy, the latter being then perceived to hold 'major implications on planning, resource allocation and management of services...with the channelling and control of resources through the Local Authorities at district level.'

In relation to such strategic considerations, the evaluation found that UNDP had assumed a 'strategic focus' in supporting the capacity development and strengthening of the institutional framework of decentralised structures, including their leadership, in the development of District level HIV and AIDS Strategic Plans, to be utilised in the sensitisation and mobilisation of a multi-sectoral response.

The evaluation therefore recommended the project be extended to the end of the programme cycle (2006) and that, inter alia, the mainstreaming of HIV and AIDS into development and sectoral programmes be (further) consolidated and strengthened 'into district development planning processes' to cover all sectors. To ensure such project outputs, project continuity and the on-going enhancement of devolved multi-sectoral sustainability in addressing HIV and AIDS, the 'supplemental' project now under Review was devised and instigated.

In many ways, the project sought to address a stated, and repeated, request for mainstreaming HIV and AIDS resources and initiatives to be focused on a decentralised platform. As one respondent noted: 'It was felt in the districts and provinces that they were being left out; that [HIV and AIDS mainstreaming] resources were all being focused on the centre and not at the district level.'

2.2   Project Focus and Outputs

> *The Conceptual Framework used by this project aims to bring clarity to a subject which has often been misunderstood: HIV and AIDS mainstreaming (UNDP Report to Irish Aid 2007)*

The project's primary focus centred upon building the mainstreaming capacities of District Planners, this to be achieved via the adaption of mainstreaming tools to meet their needs. It would also focus upon reviewing council Standing Orders Committees in order to facilitate the establishment of a framework for building the HIV and AIDS capacities of District Councils. To this end, Councillors and senior district Council staff would also be trained in the use of mainstreaming tools and allied processes. Outputs included:

- *Planning tools for mainstreaming developed and mainstreaming capacity built*
- *Framework for NAC's Supporting Mainstreaming Capacities in Councils Developed*
- *Framework for M&E Mainstreaming Developed.*

Among planned activities were the following:

- *'[supporting] the district planners in their acquired skills in mainstreaming of HIV and AIDS to all sub-committees of the DDCCs [including DATFs]'*
- *To achieve synergy with national level planning and M&E, mainstreaming tools adapted to match needs of national level planners working within Sector Advisory Groups (SAGs)*
- *Framework for the NAC's 'Supporting Mainstreaming Capacities in Councils' to be developed*
- *Framework for M&E in mainstreaming developed.*

A mainstreaming specialist was engaged to ensure 'effective mainstreaming of activities within the Districts, Councils and Line Ministries... [providing] technical assistance to provincial district planners/PPUs/DPUs; monitor all project-related activities; provide assistance in training and ensure follow-up activities are done.' The Specialist would be a member of the NAC M&E Technical Working Group, ensuring that a mainstreaming framework 'will be integrated into national M&E Plan.' Such activities to be concurrent with the development of mainstreaming tool/materials.

1.3   Irish Aid Zambia

In 2003-04 as UNDP provided technical assistance, via its UNV programme,[11] with the placement in 2004 of District AIDS Coordination Advisors in all 72 Districts (DACAs - placed within the office of the District Commissioner), Irish Aid Zambia (IAZ) financed 9 Provincial AIDS Coordination Advisors (PACAs) – situated within the office of the Provincial Permanent Secretary - via direct funding to NAC. A key concern of IAZ was to help ensure the ongoing sustainability of PACAS and furthering mainstreaming capacity at a district level while strengthening the technical, M&E and coordination capabilities of the NAC (IAZ CSP 2003-07).

Given the relationship already established with the NAC, the centrality of UNDP in the mainstreaming response and its technical assistance capabilities and its strategic responsibilities regarding the NAC, IAZ's decision to provide primary funding for the supplementary project, via a UNDP management and technical assistance conduit, was strategically apt. IAZ therefore provided an initial 2 year funding conduit for the supplementary project. The project was then extended for a further 2 years with additional funding tranches from IAZ. Such a joint collaboration was also consistent with, and viewed as enhancing, the necessary harmonisation agenda.

_____

---

[11] The United Nations Volunteers Programme

3. Review - Findings and Recommendations

3.1. Assess the extent to which the project, supported jointly by NAC, UNDP and Irish Aid Zambia, achieved its objectives in terms of:

3.1.1 Planning tools/materials for mainstreaming developed: relevance; usefulness

Respondents had mixed views as to the specific and overall effectiveness of the Tools developed. Apart from questions regarding applicability or relevance in certain contexts (for example for UNVS working in line ministries, or adaptability for SADC trainers), a common complaint regarding the Toolkit was its over complexity and in trying to cover too many bases.

> *'It looks like a text book rather than a user-friendly Toolkit.' The scope of the Toolkit was also raised, some respondents wanting 'a simple tool which is generic' allowing for more complexity on an incremental approach, while others felt that specific sectors were not adequately addressed.*

The Toolkit envisioned was however intended to be both 'generic' and 'multi-purpose' to reflect the different needs of a variety of end-users while contextualised within an overall cohesive framework of approach. However, a majority of respondents involved saw it necessary to supplement the Toolkit with ancillary material, including PowerPoint to simplify presentation: 'Providing a PowerPoint only takes the process so far – you need to be able to provide something easily accessible which non-trainers and everyone can feel comfortable with.'

While the active involvement of a broad spectrum of organisations with concomitant skills to both devise the Toolkit and implement training, is valid, the apparent lack of clear strategic intent (purpose), cohesive overall planning and decisive, focussed management of the overall process, proved counter-productive. The necessary focus needed to edit and effectively harmonise and align such inputs (for example, the unresolved issue of 'generic' vis a vis 'context specific') was never satisfactorily achieved.

Certainly, a combination of ineffectual consultants (themselves apparently lacking any clear and precise mandate or requisite level of skills - Resolution of Issues UNDP report to Irish Aid 2007) and confusion as to the final product's remit and purpose resulted in an overly complex product which did not effectively address the clear end-user parameters provided by the Project.

In such respects, there was no clear assessment made of how the proposed Toolkit might successfully build on what was already in use at a decentralised level. Comparison was often made between the current Toolkit and that of the AMICAALL Councillors' Toolkit, the latter being viewed as 'proven; simple to use; effective.'

> *'We had a perfectly good tool kit with which to build a local government and local response on [in terms of tool kit development], which worked; but this did not happen.' Such points concur with Review findings.*

The absence of 'major stakeholders' in the review and validation process, and late submission of comments, further exacerbated this situation (Annual Report 2006-07). However, by June 2007, the Toolkit had been reviewed and validated and ready for printing. The complexities and time-line of the colour printing process were viewed as adding further delays.

> *The usefulness or otherwise of the mainstreaming handbook was rarely mentioned. When it was, respondents thought, in sum it was: 'a reasonable reference book, but too busy.' How much it was utilised remains unclear.*

As for planning tool development, much of this appears focussed on the training implementation segment of the Project. That detailed pre-assessments at decentralised levels were carried out is acknowledged, but how the logistics of the roll-out was thus strategically moved forward, positioned and the tools so

used is difficult to assess given the absence of any cogent documentation. There is little to suggest that post-implementation planning tools, with regard to assessing measurable quantative impact, on planning protocols for example, were attempted. In terms of an alternative approach being adopted in the Toolkit's development, a number of correspondence felt that this should have been placed solely with 'people who knew what was needed,' i.e., exterior to, though overseen, by the NAC, with SHARe being sited, by three respondents, as 'ideal', while others wanted a 'key team of real specialists to have been employed, who had a proven track record in mainstreaming, with NAC acting as coordinator.'

In such respects, the positioning/role of the NAC within this process (and all others), was seen as inappropriate by some respondents. Such a viewpoint while generally validated is covered in more detailed discussion later in this Review. However, whether adapted, used 'as is' or in part, significant numbers were trained using some portion at least of the Toolkit. All well and good. But how such training was demonstrably understood, translated, disseminated further, and/or practically utilised (or could be utilised), that is, <u>its measurable usefulness</u> as a developmental driver, per se, remains unclear.

For a majority of those interviewed, however, charged with its development and use, the Toolkit was, and remains, an unsatisfactory tool. Concern was also expressed as to the lack of both Gender and Human Rights components - pivotal within GRZ and others' overall mainstreaming policy objectives and commitments. The Gender Mainstreaming Toolkit developed by the preceding project was, however, utilised to a limited extent.

Recommendation

- *In line with the views of a near unanimous number of respondents, it is felt that the Toolkit needs to be revised and simplified, and a Second Edition produced, particularly as training continues under the direction of the DACAs and others. Such a revision must, however, be the product of future usage and strategic requirements being correctly identified. Use of a competent graphic and layout specialist to simplify overall presentation and ease of use and effectiveness is further recommended.*

- *Planning tools need to be developed building upon the considerable amount of information now assembled both at decentralised and national level, as to current resources available against identified operational, reporting and human resources shortfalls, and the given need to realign, or enhance funding/resource modalities and executive functions as identified. It is further recommended that planning tools development is derived from specific case-studies in chosen district locations to enable a compare and contrast model to be used.*

- *Gender considerations need to form a much more cohesive and imbedded component of the decentralised and mainstreaming process than currently apparent. A much clearer definition of quantifiable 'gendered' impact indicators being developed would help in this process. As to allied overall Human Rights concerns, these too are both implicit and explicit to decentralised and mainstreaming principles, but need better articulation. Validation of such principles, is, however, largely dependent on the overall effectiveness of delivering tangible results.*

3.1.2 Mainstreaming capacity built

3.1.2.1 Training

By 2006-07, in spite of delays in line-ministry training, 'familiarisation' sessions had taken place via provincial workshops involving Provincial Planners and District Planning Officers. DACAs and PACAs in all 9 provinces were also trained together with 16 awareness workshops for councillors, and principal officers, held (Annual Report, DCI Supplemental Project, UNDP and NAC, June 2008). What should be noted in terms of the training workshops (as given in reports to hand), is how detailed and all encompassing the sessions were, and, on paper at least, of a very high standard.

However, a number of respondents felt that such training, while necessary and important in itself, did not encompass what one respondent termed 'the real decision makers'. 'It [the training] was all very good but focus should have been at higher levels as well, from District Councils on up,' and: 'many of those trained do not have any real power to get things done, to implement, and this needs addressing.'

Such points are deemed valid and should be noted. Poor involvement of key vertical stakeholders in the NAC in pre-implementation resource and operational planning is also evident, as is the largely detrimental impact which ensued internally: 'there was no consideration of the effect of NAC personnel 'disappearing' for days on the overall running of the NAC, or its [the Project's] impact,' as one respondent commented.

While it is deemed valid for NAC staff to require key 'hands on' mainstreaming skills and experience, at least at the initial stages of the project, they should not have assumed the ongoing implementation role then adopted.[12] Overall, a lack of cohesive and well-defined strategic leadership, as claimed by respondents, is apparent in both implementation of training and its coordination.

Participants and national Facilitators at the HIV&AIDS Mainstreaming capacity building workshop for Line Ministries in Livingstone pose for a photo with the NAC Director General, Dr. Ben Chirwa – *sited, third from the right.*

Again, as noted above with Toolkit development, a number of respondents felt that an external organisation (or team of consultants) should have been utilised for the whole process, reporting to the NAC for coordination purposes. A majority, however, felt that PACAs/DACAs were best strategically placed to run, and be responsible for, the Project's implementation and ongoing sustainability.

'There was a good cross-section of trainers from the NAC, NGOs, some Line Ministries and so on [as National facilitators], but it proved very difficult to organise from there on in, because of so many different groups. Coordination itself was often a problem...getting together all these different people...it was not easy,' commented one respondent. Additionally: 'Sometimes it was unclear as to who the primary lead was.'

---

[12] A team of 15 national facilitators were trained coming from the Ministry of Education, Ministry of Finance, Ministry of Information, GIDD, ZANARA, SHARe, STARZ, the NAC and National Assembly (Support to multi-sectoral HIV&AIDS Response Initiative: DCI [Irish Aid] Supplemental Project Annual Report, 2006–2007

'…on reflection, we should have used the PACAs/DACAs as primes from the start, they know more about what's happening than anyone else, their skills base is generally very good, and they had the real commitment. It's them who now have the central role [in mainstreaming].' This Review concurs with such conclusions and endorses the future centrality of DACAs, in particular, in the management of decentralised mainstreaming programming for the NAC".

3.1.2.2 Outcomes and impact - Extent of capacity building at national/sub-national levels

A theme which provided a central critique throughout this Review is the lack of addressing the structural, inter-relational, executive, resource and funding issues which exist within target groups. This point was succinctly put by one respondent:

'…if you don't address the restraints, on-going support, lack of coherent funding, the right M&E and all these, then the Toolkit can only go so far: we train them, monitor numbers trained, and then what?' Another respondent commented: 'DPs (District Planners), for example, were trained, but [given current positioning, etc] are not effective: they have no real voice".

However, the expectation was, according to one respondent at least, that joint planning sessions would be held at district level to move such issues forward, including capacity, funding and clarification of roles and relationships, together with identifying structural weaknesses and decentralised funding needs. Such localised 'strategic planning' sessions would dove-tail into mainstreaming/M&E training and capacity building, be ongoing and inform policy formulation and provide information conduits [via the NAC] to provincial and national Government, private and civil society sectors, UN agencies, as applicable, and IAZ/the JFA. No such planning and review is apparent in the literature to hand.

Decentralised mainstreaming capacity being built implies that not only are conceptual ideas effectively transferred and understood (the capacity to comprehend the issues, relevance, etc) but that practical capacities are enhanced or instigated, and funded, to allow for their (on-going) implementation, sustainability and overall effectiveness. Such considerations, it would appear, remained largely unaddressed by the Project. As to the overall developmental 'circumstance' of the decentralised environment, the JAPR (2007), while not giving specific mention to the Review Project, notes: *'little or no resources were made available by central government, cooperating partners or NAC to support the local government response.'*

This concern is echoed in the JMTR mid-term Review (2008). Commenting on resource allocation and expenditure on decentralisation and mainstreaming, it notes: *'Resource mobilisation at provincial and district levels is very poor and/or inadequate. There is too much reliance on central funding for mainstreaming and decentralisation efforts…. Therefore it is very difficult for provinces and districts to effectively carry out mainstreaming and decentralisation activities…….there is a poor record [presumably M&E] of the best practices at provincial and district levels and this has made it very difficult to draw lessons from the mainstreaming and decentralisation activities that are being implemented.'* Similar concerns are echoed in the current UNGASS report: *'Support for strengthening coordinated sub-national HIV and AIDS structures, planning and implementation processes is weak'* (UNGASS 2010; 29).

By 2009, 'a framework for NAC support to the local councils for effective HIV and AIDS mainstreaming had been developed', but was 'yet to be implemented' (Terminal Report 2006-09). Whether it subsequently has been implemented, and in what shape or form, has not been possible to ascertain. Overall, while the Three Ones principle provides a comprehensive National framework within which HIV and AIDS mainstreaming is situated, and many of the necessary allied structures are now in place together with reporting and relational conduits, there remains a lack of a unified implementation strategy and allied funding and resource commitment to allow these components to function at the necessary standard required.

With regard to line-ministries, the precise impact of the project has been difficult to gauge, other than in terms of training and individual reports or interviews, where made available, from attachment UNVs. What emerges from such sources is a picture of real progress being made in such placement line ministries – policies formulated, committees formed, M&E frameworks being developed - but such progress being hampered by lack of congruent and effective resources, funding and institutional capacity.

As one respondent commented: 'There has been a total absence of a strategic approach to invest in institutional capacity development in the mainstreaming of HIV [in line-ministries]'. However, in spite of such a caveat, it would appear that there has been real progress made within line-ministries, with, according to UNGASS, '98% of line ministries [now having] established HIV and AIDS policies and action plans' UNGASS (2010; 39).

Recommendations

- *Among specific issues recommended to be addressed or finalised (contextualised within overall Review recommendations) are: decentralised funding and allied technical assistance to Local Councils and ancillary structures; review and strengthening the executive role of District Planning Officers and concomitant Planning Offices; the development of an effective and sustainable strategy regarding the funding, resources, lines of reporting, management and placement of the DACAs; the current 'positioning' of PACAs/DACAs regarding lines of reporting; greater clarification of the current internal situation within line ministries.*

- *The utilisation of AMICAALL (who continue to train District Councillors) within the wider decentralised mainstreaming process needs to be strategically reviewed, clarified and better aligned vis-a-vis the process of developing coherent decentralised mainstreaming resource and funding capacity.*

- *Clarify reporting systems and data capture (M&E) vis-a-vis line ministries, PACAs/DACAs and the NAC.*

- *As to line-ministries, while such figures as given above are encouraging, factual evidence needs to gathered with which to ascertain the success (or otherwise) of such policies in terms of implementation and measurable outputs, and institutional effectiveness +/- both internal and external.*

- *Greater cohesion of structural, funding and executive intent by GRZ with regard to line-ministries per se is an essential pre-requisite in effectively driving the overall process forward.*

3.1.3   Framework for M&E and pertinent indicators/capacity developed and implemented

Given M&E collection, evaluation and dissemination is a key mandated task of the NAC, capacity development of appropriate M&E reporting frameworks and associated indicators formed a key Project output. It would appear however, that while its importance was acknowledged, implementation was delayed, and, when undertaken, was: '*not sufficiently thought through*'... '*all process driven*'...and '*not clearly contextualised within the NAC's overall national M&E responsibilities.*'

In fine, the very M&E concerns the Project sought to address and move forward - insufficient planning, technical, operational and resource capacity at either central (national) or decentralised levels - remained largely unaddressed. The strategic opportunity provided by the Project to help clarify and build cogent mandated-based M&E capacity was not articulated.

With no quantifiable impact/outputs indicators or cogent M&E reporting tools developed, only proxy indicators were captured, based exclusively on numbers trained: '*there was no verifiable data as to real impact, levels of sustainability, replication and so on, or impact on planning protocols, and this made it difficult to judge quality of outputs achieved.*' In addition, there was '*no apparent revisions of national M&E protocols developed for inclusion in the revised NASF to precisely accommodate for such M&E expansion of reporting remit.*' Though a revised framework has now been developed to help address this situation, this

was not made available for comment. Contextualised within the Three Ones Principles, the NAC is mandated to produce quarterly Service Coverage reports on information gathered at national, provincial and district levels by all stakeholders, in an NAC Activity Report Form (NARF 2006-10). However, Sectoral Mainstreaming is focused on line ministries and workplace exclusively (National HIV, Monitoring & Evaluation Plan 2006-10; 36), and is process (numbers) driven. As claimed above, the inclusion of specific, decentralised M&E data and/or protocols as relevant to the project under Review, et al, was not contextualised in the NASF Supplement (2006-10).

Community groups mainstreaming HIV and AIDS in their community development activities in Kaoma District.

Currently, mainstreaming data congruent to the Project remains limited to numbers trained and is collected and entered into the NARF by DACAs, who are further charged 'with the development of evaluation plans.' Although information is far from complete on such activities, it appears no systematic approach is applied to the collection of data, partly, at least, because of resource constraints (including travelling to collect data and lack of human resources and other resources). This situation is exacerbated in provincial districts. UNV's when placed within line ministries also commented on lack of resources for data collection, particularly travelling constraints (via a UNDP vehicle with a UNDP driver, 'as available').

Thus, how decentralised data is presently collected from the various organisations involved (Local Councils, PLO, Planning Officers, etc) and supplied to the NAC, remains unclear other than the central role of PACAs and DACAs in its facilitation. In Lusaka, data is collected by a DACA via Zone AIDS Task Forces (ZATFs) one for each of Lusaka's seven districts, with DATFs part of this data supply chain; but elsewhere this is not articulated. Although systems are apparently in place to facilitate 'implementing partners' data collection, in the view of several respondents little or no 'systematic M&E linkages' were made to other programmes or have subsequently been developed. Late or non-arrival of such data from partners would also appear to remain a consistent problem.

According to UNGASS (2010), however, training has now commenced at 'community level to strengthen capacity for data collection, management and analysis'; with concomitant 'funding sourced for the recruitment of M&E/ IT officers who will be based at provincial level.' Further training of PACAs and DACAS is also envisaged. From the perspective of identifying appropriate personnel at both decentralized and national levels, there remains, nonetheless, acknowledged shortages of resources, human resources and reporting protocols (UNGASS 2010). While it is accepted that progress is being made in such respects, and shortfalls better understood and acknowledged, verifiable details were unavailable for review.

To drive all such activities, the NAC has, alongside a commensurate mainstreaming and decentralization group, a national M&E theme and internal working group. The groups meet on a regular, monthly basis to review and coordinate M&E activities. How effective such meetings are, and what outputs occur congruent with mainstreaming and decentralization, again is unclear. Certainly, respondents felt that the efficacy of the group(s) was 'limited' and that mainstreaming and decentralization remains 'not really a central [M&E] issue.'

That M&E within the NAC is now being strengthened, in terms of resources and personnel, is to be welcomed. However, it would seem that if the NAC is to fully accommodate an expanded, and expanding, national, regional and district level M&E mainstreaming collection, evaluation and dissemination mandate, then more resources, and congruent operational planning and implementation are deemed necessary. But outstanding and ongoing management and operational and resource issues as flagged here and elsewhere must be properly contextualised within a firmer appreciation of current resource, funding and other shortfalls, as determinants of future structure, and activities, prior to any further expansion. For overall NAC recommendations see Section 3 below.

3.1.4   Changes that have taken place in the planning process of HIV and AIDS programmes

Given the situation as described in preceding sections, all respondents felt that while inclusion in planning processes and overall utilisation does, by degree, occur, its measurement can only be currently assessed in terms of training and meetings held. For example, a rapid assessment carried out in Western Province found no information was given as to ongoing training (i.e., second level recipient impact, utilisation of training), 'just numbers trained.' Line-ministries have already been dealt with in 1.2 above.

3.2 The strategic value of utilising the NAC

Virtually all sub-Saharan African (SSA) countries have put in place a NAC of some kind. Three basic arguments underlay their creation: (i) the HIV challenge is so complex that anything short of a multi-sectoral response is inadequate; (ii) ministries of health have neither the mandate to direct other ministries nor the expertise to manage such a complex response; and (iii) a holistic multi-sectoral response that encompasses both governmental and non-governmental actors can only be achieved outside the traditional public-health paradigm (Development Policy Review, 2009; 2)

As earlier noted, the advent of the UN's Three Ones Principles called for ever stronger response alignments: a single, country-specific National AIDS Action Framework (strategic plan) and a single, nationwide, monitoring and evaluation system. Coordination would be via one National AIDS Authority. Given the increasing and evolving focus on mainstreaming contextualized and harmonised within the multi-sectoral national response, the strategic position and responsibilities of National AIDS Authorities was greatly enhanced in this and other areas of the response.

As also noted, the NAC in Zambia was established by GRZ gazette in 2002, with its primary functions being 'to coordinate and support the development, monitoring and evaluation of the multi-sectoral response for the prevention and combating the spread of HIV and AIDS, STI and TB' (Gazette 96 No10 of 2002 4.1). Situated under the Ministry of Health (MoH), it operates, in common with a number of SSA NACs, on a two tier system: a governing Council (Ministerial appointees) and an executive Secretariat. An overview of the development of 'mainstreaming' and its linkages to decentralisation (Section 2 above) shows an increasing growth of the NAC's role in both contexts.

The Zambian NAC, which has no executive mandate, its tasks being primarily those of influence and advice, coordination, facilitation, monitoring and evaluation and defining funding conduits, has, however, in common with a majority of NACs, difficulty in establishing its legitimacy within the bureaucratic system (DPR, 2009). Thus, while it has a significant mandate to address and occupies a central and strategic role in the response it must have absolute clarity of purpose and intent, with clearly defined vision, key goals and outputs if it is to successfully negotiate and influence effectively. The necessity of clear political support, and commensurate action, is further seen as adding to both the 'voice' and agency of NACs and therefore their overall effectiveness..

3.2.1   The Project role and effectiveness of the NAC

Given such considerations, and the central role the NAC is mandated to perform, it must therefore continue to occupy a vital strategic position within the mainstreaming response. However, what remains seemingly unanswered, given its mandated tasks, is how these might be best delineated and realised. As this Review has shown, a central problematic of the Project was that the NAC did not possess the structural alignment, resource capabilities, strategic intent and operational 'make-up' to effectively play the role of 'executive' agent it was given or assumed. Development of the Toolkit is a case in point.

The Project's clear purpose and outputs, however, lay in building capacity within the NAC to allow it to better meet its mandated responsibilities in the facilitation of external capacity building (local councils, Planning Officers, etc.,) while developing appropriate internal capabilities to enable better co-ordination and monitoring of that process. Resource constraints and allied Project considerations and how these might be best addressed as determinants of that overall process were not fully articulated in either pre- or post-implementation operational planning.

> *For a majority of respondents, the lack of strategic cohesiveness and operational clarity as exhibited was a result of 'over-complexity' of the existing internal structures with a concomitant 'lack of real [strategic] clarity as to what they [the NAC] should be doing'. In addition: "there is a real confusion here as to what the NAC should be doing towards effectively meeting its own obligations [as laid out by GRZ gazette], and that of the NASF.*

In such respects, all respondents spoke of a lack of properly produced and implemented Strategic Plans which were inclusive, enhancing and supportive of the NAC's role and mandate, and not solely reflecting the NASF, as a root cause of the NAC being unable to properly fulfil its mandated roles. On a more general mainstreaming note, the NAC Strategic Plan (2007-10), clearly states: 'a key focus of the Directorate is on mainstreaming HIV and AIDS across sectors and facilitating a state-of-the-art response.' NASF, Theme Four (mainstreaming and decentralisation) is listed, as is the decentralisation and mainstreaming theme group – composition, leads and its strategic purpose and objectives, being given.

Key and specific tasks, and outputs expected, are presented in detail, including those for internal and external initiatives and relevant 'modus operandi' for implementation. Additionally, a relevant workplan delineates an activity, and output, which is cogent to the project under review, the output envisioned being: 'Document on decentralised response and mainstreaming produced by 2007.' Nonetheless, apart from the Toolkit, the progress or otherwise of such a complex of activities, their implementation and measurable impact – the effectiveness of the response - remains unclear.

What is seemingly lacking are appropriate strategic and operational structures to better contextualise, or edit down, the complexity of activities given, framed within a clearer, simpler, overall activities mandate. In respect of the Project, apart from development of the Toolkit, how it was to be (or was) contextualised within existing mainstreaming activities and structures is not apparent. As to the overall documentation of the project through time, which the NAC should have made a central activity: the collection, collation and centralised availability of data, this does not appear to have happened in any meaningful fashion.

One consequence of this omission is that the Review process has been severely hampered in accurately plotting the progress, or otherwise, of the project. Such documentation which is to hand has had to be collected, piecemeal, from a variety of sources and is far from complete. As National Coordinator, the NAC should have facilitated this process, providing a centralised data collection conduit for ongoing review and subsequent reflection.

As noted in the JMTR mid-term review (2008) under Theme Four: '*NAC structure, staff quantities and capacities need revisiting especially the placement, operations, administration and human resource management to support the decentralised response.*' The Project provided a number of opportunities to address such shortfalls, but these were not taken up, in any degrees, until recently, and that particularly in regard to M&E. Such welcome progress will not have real sustainable impact, however, unless the major operational and structural issues delineated here and elsewhere are acted upon, properly contextualised within the resource and other shortfalls now apparent.

Recommendations

- *Clarification of both the centrality of decentralisation and mainstreaming within the NAC and the centrality of M&E within Theme Four of its mandated obligations, and clarity of approach and commitment in realising that mandate.*

- *The need for a preliminary review of the NAC to be undertaken towards the development of a pertinent strategic plan, itself contextualised within the SNDP and the NASF 2011-15, and concomitant management, planning and other pertinent structures being put in place.*

- *Review and allied review recommendations regarding structure and operations, management, purpose and strategic intent of the NAC, need to be moved forward. Engaging high-level internationally recognised technical assistance to help drive overall process is further recommended. Decentralisation and mainstreaming, as already noted, must be fully engaged.*

As part of that overall process:

- *The decentralisation and mainstreaming and M&E theme and allied working group(s) be re-evaluated as to overall effectiveness in moving forward the NAC"s mandated tasks, and realigned accordingly. In such respects:*

  - *More realistic assessments need to be made as to resource capabilities as determinants of activities of such working groups, set within clearer, simpler, strategic and operational/output frameworks - placement, operation, administration and human resource management*

  - *The current framework for NAC M&E and capacity building support to the Local Councils et al, needs further review, contextualised within strategic, management and resource constraints as already identified, both internally and external to the NAC. Further expansion of M&E without such contextualisation and apt framework development, is not recommended.*

  - *Revision of national M&E protocols developed for inclusion in the revised NASF to form an output of the above process.*

  - *Appropriate reporting channels and allied M&E protocols for the documentation, collection, collation and local/centralised availability of decentralised mainstreaming information need to be developed and matrixed into the overall M&E realignment process .*

- *Overall, internal NAC resource and allied support needs to focus upon the DACAs as a primary 'external' driver/conduit of the decentralised and mainstreaming response, and their structural and executive positioning within the NAC needs to reflect this importance.*

3.3. Alternative channels and/or approaches that might have been used

3.3.1 Decentralisation of Funding and Allied Protocols

A consistent and ongoing theme highlighted in this Review, and noted in a number of GRZ reports and elsewhere, is the need for adequate capacitation/capitation of Local Councils and other decentralised bodies within the mainstreaming/decentralised response, together with allied management and administration protocols. Given this situation, mechanisms for delivering funding/resources direct to decentralised structures – Councils, POs, AMICAALL and so forth – now need to be further developed, contextualised within constraints already identified and implemented.

Such a modality whereby funding and executive function is realigned would also help prompt the NAC to adopt more appropriate frameworks to effectively carry out its mandated responsibilities. How might 'co-ordination', for example, be best practically articulated and it parameters, reach and responsibilities, defined? UNDP, IAZ and others provide or have provided such support to AMICAALL, though currently this is of limited extent. AMICAALL itself played a significant, if somewhat ambiguous, role in the Project,

but it is currently under-utilised. Thus, a prime funding and implementation modality, with national reach, has not been effectively utilised.

Kalomo District Council with Stakeholders during the AMICAALL Capacity Building Workshop, 2008

3.3.2   Utilising a National External Mainstreaming Unit

The use of a small, technically competent, unit established at national level, working directly with, and at, District Council level, linked to the NAC, was also mooted by several respondents. But all stressed that such approach: 'must have resources, clarity in what they are meant to be doing and good ongoing technical support', if they are to succeed and be sustainable.

Recommendations

- *Alternative mainstreaming funding and executive modalities, particularly that of direct funding (coupled with external technical support) to AMICAALL - Local Councils, Planning Offices and so forth - must now be adopted. Such questions raised as to the correct positioning of the NAC can only be properly addressed within the context of core programmatic funding and executive focus being actively placed outside its remit.*

- *Without proper and effective repositioning of funding and resources to elected decentralised structures, as a priority, the role and function of DATFs, as NAC decentralised bodies, the DDCC and others, in developing a cohesive, transparent and accountable multi-sectoral response will remain unsatisfactory.*

- *The use of an external mainstreaming unit as mooted is not recommended for future Project implementation. Rather it is enhancing the effectiveness of existing decentralised and national structures, their clarity of roles, relationships and strategic interplay which needs to be prioritised.*

3.4.   The effectiveness of the management and oversight requirements of the project

3.4.1   The strategic value of channelling support through UNDP to support the NAC

The role and function of UNDP within the multi-sectoral response has already been described, as has its role within the on-going development of the NAC. Thus, de facto, the UNDP is ideally mandated to 'oversee' the Project, together with providing appropriate technical support assistance to guide, monitor and evaluate it effectively. However, such a 'mandate' was, in the view of many respondents, not carried out effectively, with disquiet expressed as to the foresight applied by UNDP as to the Project's *a priori* technical and managerial demands and requirements regarding the abilities of the NAC*, et al*, to deliver, satisfactorily, on its key outputs.

In overall management terms, disquiet was also expressed over inadequate reporting and assessment procedures, which were apparently largely based upon annual review meetings, principally process driven and not providing cogent outcome data. A linked concern was the lack of systematically addressing the many outstanding structural and strategic issues as already delineated in preceding sections of this Review. The project responsibilities of UNDP are defined within the Agreement with IAZ as providing for 'a project progress report' on an annual basis for the duration of the project, an end report at its cessation; and its financial management.

Project 'log frames' were, however, developed by UNDP in conjunction with the NAC and other parties, as witnessed in its report to IAZ (January – June 2007), and elsewhere. What is not made apparent is how such activities were to be implemented, assessed or monitored in terms of their progress and outcomes, or the role UNDP would play in such activities. For example, the development of institutional capacity within the NAC, including M&E and allied provincial and CSO linkages, both key strategic considerations of the project, have at best very little further visibility in the documentation presently to hand (excepting UGASS, 2010), as to how these were to be progressed through time.

Thus there is little provision apparent to provide a critical evaluation of the Project from an outputs based perspective: its impact on planning, programmes, capacity built, etc., or the appropriate reporting structures to do so. It also appears that little active consideration was given to addressing many of the concomitant 'structural' issues raised in this Review, even when noted as activities/objectives and all crucial to the project's success, and how these might be addressed. What happened, between-times, in terms of critical project 'dialogue', M&E and reporting procedures and documentation between parties, remains unclear.

> *The provision of a 'Mainstreaming' Specialist via UNDP, if of sufficient calibre and executive remit, might have made a positive impact here, but the appointee chosen could not, and should not, have been expected to provide such impact given the uncertainties and lack of strategic focus and management protocols as already delineated in this Review. And it was naive of UNDP, and all concerned in this appointment, to have expected otherwise.*

Where UNDP external specialist input has been of the technical calibre necessary, such inputs have also been impeded by the ongoing and concomitant lack of management and operational reconfiguring to allow such expertise effective play. Once again, given such complexities and constraints, an approach which incrementally rolled out the project, building upon existing decentralised structures through time, contextualised within an ongoing review, learning and revision methodology would have measurably increased the project's overall effectiveness, and UNDP's role within it.

Recommendations

- *Given the centrality of its positioning within the mainstreaming of HIV and AIDS in Zambia, UNDP needs to better appreciate its internal project management capacities and their restraints, while externally playing a more critical and structured role with partner organisations, within agreed and realistic frameworks of cooperation and support.*

- *If the planning cycles of the NAC and UNDP could be better harmonized, this might contribute to a more aligned planning process than that currently in operation.*

3.4.2   Irish Aid Zambia

As already noted, a key focus of IAZ's development mandate was to help ensure the ongoing sustainability of concomitant UNV programmes (PACAs), while strengthening mainstreaming capacity at a district level and the technical, M&E and coordination capabilities of the NAC. Thus, given the relationship already established via the NAC in supporting PACAs and via the AIDS Theme Group, the centrality of UNDP in the mainstreaming response, its technical capabilities and key developmental responsibilities with regard to the NAC, IAZ's decision to provide primary funding for the project, via a UNDP management and technical assistance conduit, was strategically sound.

For IAZ, support of the NAC, mainstreaming and devolution initiatives remain a key 'pillar' of its development priorities, but they see their role as that of a 'strategic funder.' In other words, IAZ perceive themselves as lacking the technical and managerial 'reach' to be able to satisfactorily undertake the role of project management and allied considerations that a project of this nature would require. Such tasks are thus, in such circumstances, undertaken by a third party, in this instance via a cost-sharing agreement with UNDP, with the NAC designated as Executing Agent.

Pace IAZ's limitations vis-a-vis implementation and management, they possess in-depth developmental skills and applied technical appreciation, as evidenced in their CSPs, and technical personnel. In spite of the Project's apparently succinct parameters and outputs delineated, IAZ was therefore, by degree, aware of the inherent complexity of what was being addressed, and a number of the issues which needed addressing, if the project were to be successful. However, the pre-implementation and ensuing role of IAZ within the project is unclear.

While it is accepted that IAZ was acting primarily as funding agent, its level of internal technical competence would argue that many of the unaddressed issue as already detailed would have, to some degree at least, been, or become, apparent. In such respects, IAZ did express 'disquiet' as to the progress and management of the project through time as acknowledged by them. But in this regard, there is no documentation to hand to gauge how such a critical dialogue was managed or what impact it may have had.

Recommendations

- *More nuanced clarification of its own internal restraints and capacities and how these impact +/- upon and determine its external development capabilities, support and levels of active critical participation, would enhance its effective participation in tripartite structured projects such as that under Review; and*

- *That said, the adoption by IAZ of a more focused, critical dialogue both internally and with UNDP and the NAC at the pre-implementation stages of the project, better detailing its own technical assessments of what it, as funding agent, requires of partner organisations (implementation, support and executive management, etc), technical and resource requirements, and reporting conduits, would have been of considerable use to all concerned.*

4. A way forward that ensures strategic direction for the support of HIV&AIDS mainstreaming initiatives in Zambia

Clarity of future strategic direction of HIV and AIDS mainstreaming in Zambia is dependent upon a number of the issues raised in this Review, and in related reviews and recommendation processes, being addressed successfully. However, the scope and strategic focus of this Review is that of decentralised public sector mainstreaming, and this remit therefore sets the overall the range and scope of recommendations.

Central to multi-sectoral decentralised mainstreaming's overall future efficacy, nonetheless, is how best the NAC can elucidate and then address its mandated tasks in such respects and the effectiveness of technical assistance and co-operating partner support. M&E is a prime concern and though, by degree, being addressed, the issues raised – M&E funding, reporting, human resources and technical capacity – must be further contextualised within the findings/recommendations of this and other reviews.

A major identified constraint at district level in many locations has been and remains a dearth of funding, resources and appropriate human resources. Reporting and data collection systems, for example, are currently inadequately resourced in many districts, and with poor synergy. Thus the necessary public sector frameworks needed while conceptually understood remain largely ineffectual. Executive function and remit thus needs far better situational clarity to help alleviate this situation, and, if progressed, should help better define where such functions need to reside.

A modality which sees, for example, AMICAALL as a prime funding recipient, would also help to devolve and better define executive function and implementation responsibilities, perhaps then allowing the NAC, via DACAs as prime decentralised coordinators, to better realise national co-ordination and information remits. However, DACAs require adequate funding and resources as a matter of urgency to strengthen their crucial implementation and reporting role, and far more operational contextualisation within the 'parent' organisation, the NAC, than is currently apparent, if meaningful resource and reporting networks are to be successfully implemented at both decentralised and national level.

The placement and delivery structure of future funding from co-operating partners must provide greater direct support to this process, together with appropriate dialogue as to how it might be best realised. Without such realignment of funding foci, it is felt an apt strategic environment will not be created to move such issue forward while helping to enable the NAC to correctly position itself within decentralisation and mainstreaming, and reconfigure its role and remit in supporting/co-ordinating the executive/implementation function of other key players. The importance of decentralised public sector mainstreaming in providing essential reporting, information and allied frameworks for the wider multi-sectoral response needs far greater emphasis than currently apparent.

_____
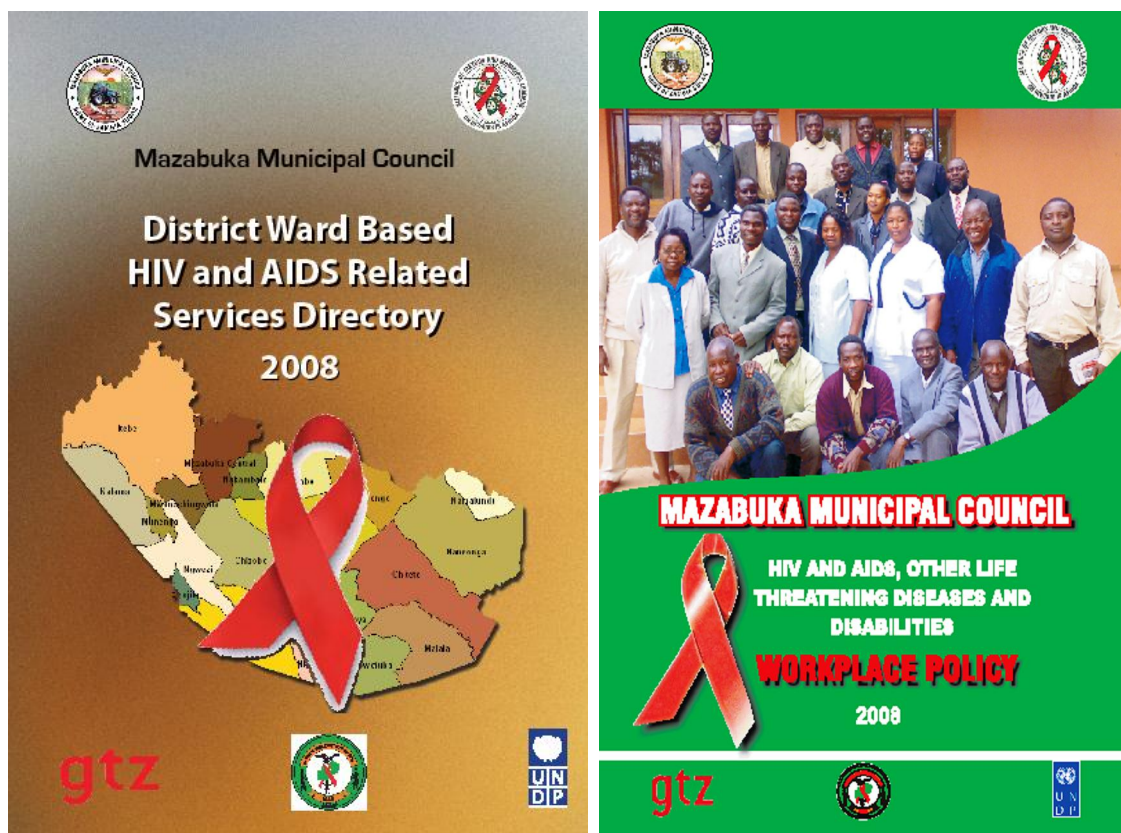
Two key outputs of the AMICAALL Capacity Building Initiative in support of decentralised and mainstreamed HIV response at local level

ANNEXES

A. Abstract of Mainstreaming Results-Mix based on the Zambian Experience

Mainstreaming Aspects	Expected Results (rationale-based and NASF M&E Plan)	Achievements thus far, 2006-2010	Evident Gaps: Challenges to attainment of expected results	Strategic Focus: Potential Action Plan 2010 to next NASF 2011-2015
Internal - *capacity building*	▪ *No targets were set:* ▪ *Number of workplaces, including line ministries, with developed workplace policies and programmes for HIV&AIDS* ▪ *Number of line ministries, FBOS, CBOs, DPOs and NGOs with HIV&AIDS Action Plans* ▪ *Number of line ministries with HIV&AIDS Budget Lines* ▪ *Number of line ministries with full time HIV&AIDS Focal Point Persons* ▪ *Number of employees trained to provide HIV behaviour change services to fellow employees (including peer educators, counsellors,etc) at workplaces* ▪ *Number of employees reached through workplace programmes.*	✓ Coordinated mainstreaming and decentralized multi-sectoral response to gender sensitive HIV&AIDS in all developmental activities. ✓ Supported prevention activities and reduction of stigma and discrimination. ✓ Establishment of an AIDS Law Clinic to support People Living with HIV&AIDS (PLHIV) ✓ Overall, 500 local lead sectors or organizations in the public, private and civil society sector ✓ provided with TA for HIV related institutional capacity building in terms of mainstreaming, advocacy, management, coordination and monitoring of multi-sectoral response to HIV and AIDS in all the 72 districts. ✓ Coordination of the implementation of the decentralization response has continued through close collaboration with AMICAALL/Local Authorities, an effort that has led to increased awareness on HIV&AIDS. ✓ Access to and use of HIV&AIDS prevention, care and impact mitigation programmes by vulnerable populations increased significantly. ✓ The scaling up of treatment services has resulted in nearly 55 percent of women and men who need to be on treatment accessing ART services, including associated care. ✓ There are about 40 line ministries and public work places that had finalized their HIV and AIDS policy and of these 17 had disseminated them.	➢ *Informal Sector not fully incorporated* ➢ *Not all Organizations have HIV&AIDS Policies - the Ministry of Health (MoH), private sector and civil society organizations, State House and most provincial administrations, some partners working in the area of HIV&AIDS and can't serve as role models and effective drivers of workplace policies and programmes.*	➢ *As instructive in the preceding gap analysis.*

Mainstreaming Aspects	Expected Results (rationale-based and NASF M&E Plan)	Achievements thus far	Evident Gaps: Challenges to attainment of expected results	Strategic Focus: Potential Action Plan 2010 to next NASF 2011-2015
Internal - *capacity building* cont.	*As above*	✓ The percentage of line ministries with AIDS policies currently stands at 98% as compared to 85% in the private sector. ✓ And out of 4,011 CSOs in the first quarter of 2008, 2,458 had HIV&AIDS action plans while 1,503 had full-time focal point persons. This shows an increase in the number of HIV&AIDS action plans and focal point persons in 2007. ✓ Similarly, by the end of 2006, 80 % of the large companies had HIV&AIDS workplace policies. Number of companies with written HIV&AIDS workplace policies is increasing. The number increased to 101 in 2008 from 56 in 2007. ✓ Within the public sector, 40 line ministries and public workplaces finalized their HIV&AIDS policies of which 17 disseminated their policies ✓ Translated into decreasing levels of morbidity and mortality among the population. ✓ In addition, the quality of life of people living with HIV has improved and subsequently led to reduced absenteeism as evidenced in a number of lime ministries. ✓ There is also a noticeable reduction in stigma and discrimination in the workplace as evidenced by the willingness of people to access food supplements at workplaces. ✓ Similarly, data obtained from the company directories by NAC in 2008 indicate that the number of companies with written HIV&AIDS workplace policies increased to 101 in 2008 from 56 in 2007. ✓ HIV&AIDS work place programme activities have also been scaled up.	▪ *In spite of only nearly 8 per cent of the population living with HIV, many challenges exists in ensuring that their human rights are respected and protected and they have equitable access to goods and services that are available to people not infected with HIV.* ▪ *Low Capacity at Local/Community Level - to carry out strategic and work planning, budgeting, monitoring and evaluation* ▪ *Training, while necessary and important in itself, did not encompass w 'the real decision makers'* ▪ *Uncertain or poor devolvement of funding streams, lack of resources, establishment frameworks and effective utilization of reporting conduits, still hamper the capacities of those involved to effectively carry out their duties.*	▪ *See above*

Mainstreaming Aspects	Expected Results (rationale-based and NASF M&E Plan)	Achievements thus far	Evident Gaps: Challenges to attainment of expected results	Strategic Focus: Potential Action Plan 2010 to next NASF
Internal - *capacity building* *cont.*	*As above*	✓ All in all 500 local lead sectors or organizations in the public, private and civil society sector were provided with technical assistance for HIV-related institutional capacity building in terms of mainstreaming, advocacy,management, coordination and monitoring of multi-sectoral response to HIV and AIDS in all the 72 districts.	▪ *As above*	▪ *As above*
External- *capacity building*	***Developed indicators were not incorporated in the NASF M&E Pan – still in draft form.***	✓ The sector has been able to monitor its performance against universal access to prevention, treatment and mitigation services. ✓ A National AIDS Spending Assessment (NASA) was developed to track actual HIV&AIDS expenditures of all partners towards the national response. ✓ A functional FAMS has been developed and was used during the review period to track financial expenditure of Provincial and District AIDS Task Forces. ✓ The resource envelope for all HIV&AIDS programmes countrywide has been on an increase with approximately US$198 million recorded for 2006, US $232 million for 2007 and US$358 million for 2008.	▪ *Within the government budget, the absence of an HIV&AIDS budget code makes it difficult to track HIV&AIDS resources used in other ministries other than ministry of Health.* ▪ *Related to this, Government financial commitment to the AIDS response is poorly captured as it is disbursed to all line ministries without proper recording.* ▪ *Specific ToRs/reporting systems/accountability and competency requirement of public sector employment* ▪ *The only challenge under such a facility is inadequacy of funds.*	▪ *Institutionalize resource tracking which is linked to national resource management and tracking systems at MOH and MoFNP.* ▪ *Toolkit needs to be revised and simplified, and a Second Edition produced, particularly as training continues under the direction of the DACAs and others.* ➢ *Toolkit revision must use a competent graphic and layout specialist to simplify overall presentation and ease of use and effectiveness.*

Mainstreaming Aspects	Expected Results (rationale-based and NASF M&E Plan)	Achievements thus far	Evident Gaps: Challenges to attainment of expected results	Strategic Focus: Potential Action Plan 2010 to next NASF
External- *capacity building* *cont.*	*As above*	➢ Ministry of Community Development and Social Services (MCDSS) are providing small loans through a micro-financing facility to women groups consisting of those affected and infected with HIV&AIDS in Eastern province.	▪ *Inappropriate tools to guide the decentralized response and mainstreaming HIV&AIDS.*	➢ *As above*
Institutionalization /ownership	*Developed indicators were not incorporated in the NASF M&E Pan – still in draft form.*	▪ All the districts in Zambia have incorporated HIV&AIDS into their development plans and they have developed HIV&AIDS strategic plans and budgets. ▪ A pilot programme was initiated to mainstream HIV&AIDS into the agricultural sector using Participatory Extension Approaches (PEA) to build improved communication around HIV&AIDS-related issues at the local level. ▪ The ministry of education, on the other hand, implemented a five-year strategic plan for HIV&AIDS and a Comprehensive Programme Logical Framework to initiate and support an institutionalized response to HIV&AIDS from 2003-2007 at the national, provincial, district and colleges and school levels. ▪ In order to fully mitigate the impact of the epidemic on the Ministry of Education (MoE); an HIV&AIDS workplace policy was developed with a lot of input from a range of stakeholders within and outside the Ministry. ▪ Most recently, HIV&AIDS policy implementation strategies for colleges of higher education in Zambia were developed.	▪ *NAC's coordination function does not incorporate interventions by all stakeholders in its annual multi-sectoral work plans.* ▪ *The institutional framework through which the response is being organized at sub-national levels is still vulnerable. This is largely due to a lack of legal framework by key players, i.e. DATFs and PATFs.*	➢ *Strengthen NAC's coordination function by ensuring that interventions from different partners, donors, etc are included in the Annual Multi-sectoral Work plan.*

Mainstreaming Aspects	Expected Results (rationale-based and NASF M&E Plan)	Achievements thus far	Evident Gaps: Challenges to attainment of expected results	Strategic Focus: Potential Action Plan 2010 to next NASF
Sustainability: Coordination & decentralization	*As above*	▪ The HIV&AIDS response has been mainstreamed in all the sectors (public, private and civil society). ▪ The proportion of line ministries with AIDS policies currently stands at 98% as compared to 85% in the private sector. ▪ And out of 4,011 CSOs in the first quarter of 2008, 2,458 had HIV&AIDS action plans while 1,503 had full-time focal point persons. ▪ This shows an increase in the number of HIV&AIDS action plans and focal point persons in 2007. ▪ Similarly, by the end of 2006, 80 per cent of the large companies had HIV&AIDS workplace policies.	▪ *The rate of implementation of workplace policies has been slow and is at different levels in the public sector. This mainly due to weak co-ordination at national and institutional level, lack of implementation plans to translate these policies into programs and limited funding.* ▪ *There are structural drivers of the epidemic such as the common practice of concurrent sexual partners; transactional and cross-generational sex; gender inequality; poverty; stigma and discrimination around sexuality.* ▪ *Little mainstreaming of HIV&AIDS into programmes at lower level* ▪ *Opportunities for external mainstreaming to other areas of development work have not been fully exploited.* ▪ *Three immerging issues (a) Inadequate Specification of Targets, (b) Inconsistencies in reported Data and (c) Inequities in access to HIV and AIDS Services.*	➢ *Prioritize the provision of life-protecting services to women and girls, the socially marginalized, the very poor and most vulnerable.* ➢ *Introduce a budget allocation for HIV&AIDS activities at the district level.* ➢ *Strengthen institutional arrangements at the district and provincial levels and provide them with adequate resources to implement effective HIV&AIDS interventions (DIP aligned).* ➢ *Develop capacity in advocacy, management, coordination, and monitoring of multi-sectoral response at district level;* ➢ *Develop district-level multi-sectoral HIV&AIDS programmes and annual implementation plans built on sectoral comparative advantage.* ➢ *Improve coordination of multi-sectoral response at district level.*

Mainstreaming Aspects	Expected Results (rationale-based and NASF M&E Plan)	Achievements thus far	Evident Gaps: Challenges to attainment of expected results	Strategic Focus: Potential Action Plan 2010 to next NASF
Sustainability: Coordination & decentralization *cont.*	*As above*	✓ All the districts in Zambia have in place District HIV and AIDS Task Forces (DATFs) while there are 70 District AIDS Coordinating Advisors (DACAs). ✓ In addition, all the nine provinces have in place Provincial HIV and AIDS Task Forces (PATFs) and Provincial AIDS Coordinating Advisors (PACAs). ✓ All the DATFs, DACAs, PATFs, PACAs and some officials at NAC have received training in strategic planning, monitoring and evaluation, and budgeting. ✓ All in all 500 local lead sectors or organizations in the public, private and civil society sector were provided with technical assistance for HIV related institutional capacity building in terms of mainstreaming, advocacy, management, coordination and monitoring of multi-sectoral response to HIV&AIDS in all the 72 districts ✓ 16 Local authorities out of 72 have been capacitated covering councilors and council staff on how to deal with HIV&AIDS, internally in their workplaces and externally in their communities. Training materials on local government and HIV and AIDS, mainstreaming, participatory planning, and gender and human rights mainstreaming have been developed. ✓	▪ *Insufficient resources to effectively decentralize the response and mainstream it in all the sectors.* ▪ *Poor Coordination, Resource Mobilization, Documentation and Communication - PATFs and DATFs do not seem to have enough information of the stakeholders within their jurisdiction and this has led to some being left out of provincial and district coordinating structures.* ▪ *Sub-national level requires a systematic approach to harmonizing and building local capacity to manage and sustain a comprehensive and a more conducive enabling environment for community-based initiatives.* ▪ *Support for strengthening coordinated sub-national HIV&AIDS structures, planning and implementation processes is weak.*	➢ *Capacity improvement of district, provincial, and national planning mechanisms in the multi-sectoral HIV&AIDS planning and mainstreaming.* ➢ *Initiating Competence and Capacity Enhancement of targeted Tertiary Learning Institutions (TLIs) and Mentors in empowering their clientele in HIV&AIDS, gender and human rights mainstreaming intricacies at critical points in their professional formation (pre-finalization of course work).* ➢ *Improvements in evidence-based decision-making and distribution of human and financial resources will significantly influence the success of the AIDS response.* ➢ *Build the capacity of PATFs and DATFs to support a bottom up mechanism of planning particularly through the local authorities.*

Mainstreaming Aspects	Expected Results (rationale-based and NASF M&E Plan)	Achievements thus far	Evident Gaps: Challenges to attainment of expected results	Strategic Focus: Potential Action Plan 2010 to next NASF
Sustainability: Coordination & decentralization *cont.*	*As above*	✓ A typical local government training programme produces a district HIV&AIDS directory and a local authority workplace policy. ✓ *As above*	➤ *A number of stakeholders have established parallel structures at the community level and this makes it difficult for local authorities to provide adequate coordination in communities.*	➤ *Strengthen the capacity of DATFs, PATFs and CATFs to develop joint monitoring and evaluation plans with district targets* ➤ *Advocate for the legalization of PATFs, DATFs and CATFs within the framework of decentralization* ➤ *Enhance resource management of a coordinated decentralized response.* ➤ *Strengthen the capacity of PATFs and DATFs to render effective support to their local stakeholders.* ➤ *Development of a revised M&E framework.* ➤ *Adequate capacitating of local councils and other decentralized bodies.* ➤ *Correlated expansion of strategic support for AMICAALL needs to factored into this process.* ➤ *Strategic support to, and positioning of, Focal Point personnel within line- needs to be resolved.*

Mainstreaming Aspects	Expected Results (rationale-based and NASF M&E Plan)	Achievements thus far	Evident Gaps: Challenges to attainment of expected results	Strategic Focus: Potential Action Plan 2010 to next NASF
Engendered and rights-based HIV mainstreaming	*Developed indicators were not incorporated in the NASF M&E Pan – still in draft form.*	✓ Zambia has laws that have a bearing on the protection of PLHIV against discrimination. ✓ There are general non-discrimination provisions that can be applied to the protection of people living with HIV. ✓ Apart from the *Citizens Economic Empowerment Act (2006)* which is HIV&AIDS specific, others including the *Employment Act* and the *Constitution of Zambia* are not HIV and AIDS specific. ✓ The specific laws are: (a) The *Citizens Economic Empowerment Act (2006)* which prohibits HIV based discrimination at workplaces; (b) The *Employment Act* which stipulates that people cannot be discriminated against based on social status; (c) The *Disability Act* which prohibits discrimination against people with disabilities; and (d) The *Constitution of Zambia* which has a clause protecting citizens against discrimination.	▪ *Little utilization of gender mainstreaming tools such as the guidelines and checklist for mainstreaming gender in the public sector.* ▪ *Gender not effectively mainstreamed* ▪ *All the six thematic areas and most of the Strategic objectives have been expressed in a gender neutral language.* ▪ *A number of indicators in the NASF are not gender sensitive making it difficult to measure progress on gender related interventions.* ▪ *Further, not all indicators are disaggregated by sex, while some key areas lack indicators.* ▪ *Insufficient tackling of Human Rights around HIV&AIDS in the Workplace.* ▪ *Few institutions have started reviewing the HIV&AIDS work place policies to incorporate gender concerns, a number are still drafting their initial workplace policies on HIV&AIDS.* ▪ *Zambia has been very slow in domesticating human rights instruments into domestic laws.*	➢ *Universal access Now - Gender-focus TA* ➢ *Develop and expand mainstreaming gender, HIV&AIDS into sectors (private, public, informal, local government, traditional system and civil society) development policies, strategies, plans and budgets* ➢ *Develop and implement comprehensive workplace and community response strategies to HIV&AIDS based on the six drivers* ➢ *Strengthen health systems and community systems as complementary strategies.*

Mainstreaming Aspects	Expected Results (rationale-based and NASF M&E Plan)	Achievements thus far	Evident Gaps: Challenges to attainment of expected results	Strategic Focus: Potential Action Plan 2010 to next NASF
Engendered and rights-based HIV mainstreaming *cont.*	*As above*	✓ Specific vulnerable groups protected by law include children and women through the *sexual offences and defilement laws*. ✓ Prisoners are also protected through the prisons regulations stipulating that all prisoners will be treated in a humane way even though the extent to which this is applied.	▪ *Special groups such as the disabled, deaf and blind also need to be covered in workplace programs.* ▪ *The country has limited non-discrimination laws protecting MARPs and other vulnerable sub-populations. There are no laws protecting IDUs, MSM and CSWs.*	➢ *As above*
M&E and Strategic information generation for evidence-based advocacy	*No targets were set:*	➢ Analyses of HIV&AIDS effects on the workforce were done and strategies to address these changes were also promoted. ➢ In addition, workforce impact studies on HIV&AIDS by sector were conducted while workforce strategies to address key issues were also developed. ➢ Impact assessments in the health, education and agriculture sectors in Zambia led to the release of a publication titled, *"HIV and Public Sector capacity: Impact and Responses"* (UNDP, 2007). ➢ CHAMP conducted a cost benefit analysis of HIV&AIDS workplace Programmes in Zambia in June 2007 covering seven companies with employees ranging from 350 to 10,000. ➢ NAC has also been collecting data from private companies since 2006 and has since produced three directories titled, *"Combating HIV and AIDS in the Private Sector"* for 2006, 2007 and 2008; providing details on performance.	➢ *Information flow and sharing from the public sector, private sector and civil society is very poor and therefore most of the activities undertaken go unrecorded.* ➢ *Lack of baseline and target Indicators - It has been noted that the thematic area has no baseline and target indicators indicated in the M&E plan as well as the strategic framework.* ➢ *Data collection, analysis and usage capacity at sub-national level is limited, resulting in a situation where information sharing and utilization at provincial, district and community level is limited.*	➢ *Improve system, organizational and human capacity to collect, analyze, interpret and use HIV program related data at provincial and district level, and plan accordingly.*

Reference Documents include: MTR, 2008; UNGASS Reports, 2008 & 2010; FNDP MTR, 2009; SIA, 2009; Mainstreaming Project Review, 2010; UNAIDS CD on Mainstreaming AIDS in Development , E-Library; NASF 2011-2015 Draft; NHSP 2011-2015 Draft; A Supplement to NASF 2006-2010 based on MTR 2008]

B. List of Key Informants

#	Name	Designation and Organization	Contact	Follow-up notes, comments or expected inputs
1	Mr. Bernard Munkombwe	Ex-Project Manager, ZMB 10/00049510	0977154921 bmunkombwe@yahoo.com	Managed the Supplemental Project from inception until end of extension period, June 2010.
2	Mr. Kenneth Mwansa	AMICAALL Coordinator	0966759585 Kenneth.mwansa@yahoo.co.uk	▪ Worked in close liaison with the Project Manager, esp. capacity building initiatives for the Local Authorities. ▪ Capacity building for the Local Authorities' Response to HIV&AIDS; Decentralized and Mainstreaming Theme Group Chair; BDS for PLHIV…
3	Dr. Rosemary Kumwenda	ARR/Advisor, UNDP	0977770408 rosemary.kumwenda@undp.org	Oversight, institution memory and insights
4	Ms Patricia Malasha	HIV&AIDS Advisor, Irish Aid	0977895138 Patricia.Malasha@dfa.ie	Irish Aid Focal Point Persons: HIV&AIDS, Gender and Human Rights mainstreaming, Decentralized Response to HIV&AIDS (PACAs), etc
5	Dr. Kanyanta Sunkutu	Advisor – HIV&AIDS, WHO	0977861441 sunkutuk@zm.afro.who.int	UN Joint Team, Outcome 1 member. Plus HIV Treatment and Care.
6	Ms. Olive Munjanja	Programme Officer, HIV&AIDS, ILO	0966663134 Olive.munjanja@ilo.org	UNJT of Support, Workplace Programmes, BDS for PLHIV, Informal Sector Response etc
7	Dr. Micheal Gboun	M&E Advisor, UNAIDS	0977771031 gbounm@unAIDS.org	M&E and Strategic Information Generation: NASA, MTR, Epi-Synthesis, Sector Institutional Assessment, UNGASS etc
8	Mr Osward Mulenga	M&E Director, NAC	omulenga@nacsec.org	
9	Dr. Rosemary Sunkutu	Senior Population Health and Nutrition Specialist, AFTHE – World Bank	0955883590 or 0977849213 rsunkutu@worldbank.org	Mainstreaming in macro-economic frameworks, health insurance, sector capacity assessments and development, community response capacity enhancement, CSOs development etc
10	Ms. Sansan Myint	Specialist – HIV&AIDS, UNICEF	0976152297 smyint@unicef.org	UNJT of Support, Impact Mitigation, Prevention and Treatment Scale-up, OVC, mainstreaming etc
11	Ms. Florence Mulenga	Programme Officer, UNFPA	0977863886 Mulenga_unfpa.org	UNJT of Support, Prevention scale-up, youths, mainstreaming etc
12	Dr. Alex Simwanza	NAC – Director, Prevention and Multi-sectoral Response	0977885720 asimwanza@yahoo.co.uk asimwanza@nacsec.org.zm	Mainstreaming, Strengthening multi-sectoral and decentralized Response, NUNVs – DACAs, PACAs & MACAs etc
13	Mr Crispin Melele	Specialist, Provincial and District Response Coordination, NAC	cmelele@nacsec.org.zm	
14	Ms Gladys Ngoma	Specialist – HIV&AIDS mainstreaming in the private sector, NAC	gngoma@nacsec.org.zm	Mainstreaming, coordination of the private sector response to HIV&AIDS etc
15	Mr. Mwilu Mumbi	Specialist – HIV&AIDS mainstreaming and coordination of CSOs	mmumbi@nacsec.org.zm	Mainstreaming, coordination of the CSOs sector response to HIV&AIDS, including House of Chiefs and Youth as well as special marginalized groups etc

#	Name	Designation and Organization	Contact	Follow-up notes, comments or expected inputs
16	Dr. Micheal Chanda	Advisor, SHARe	0977802221 Michael.Chanda@share.org.zm	Capacity building for mainstreaming, OCA, leadership development, response systems strengthening etc
17	Mr. Charles Hakoma	SHARe	Charles.Hakoma@share.org.zm	
18	Mr. Jeff-Yussuf Ayami	Executive Secretary, ZINGO	0977873791 jeffyussuf@gmail.com	Building the capacity of FBOs for AIDS Mainstreaming, M&E and project management etc
19	Ms. Ireen Matanda	Director - PSMD	0966768651	Public Sector Response, UNVs Sustainability Strategy etc
20	Ms. Elizabeth Maliwa	DACA – Lusaka and Ex-national UNV in the Public Sector Management Division (PSMD)	0977444815 maliwaem@gmail.com	
21	Mr. Lloyd Handongwe and/or Focal Point Persons	DACA Choma and Ex-national UNV, Ministry of Commerce	0966700299 "mhandongwe@yahoo.com"	Mainstreaming HIV&AIDS into sector programmes, plans and initiatives.
22	Ms. Beatrice Kaimbo and/or Focal Point Person	DACA Monze and Ex-national UNV, Ministry of Youth, Sport and Child Development	0977747041 beatricekaimbo@hotmail.com	Mainstreaming HIV&AIDS into sector programmes, plans and initiatives.
23	Focal Point Person	Ministry of Education	TBA	
24	Mr Joseph Ngulube	Finance Manager, NAC	jngulube@nacsec.org.zm	Financial Management and exploration of innovative financing options for the multi-sectoral response etc
25	Mr. Scott Tembo	GF Coordinator, MoFNP/NAC	stembo@nacesec.org.zm	Coordination of Global Fund resources for public sector mainstreaming of HIV&AIDS, M&E etc
26	Ms. Bronagh Carr	Development Specialist, Irish Aid	Bronagh.carr@dfa.ie	Development Aid Management, technical support, quality assurance etc

C. List of Draft Report Reviewers

No.	Name	Organization	Contact	E-mail
1	Francis Mbilima	UNDP - PA	0977826856	francis.mbilima@undp.org
2	Esther K. Sakala	ZBCA - ED	0966901740	zbcawd@iconnect.zm
3	Chilaba N. Hamwela	MCDSS - AO	0979558251	chilabasb@hotmail.com
4	Steve Sichone	NAC – P/BCC SP.	0977808138	ssichone@nacsec.org.zm
5	Mwilu Mumbi	NAC – CS SP.	255044	mmumbi@nacsec.org.zm
6	Kunyima Banda	NZP+ - PM	0977775880	kunyimabanda@yahoo.com
7	Chris Peters	Consultant	0979700673	ctgzambia@gmail.com
8	Dr. Alex Simwanza	NAC - DPMR	0978059696	asimwanza@nacsec.org.zm
9	Dr. Rosemary Kumwenda	UNDP - ARR	0977770408	Rosemary.kumwenda@undp.org
10	Thompson Tembo	MWS - AA	0966473583	tembothompson@yah00.com
11	Grace Theo	MTENR - FPP	0977494342	chidongotheo@yah00.com
12	Patricia Malasha	IA - Advisor	097776212	patricia.malasha@dfa.ie
13	Harrington Chibanda	ZFE - ED	0977810281	zfe@zamnet.zm; chiba19@yahoo.com
14	Olive K. Munjanja	ILO - PO	0966663134	munjanja@ilo.org

D. References

The documents listed are either directly referred to in the text or have provided ancillary data to the review

GRZ/NAC

The National HIV/AIDS/STI/TB Council Act, supplement to GRZ Gazette, 31st December 2002

External Mainstreaming of HIV and AIDS by CSOs in Zambia, NAC/GTZ, 2002

National HIV/AIDS/STI/TB Policy GRZ/MoH 2005

National HIV and AIDS Strategic Framework 2006-2010, May 2006

Fifth National Development Plan (2005--20010)

Joint Annual Review Framework – JAPR Review of the National HIV/AIDS/STI/TB Council Intervention Strategic Plan (2006 - 2010)

Operations of the National AIDS Council (2006)

NASF Supplement (2006-10).

National HIV/AIDS/STI/TB Council Summary Action Plan (2007 – 2009)

HIV and AIDS Mainstreaming, A Toolkit for Sectors, Organisations and Programmes, Final (NAC undated)

Ministry of Science, Technology and Vocational HIV Mainstreaming in MSTVT, Zambia (2009)

Decentralisation Implementation Plan 2009 – 13, Ministry of Local Government and Housing, Decentralisation Secretariat Lusaka, December 2009

Results-Based Annual Work Plan for the Support Programme to the Multi-Sectoral Response to HIV & AIDS, the NAC, UNDP, 2010

Review of the Joint Financing Agreement (draft), the NAC Zambia, April 2010

UN Country Reports/ Mainstreaming

The United Nations Development Assistance Framework (UNDAF) for Zambia (2002 – 2006)

Mainstreaming HIV and AIDS in Sectors and Programmes - An Implementation Guide for National Responses UNAIDS/World Bank/UNDP (Undated)

Mainstreaming HIV and AIDS: A Conceptual Framework and Implementing Principles (UNAIDS/GTZ) JUNE 2002

ZAMBIA Country Report: Follow-up to the Declaration of Commitment on HIV/AIDS (UNGASS) 2005

UNDP Annual Report 2006

ZAMBIA Country Report - Multi-Sectoral AIDS Response Monitoring and Evaluation Biennial Report 2006-2007 Updated Version

Narrative Decentralization and Mainstreaming Theme Group, JAPR 2007, Draft

Country Programme Action Plan for Zambia 2007-2010 *of the* Government of the Republic of Zambia and *the* United Nations Development Programme (2007)

Review Report on the Implementation of UNDAF Outcome 1 and UN Team on AIDS in Zambia, I January 2007 – 30 June 2008

Mainstreaming – Towards Universal Access International UNAIDS/HIV/AIDS Alliance, 2008

Zambia UNGASS Country Report 2008, updated version

Zambia UNGASS Country Report 2010

UNDP/IRISH AID – Project Agreement and Outputs

Supplemental Project of Support to HIV/AIDS Mainstreaming: Development Cooperation Ireland and UNDP (December 2005)

Mainstreaming Eastern Training of Trainers Report, September 2007

Mainstreaming Training of Trainers Report, Central and Lusaka, September 2007

Mainstreaming Workshop Report for North Western Province, October 2007

Mid-Year Annual Review on HIV Mainstreaming, 2008

Project Terminal Report 2006-09, 2009

The National AIDS Council in Partnership with the United Nations Development Programme and Irish Aid Support to multi-sectoral HIV&AIDS Response Initiative: DCI [Irish Aid] Supplemental Project Annual Report, 2006–2007(Submitted by UNDP & National AIDS Council 2008)

Consolidated Annual Report on HIV Mainstreaming 2006 - 07

Report on the HIV & AIDS Mainstreaming Training of Trainers (TOTs) Workshop for Central and Lusaka Provinces, September 2007

Irish Aid, Zambia Country Strategy Paper, 2007 - 2010

Other

Mainstreaming towards Universal Access, (IHAA 2008)

AIDS in the Context of Development , UNRISD Programme on Social Policy and Development Paper Number 4, Collins, J., & Rau, B. (2000).

The HIV/AIDS pandemic in South Africa: Sectoral impacts and unemployment Journal of International Development , Arndt, C., & Lewis, J. (2001).

Mainstreaming the Policy and Programming Response to the HIV Epidemic . UNDP Issues paper
No. 33. Cohen, D. (2000).

Mainstreaming HIV/AIDS in development sectors: Have we learnt the lessons from gender mainstreaming? (H. ELSEY, R. TOLHURST, & S. THEOBALD Liverpool School of Tropical Medicine, Liverpool, UK) 2005