

Final Report of the Midterm Evaluation of the Country Programme Action Plan (CPAP) 2011-2015

**Government of the Republic of Zambia &
United Nations Development Programme**

Prepared By

Amadou Tijan B. Jallow

Jorry M. Mwenechanya

September 2013

Acknowledgement

We wish to acknowledge with sincere thanks the inputs and insights provided by all those met during the course of the assignment. In particular we would like to thank UNDP's implementing partners at central government level, regional level with special appreciation to the local communities in Kazungula District Southern Province and to civil society partners.

The team also expresses its gratitude to UN agencies and donors for their time and inputs. UNDP Zambia Country Office management and staff at all levels provided unfailing support, and freely shared their time and ideas. We are very grateful for that.

As an independent evaluation, the team is ultimately responsible for the views and opinions expressed in the report, but we hope that they reflect those of the partners met. More importantly, we hope that the findings and recommendations of the report will contribute to improving the work of UNDP in Zambia.

Disclaimer

This report was prepared by Dr Tijan Amadou Jallow and Professor Jorry Mwenechanya. The findings, interpretations, and conclusions expressed herein are those of the authors and do not necessarily reflect the views of the United Nations Development Programme (UNDP).

Executive Summary

Background

This Report presents the results of the midterm evaluation of the United Nations Development Programme (UNDP) Country Programme (2011-2015) that supports the Sixth National Development Plan (SNDP) of the Government of the Republic of Zambia (GRZ) and is in line with the United Nations Development Assistance Framework (UNDAF). Under the UNDAF, the UNDP's focus areas are HIV and AIDS, Climate Change and Environment, and Governance and Gender.

The outcomes of the 2011-2015 Country Programme and Country Programme Action Plan are:

1. Government and its partners develop and implement social protection policies and strategies to mitigate the impact of HIV
2. Government and partners coordinates a harmonized and sustainable multi-sectoral HIV response by 2015
3. Government and partners enable vulnerable populations to be food secure by 2015.
4. Targeted groups have increased access to gainful and decent employment by 2015
5. Government promotes adaptation and provides mitigation measures to protect livelihoods from climate change
6. Government implements policies and legal frameworks for sustainable community based natural resources management by 2015
7. Individuals with increased knowledge and ability to claim human rights for effective participation in development and democratic processes by 2015
8. Reduced legal and cultural barriers to gender equality by 2015

The evaluation of the Country Programme and Country Programme Action Plan (2011-15) had the following objectives:

- a) Assess progress.
- b) Evaluate its contribution to national development results in the following areas (i) HIV and Poverty Reduction, (ii) Climate Change and Natural Resources, and (iii) Governance and Gender.
- c) Identify possible mid-course adjustments to programme design and implementation strategy.

Main findings of the Evaluation

General

The Evaluation Team has rated UNDP Country Office performance as above average at midpoint in the implementation of the CPD/CPAP 2011-2015. The Team also notes with satisfaction that the national partners have contributed significantly to this achievement through ownership of programmes and, in many cases, conceptual leadership.

The change in political environment and the constitutional review processes have introduced fluidity in UNDP's operational environment, especially the recent ministerial alignments. However, UNDP and its partners seem to have responded to these changes positively and the evaluation team detected only minor adverse effects on the implementation of the CPAP

Contribution to national development

The CPAP is making a significant contribution to national development results in the focus areas of elections, constitutional review, human rights and gender. In addition, in the areas of community-based resources management, and climate change adaptation and mitigation, UNDP projects have potential to produce wide-scale impacts and outcomes.

Operational Efficiency

UNDP earns top marks for operational efficiency as exemplified by a delivery rate which has consistently been above 90% since the start of the programme. The UNDP has established a good track record of mobilizing, disbursing and accounting for the use of funds. .

Monitoring and Evaluation

The MTE found good systems in place for planning, monitoring and evaluation processes, as well as for the reporting of results. The planning and review processes among the UNDP units, and with programme partners and stakeholders are well structured, systematic, and continuously under review and undergoing continuing improvements.

HIV and AIDS

The MTE noted that as part of the UN response to HIV and AIDS, the UNDP has coordinated response in five result areas: (a) enabling policy and legal environment; (b) strengthened national response coordination, including adherence to '3 Ones principles'; (c) capacity development for sustained response (alternative financing, mainstreaming gender, human rights); (d) strengthened strategic information generation and harmonized M&E and research; and (e) decentralization of the national multi-sectoral response. As part of domestic resource mobilization efforts, steps have been taken with respect to integration of HIV and gender into EIAs; selected districts have started benefitting from enhanced PPP and resources/systems earmarked and embedded within Capital Project contracts.

Since 2009 the UNDP was designated as the Principal Recipient of the Global Fund that has contributed to a largely uninterrupted supply of ARVs. Of the total USD 193 million in grants to the Fund, about USD 150 million had been disbursed, most of it (USD 141 million) to support treatment. This shows a high absorption capacity,

Poverty and MDGs

In support of poverty elimination, the UNDP undertook activities focused on: (i) production and dissemination of policy briefs and analytical reports (including NHDRs and MDGRs); (ii) evaluation of economic and food security policies of the implementation of the SNDP; (iii) institutionalization of MDG-based planning by government ministries; (v) introduction of the Human Development Course in tertiary institutions in Zambia. The extent to which these analytics are applied in human development efforts can be clearly mirrored in the design of the SNDP and subsequent National Budget Address and analysis of commitments therein in the Yellow Books

Under this programme component, UNDP supports work on food security, employment, The MTE team concludes that UNDP is not at present implementing substantive programmes that will have an impact to match the scale and depth of the poverty challenge in Zambia. This is judged to be a short coming of programme design.

UNDP has also provided support to Government on monitoring the implementation of the MDGs. UNDP disseminated widely strategic diagnostics (ZHDR & MDG Reports 2011) which enhanced local dialogue & planning for accelerating MDGs' attainment. UNDP provided technical & financial support to the localization of the MDG project in Zambia. This resulted in increased income levels and diversification in sources of livelihood among the targeted beneficiaries, reducing food insecurity. However, due to its small scope this project had limited community impact.

Climate change and Natural Resources:

The project on sustainable land management by small farmers is promoting adaptive measures to climate change. The measures include Soil and Water Conservation, improved seed varieties and agronomic practices and the construction of small dams. Between 2011 and 2012 a total of 681 small scale farmers in pilot areas adopted at least one adaptation measure. These small scale farmers have seen a steady increase in maize yields averaging 2.5 tonnes maize from 1.5 tonnes per hectare. The provision of drought-resistant crops also contributed to the higher yields. Farmers have also been trained in alternative livelihood activities (such as bee keeping, fish farming and mushroom growing) to diversify sources of income.

UNDP is contributing to NRM through support to increase the bio-geographic representation of the Protected Area system through a reclassification exercise, and to increase the management effectiveness of the PAs by establishing public-private-community partnerships. The MTE noted several project achievements, among them 600,000 hectares brought under effective forest management, helping to slow down rate of deforestation and forest degradation the establishment of community-based approaches and structures for natural resources management (Community Natural Management Boards) were meant also to provide alternative livelihood opportunities for local people

Governance and gender:

UNDP's governance work is focused on increasing knowledge and ability to claim human rights for effective participation in development and democratic processes and reducing legal and cultural barriers to gender equality

Review of the Constitution

An important contribution of UNDP is its support to the constitutional review process, especially the technical and financial support to the Technical Committee on drafting the National Constitution.

Domestication of conventions and protocols

The UNDP has supported Zambia towards the domestication of international conventions and protocols to which the country has assented. The UNDP supported a national convention of women which was attended by about 1000 women from all provinces of Zambia. The convention resulted in a strategy for protecting the progressive provisions in the draft constitution in response to the CEDAW gap analysis (mapping) and the CEDAW Committee. The current draft Constitution contains elements of the CEDAW which, if adopted, will represent a progressive step.

Access to rights

UNDP has supported JCTR to conduct baseline studies on access to social and economic rights in six (6) districts. The findings of the survey will feed into community mobilization and capacity building activities to enable

communities to claim their rights. The UNDP has also contributed to increased debate in the media and other public forums on human rights. Partly as a consequence of this focus, national policies and resource allocations show increased attention to the core sectors that support Human Rights. (For example, the 2013 National Budget showed increased allocations to health and education sectors; as another example, Government increased the minimum wage by about 100%.

Electoral cycle support

UNDP supported an organizational and institutional assessment of the Electoral Commission of Zambia. A digital voter registration system was developed as a result of which registered voters increased to 86% of eligible voters in 2011 compared to 70% in (2006). Of special significance was the recorded increase of in first time voters (1,272,000). The new system also enabled the Electoral Commission of Zambia to announce the results of the 2011 presidential election within 50 hours as compared to 96 hours in the previous elections. Conflict resolution procedures which were instituted for the 2011 elections contributed to a reduction of election violence and to an orderly transition of power.

Parliamentary reform

UNDP support to parliamentary reform has contributed to the institutionalization of constituency offices by the National Assembly. Additional support has centred on building constituency office capacities; strengthening parliamentary committees; working with the women's parliamentary caucus; reviewing of impact of training for MPs.

Human Rights Commission

After government, the UNDP is the HRCZ's biggest source of funding. UNDP has provided logistical support and human resources to increase the capacity of the HRCZ. The International Coordinating Committee rates the HRCZ as an A institution for it is seen as an example of how a national human rights commission should operate. The rating is due mainly to the annual Human Rights Report that is funded by UNDP. Positive changes have been registered over the years as reflected in increased collaboration between HRCZ and its partners (especially with Prisons). Government positively responded to the Human Rights Commission report on the state of prisons by improving the availability of clean water.

. Gender

The JGSP had a central role in enabling the Gender in Development Division, and later the Ministry of Gender and Child Development, to carry out its mandate. The JGSP was particularly successful in delivering results on legislative reviews, capacity development for gender mainstreaming, sector policy reviews, and in helping to raise public awareness of gender as an issue of national priority. The enactment in 2011 of the Anti-Gender-Based Violence law was the culmination of the efforts of the whole gender equality advocacy community, but it was the JGSP that facilitated the studies and the mapping of the CEDAW and commissioned the drafting of the Bill. The sensitization of parliamentarians to gender-based violence and its consequences helped the passage of the Act. Other significant results include the review of the Education Act that entrenches equality of access to education and prohibits early marriages; and the review of the Minimum Wages and Conditions of Service that aims to regularize the informal sector, which is dominated by women. Other results include simplification of the Gender Based Violence Act the development of the strategy for engendering the public services, the national Gender M&E Framework , national gender perception survey and National Gender Status Report

Programme management and Resources

Cumulative programme budget for core resources as at June 2013 stands at: USD 13,608,939, while cumulative programme expenditure for core resources as at June 2013 stands at: USD 10,045,731. This puts budget execution rate for core resources stands at 90%. Similarly, for non-core resources, cumulative budget as at June 2013 stands at: USD 196 million, while cumulative expenditure for non-core as at June 2013 stands at: USD 141 million. This puts budget execution rate for non-core stands at over 90%

The non-core resources mobilized exceeds by many orders of magnitude the target of the CPAP set at USD 15 million over five years. For core budgeted resources, Environment is highest, followed by HIV and AIDS, Governance and Gender. For non-core, the Global Fund constitutes more than 90% of the resources

However, there are evident signs of weaknesses. They include the heavy reliance on Global Funds and GEF resources. GRZ expects to revert to PR status in the near future and this has implications for non-core resources for UNDP. It could also have consequences because of the significant contribution of the Global Fund to the Country Office extra-budgetary resources, once the PR status reverts to GRZ, with potential implications for staffing and other operations.

No non-core funds have so far been mobilized for UNDP's work on Poverty and MDGs possibly reflecting the perception of donors that UNDP is not their preferred organization for channelling resources for poverty reduction efforts.

A narrowing of the donor base as several donors wind down support as Zambia graduates to a Low Middle Income Country. However, reduced budget support may also present an opportunity for UNDP if donors shift to more selective targeting of assistance

Implementation Challenges

The MTE found several implementation challenges. Examples include: slowed implementation caused by ministerial realignments; and delays in disbursement of funds, especially under RDP (Request for Direct Payment).

There was a degree of project scatter, leading to high transaction costs. The MTE noted a mismatch between some results and indicators, for example the output on increased access to gainful employment requires attention.

The overall coordination by GRZ could be stronger. The MTE noted an emerging phenomenon of reduced ODA due to LMIC status of Zambia.

Recommendations

In reviewing and assessing programme performance the MTE Team has made recommendations under each programme component. A more general set of recommendations directed at UNDP, GRZ, UNDP/GRZ and Implementing Partners are presented below:

UNDP

1. Invest more resources to obtain accurate data to track and report on progress. This will strengthen the credibility of the reporting process.
2. Increase the number of programmes implemented through the JP approach – this has potential to scale up impact, enhance UNDP's contribution to DAO and offer prospects for increased resources.

3. Delivery of UNDP programmes has been excellent and this not a critical issue going forward. There is now a need to focus on the quality of the delivery. For example strategies have to be found to reduce the concentration of activities on 3rd and 4th QTR which often means limited space and time to meaningfully implement them. The Parliamentary training activities undertaken in 2012 were delayed due to late disbursement of funds. UNDP needs to take into account the Parliament schedule to ensure that activities are done in good time and not cramped into the final quarters just to ensure that funds are used.
4. UNDP pilots: a number of interesting pilot activities are being supported by UNDP with the expectation of scaling up or informing new policy orientations. From our assessment, these pilots are having a good local impact but there appears to be no movement in the scaling up or in the generation of new policies. A number of these pilots are also being undertaken by other actors which raises the question of the added value of UNDP.
5. Careful reflection is needed to assess the opportunities for upscaling to achieve national level impact or to yield lessons for policy before venturing into such work. A particular case in point is the climate adaptation work.
6. Sustainability and exit strategies: projects in the future should be more carefully designed with these two issues in mind, otherwise projects risk becoming an end in themselves
7. There is a need for UNDP to look more closely at underlying causes for project success and sustainability: this requires a better understanding of the communities/context of UNDP's work. For example, there is a marked difference between the climate adaptation project being implemented in Kazungula district, Southern Province (with a good rate of success and high prospects for sustainability) and the food security project implemented in Petauke district where both success and sustainability are much less.
8. While UNDP in general has been responsive to national priorities as broadly reflected in the SNDP and other policy frameworks, this can be further strengthened by seeking to align interventions more closely to the short and medium-terms GRZ priorities and introducing greater joint planning
9. UNDP should strengthen its reporting by, for example, sharing with donors, and other partners audit reports, etc. The recent recruitment of a communication specialist to replace one that left in 2012 is a positive step.
10. UNDP should work with other UN agencies to jointly develop a strategy on how it will work with and engage Civil Society Organizations
11. UNDP's record on resource mobilization has been excellent. However, this performance is mainly due to two sources – Global Fund and GEF. With a possible narrowing of the donor base in Zambia on account of its LMIC status, and possible loss of Global Fund PR role, UNDP will be seriously challenged in the near future and appropriate strategies are needed to counter this trend. UNDP should review the implications and the potential impact of the transfer of Global Fund PR role to GRZ in the near future, on its extra-budgetary resources, and devise appropriate strategies to mitigate potential adverse effects on staffing and operations.

Government

12. GRZ should make significant efforts in the prioritization of its development agenda, and to strengthen its capacity to coordinate the different interventions - the current process of the revision of the SNDP provides a good opportunity to accomplish this.
13. Strengthen internal arrangements of MoF for the coordination and management of the CPAP and its programmes

GRZ/UNDP

14. Strengthen working relationship with the national execution body: the coordination/consultation structures envisaged under the CPAP have not functioned well and need to be reviewed – the national steering committee
15. Refocus the CPAP on five outcomes – the outcome on food security (2.1) can be integrated into climate change, natural resource management and environment work. With respect to outcome 2.2, it should either be dropped given that the indicators and targets bear little relevance to the outcome or be completely reformulated and more importantly to design and implement it as a Joint Programme on youth and women employment
16. The need for GRZ/UNDP to seriously look at how to support the decentralization agenda of government - the emphasis on jobs and rural development will require improved capacities at local level to own and coordinate the development agenda
17. Zambia shares borders with eight countries, and these borders are often very porous with movement of people, goods, services and natural resources. This reality should be reflected in UNDP/GRZ programmes – there are several ecosystems that straddle borders and regional projects for the integrated management of trans-boundary resources will be the critical. The least that can be done is to ensure/support a system for sharing experiences, information and harmonizing standards and approaches with neighboring countries.

Implementing Partners

18. IPs work to strengthen internal management (financial and programmatic) systems and ensure close alignment of external support with institutional priorities to ensure relevance, impact and long-term sustainability

Way Forward

The evaluation comes at a critical juncture in the operational environment, which requires the UNDP Zambia Country Office to interrogate its future emphasis and directions, taking into account the following factors:

- The Government of The Republic of Zambia (GRZ) is engaged in an overall review of the Sixth National Development Plan (SNDP) 2011-2015 with a view to aligning it with the strategic concerns of the new government which was elected in 2011;
- The constitutional review process;
- At the Global Corporate level, a new UNDP Strategic Plan (2014-2017) has been elaborated and an assessment is necessary to determine if and how the new policy shifts can be reflected in UNDP Zambia's work.

These trends have a direct and immediate impact on UNDP Zambia's work. In particular, the revised SNDP and Constitutional Review Process are key to crafting the way forward and will necessarily define the work of the UN as a whole in governance, human development and poverty reduction.

The emerging focus of the revised SNDP, the constitutional review process in Zambia and the UNDP corporate strategy 2014-2017 show a strong degree of convergence around issues of poverty, inclusive growth and employment, environment, natural resources and climate change, and democratic governance, including gender and women's empowerment. Locally the UNCT has also identified two signature issues: (i) poverty and inequality; and (ii) Young people.

Based on the above analysis and conclusions emerging from review of UNDP programme implementation in the context of the 2011-2015 CPAP, the MTE recommends that going forward, UNDP focus on three inter-related programme areas:

- 1. *Poverty eradication, local development and promotion of gainful employment***
- 2. *Environment, natural resources management and climate change adaptation and mitigation***
- 3. *Governance and gender***

The justification for the choice of these three areas is largely based on the orientations of the UNDP corporate strategy, the revised SNDP and assessment of the weaknesses and strengths of UNDP Zambia. As noted earlier, a major weakness of the current programme is the lack of substantive interventions by UNDP on poverty and yet all analysis points to this as one of the biggest challenges that the country faces. UNDP's work on governance is clearly recognized and here it is a matter of consolidation.

With respect to environment, natural resources management and climate change, these are key priorities for Zambia's future growth and open up possibilities of substantial funding. Due to its cross cutting nature and available resources from various climate change financing windows this area of work would require a coordinated approach to support national access and sequencing.

The question of how to handle HIV AND AIDS work is crucial and needs further reflection. However, the MTE is of the view that focus on this area of work has been important but has crowded out attention from poverty and inequality issues in UNDP's work. Given a likely change in the future on the epidemic, it is recommended a gradual and responsible phase out strategy be developed by UNDP.

The MTE is of the view that a greater internal capacity within UNDP Zambia for policy dialogue, advocacy, and technical support is necessary as Zambia increasingly develops its capacity for self-financed development and progressively transitions out of aid. Such a role for UNDP will have implications for staff quality and operational procedures in order to create the space and time to engage. The role of the SPU becomes critical in terms of the support for data collection and analysis to programmes.

List of Acronyms

ADR:	Assessment of Development Results
AMICAALL:	Alliance of Majors' Initiative for Community Action on AIDS at the Local Level
APRM:	Africa Peer Review Mechanism
ARV:	Anti Retro Viral Treatment
AWPs:	Annual Work Plans
CAADP:	Comprehensive Africa Agriculture Development Programme
CC:	Climate Change
CD:	Capacity Development
CEDAW:	Convention on the Elimination of All Forms of Discrimination Against Women
CIDA:	Canadian International Development Agency
CP:	Cooperating Partners
CPAP:	Country Programme Action Plan
CPD:	Country Programme Document
CPG:	Cooperating Partners Group
CRC:	Convention on the Rights of the Child
CRIDF:	Climate Resilient Infrastructure Development Facility
CSOs:	Civil Society organizations
DACO:	District Agricultural Coordination Office
DAO:	Delivering As One
DFID:	Department for International Development (UK)
DHS:	Demographic and Health Survey
DoL:	Division of Labor
DRR:	Deputy Resident Representative
DSLGL:	Director - Social, Legal and Governance
ECZ:	Electoral Commission of Zambia
EIAs:	Environmental Impact Assessments
EMD:	Economic Management Department/Ministry of Finance
EMPs:	Environment Management Plans
EMTCT:	Ending Mother to Child Transmission of HIV
ESCR:	Economic Social Cultural Rights
EU:	European Union
FAO:	Food and Agricultural Organization
FDGs:	Focus Group Discussions
FODEP:	Foundation for Democratic Process
GBV:	Gender Based Violence
GEF:	Global Environment Facility
GFATM:	Global Fund for AIDS TB and Malaria
GRZ:	Government of the Republic of Zambia
HACT:	Harmonized Cash Transfer
HQ:	Headquarters
HRCZ:	Human Rights Commission of Zambia
ICC:	International Coordinating Committee
ICCPR:	International Covenant on Civil and Political Rights
ICT:	Information Communication Technology
IPs:	Implementing Partners
IT:	Information Technology
JASZ:	Joint Assistance Strategy Zambia
JCTR:	Jesuit Center for Theological Reflections
JFA:	Joint Financing Arrangement

JGSP:	Joint Gender Support Programme
JP:	Joint Programming
LAZ-NLACW:	Law Association of Zambia - National Legal Aid Clinic for Women
LCDFII:	Least Developed Country Fund
LMIC:	Lower Middle Income Country
M&E:	Monitoring and Evaluation
MAL:	Ministry of Agriculture and Lands
MBT:	Micro Bankers' Trust
MCDMCH:	Ministry of Community Development Mother and Child Health
MCDSS:	Ministry of Community Development and Social Services
MDGRs:	Millennium Development Goals Report
MDGs:	Millennium Development Goals
MDRTB:	Multi Drug Resistant TB
MOF:	Ministry of Finance
MoH:	Ministry of Health
MOJ:	Ministry of Justice
MSMEs:	Micro Small and Medium Enterprises
MTE:	Midterm Evaluation
MTEFF:	Medium Term Expenditure Framework
MTENR:	Ministry of Lands, Natural Resources and Environmental Protection
NAC:	National Aids Council
NAMAs:	Nationally Appropriate Mitigation Action
NASF:	National AIDS Strategic Framework
NGOCC:	Non-Governmental Organisations Coordinating Committee
NGOs:	Non-Governmental Organizations
NHDRs:	National Human Development Reports
NIM:	National implementation Modality
NOP:	National Operational Plan
NPPI:	National Policy and Programme Implementation
NZP+:	Network of Zambian People Living with HIV and AIDS
ODA:	Official Development Assistance
PACO:	Provincial Agricultural Coordination Office
PAFs:	Program Acceleration Fund
PAs:	Protected Areas
PEPFA:	President's Emergency Plan for AIDS Relief
PLHIV:	People Living with HIV
PMCT:	Prevention of Mother Child Transmission
PMU:	Programme Management Unit
PPP:	Public Private Partnerships
PR:	Principal Recipient (Global Fund)
QCPR:	Quadrennial Comprehensive Policy Review
QTR:	Quarter
R&D:	Research and Development
RCO:	Resident Coordinator's Office
RDA:	Road Development Authority
RDP:	Request for Direct Payment
ROAR:	Results Oriented Annual Report
SAO:	Senior Agricultural Officer
SAT:	Southern African AIDS Trust
SC:	Steering Committee
SEA:	Strategic Environmental Assessments

SNDP:	Sixth National Development Plan
SPU:	Strategy and Policy Unit (UNDP)
TA:	Technical Assistance
TB:	Tuberculosis
ToRs:	Terms of Reference
UN:	United Nations
UNCT:	United Nations Country Team
UNDAF:	United Nations Development Assistance Framework
UNDP:	United Nations Development Programme
UNFCCC:	United Nations Framework Convention on Climate Change
UNFPA:	United Nations Population Fund
UNGASS:	United Nations General Assembly Special Session
UNICEF:	United Nations Children's Fund
UNJT:	United Nations Joint Team
UNREDD:	UN Reducing Emissions from Deforestation and forest Degradation
UPR:	Universal Periodic Review
USAID:	United States Agency for International Development
USD:	United States Dollar
VCT:	Voluntary Counselling and Testing
WFP:	World Food Programme
WHO:	World Health Organization
ZAWA:	Zambia Wildlife Authority
ZAWJ:	Zambia Association of women Judges
ZEMA:	Zambia Environment Management Agency
ZHDR:	Zambia Human Development Report
ZLDC:	Zambia Law Development Commission
ZRA:	Zambia Revenue Authority

TABLE OF CONTENTS

Acknowledgement	2
Executive Summary	3
List of Acronyms	11
PART I: INTRODUCTION	16
1. Introduction	16
1.1 Background	16
1.2 Evaluation Process & Methodology	17
1.3 National Development Context & UNDP's Response	18
PART II EVALUATION FINDINGS	23
2. Assessment of Programme Design	23
3. Assessment of Programme Performance	24
3.1 HIV AND AIDS Response	24
3.2 Poverty & MDGs	33
3.3 Environment & Climate Change	38
3.4 Governance & Gender	44
4. Resources & Partnerships	57
4.1 Resources	57
4.2 Partnerships	58
5. Programme Implementation & Management	62
5.1 Programme Management	62
5.2 Monitoring and Evaluation	63
5.3 Programme Implementation Challenges	63

6. UNDP and Delivering As One	64
PART III: CONCLUSIONS, RECOMMENDATIONS & WAY FORWARD	67
7. Conclusions	67
8. Recommendations	68
9. Way Forward	71

References

Annexes

Annex 1: Terms of Reference

Annex 2: Evaluation Methodological Framework

Annex 3: List of Persons Met

Annex 4: Workplan-Field Data Collection and Interview Programme

Annex 5: Resources and Budget execution

Annex 6a: UNDP Zambia, Country Office Projects

Annex 6b: UNDP Zambia, Country Office Projects

Annex 7: Income/Budget/Expenditure 2011-2013

PART I: INTRODUCTION

1. Introduction

1.1 Background

The United Nations Development Programme (UNDP) is implementing a Five (5) year country programme covering the period 2011-2015 in support of the Government of the Republic of Zambia (GRZ) Sixth National Development Plan (SNDP) and in line with the United Nations Development Assistance Framework (UNDAF). The detail of UNDP's support is outlined in the Country Programme Document (CPD) approved by the UNDP Executive Board in 2010 and the Country Programme Action Plan (CPAP) 2011-2015 signed between UNDP and GRZ on 2nd February 2011.

As a corporate requirement of UNDP, implementation of the country programme has reached its mid-point and in accordance with the evaluation plan of the Country Office, a mid-term evaluation was commissioned by UNDP Zambia Country Office in collaboration with the Ministry of Finance to assess the impact of its development assistance as outlined in the CPD and Country Programme Action Plan (CPAP) and delivered through the annual work plans (AWPs).

This Report presents the results of the midterm evaluation which was conducted by a team of independent consultants from early June to end August 2013 – see ToRs in annex 1.

The main purpose of the Mid-Term Evaluation (MTE) is to assess progress towards the achievement of results of the 2011-2015 GRZ – UNDP Country Programme and Country Programme Action Plan, to evaluate its strategic contribution to national development results on Poverty Reduction and HIV, Climate Change and Natural Resources and Governance and Gender in Zambia, and to identify possible mid-course adjustments to programme design and implementation strategy.

The specific objectives of the mid-term evaluation are as follows:

- **Objective 1: Programmatic progress:** Evaluate the progress towards achievement of the eight CPAP outcomes as identified in the CPD and Country Programme Action Plan for 2011-2015;
- **Objective 2: Strategic relevance:** Evaluate UNDP's strategic contribution and relevance of its Country programme to the SNDP and national development goals in the selected areas of support and identify possible mid-course adjustments to programme design and implementation strategy.
- **Objective 3: Assessment of Partnerships:** Review and assess the programme's partnership with the government, civil society and private sector, Cooperating Partners in programme implementation;
- **Objective 4: Lessons learnt and recommendations:** Identify lessons learned, constraints, challenges and opportunities and determine what mid-course adjustments are required in programme focus, results framework, implementation and funding strategy, management arrangements, and in monitoring and evaluation to achieve the stated/revised programme results;

The report is organized in three parts as follows: PART I: deals with the introduction and presents the background, methodology used in the programme evaluation, the national development context and

UNDP's response. In PART II, the report then discusses the progress in attaining the programme outcomes by 2015, reviews the partnerships, resources and programme management. UNDP's role in the UN "Delivering As One" is also discussed. Finally, PART III presents the conclusions and recommendations of the MTE.

1.2 Evaluation Process & Methodology

A detailed presentation of the evaluation process and methodology can be found in the Inception Report prepared by the consultants, and only the main elements are provided here.

The Approach, process and methods followed by the consultants is summarized as follows:

- Review of existing documents, progress/annual reports, CPAP component assessments/reviews/evaluations against planned outputs and outcomes. Baselines, Reviews, Reports and other relevant documents were reviewed for identification of the successes and challenges, as well as capacity and data gaps.
- A methodological framework is presented in Annex 2
- Tools/questionnaires/ checklists for data collection were developed by the consultants.
- Key partner and key informant interviews were a major part of the methodology which is detailed in the Inception Report.
- The Analysis and the final product consisted of the following steps:
 - ✓ Collection of information on programme interventions to assess programme performance, quality and impact
 - ✓ Analysis of the development context and the strengths and the opportunities and the challenges, including UNDP's internal and external environment
 - ✓ Assessment of financial performance and analysis of budget execution, including adequacy of resources against targets
 - ✓ Qualitative and quantitative analysis and triangulation of data
 - ✓ Draft Report of Evaluation
 - ✓ Stakeholders meeting on evaluation findings
 - ✓ Submission of final document

Focused Group Discussion guide/checklist development

Focused Group Discussions (FGDs) were carried out with beneficiaries, stakeholders, key staff and partner institutions with a view to capturing their views, perceptions and ideas regarding programme quality, performance, impact and future direction. This was used to complement information derived from both the literature review and individual key informant interviews.

The data collection methods specified above were underpinned by critical/effective review, reflection and analysis of the programme in totality and thus enabling the consultants to arrive at objective and concrete findings, conclusions and recommendations for use by the UNDP and its partners.

Evaluation Process

The consultants conducted the MTE in a fully participatory manner involving four phases outlined below – see Annex 3 for the programme of the evaluation.

- *Inception Phase:* a detailed methodology and work plan was elaborated within six days of the start of consultancy. Tools for assessments and data collection (e.g. checklist for interviews, FGDs, etc) were developed. The MTE team also reviewed key background documents during this phase. A detailed list of stakeholders to meet and a schedule for the field visit was agreed with UNDP management.
- *Field data collection phase:* data and information was collected on progress in implementation of the eight outcomes of the country programme – see annex 4 for list of persons met
- *Data analysis and report writing:* the key output during this phase was the draft report of the MTE presenting key findings and recommendations. Inputs from UNDP management team were integrated into the draft report prior to distribution to other stakeholders
- *Validation & finalization phase:* A stakeholders' validation workshop was organized by UNDP and MoF and a report highlighting the issues raised has been distributed.

1.3 National Development Context & UNDP's Response

Zambia launched its Sixth National Development Plan (SNDP 2011-2015) in February 2011 which prioritizes infrastructure and human capital as the core elements to address growth and human development. The Plan identifies low labour productivity and concentration of growth in highly capital-intensive and urban-based sectors like mining, construction and services as having adversely affected poverty reduction strategies in Zambia. Further, the SNDP identifies poor infrastructure, low quality of human capital, high costs of financial services, inefficiencies in public expenditure management and limited access to land as the constraining factors to more broad based economic growth, reducing inequality and poverty reduction. Other factors that constrain Zambia's sustainable development process are: high rates of deforestation, impact of climate change, HIV and AIDS, high level of gender inequality and weak institutional capacities, particularly at sub national levels.

The 2011-2015 Country Programme along with its Country Programme Action Plan (CPAP), define the areas of cooperation between the Government of the Republic of Zambia (GRZ) and UNDP for the five-year period from 2011 to 2015. This programme is expected to contribute to: the reduction in poverty, income and gender inequalities; increased capacity of national institutions and non-state actors for rights based service delivery and inclusive development; effective management of natural resources and reducing the impact of climate change in key sectors such as agriculture, and foster sustainable development, among others. Through these areas of support, the programme is expected to contribute to the achievement of MDGs in the short to medium term and Zambia becoming a Middle Income Country by 2030.

The development of the 2011-2015 Country Programme was informed by an Assessment of Development Results (ADR) for the period from 2002 to 2009 which also covered the period for the 2007-2010 Country Programme. The four main lessons from the ADR taken into account during the development of the 2011-2015 Country Programme were as follows:

1. The need to reduce the number and spread of projects to ensure greater impact and alignment with the Sixth National Development Plan.
2. Greater analysis of the human development impact of development policies and programmes.
3. More targeted integration of gender equality issues and women's empowerment.
4. More effective partnering and collaboration within the UN system to enable a move towards Delivering as One.

UNDP Zambia also designed the Country Programme 2011-2015 in line with the Government's Sixth National Development Plan (SNDP) and the United Nations Development Assistance Framework (UNDAF) 2011-2015. It is also aligned with the UNDP Strategic Plan (2008- - 2013) The 2011-2015 Country Programme has been designed to respond to the above lessons through interventions under the following three pillars: (i) Poverty Reduction and HIV&AIDS; (ii) Climate change and natural resources; and (iii) Governance and gender.

The Country Programme seeks to support the implementation of the SNDP focusing on the cross cutting areas through the following three interrelated strategic objectives:

- i) Enhanced Government capacities at central and local levels for fostering accelerated and inclusive economic growth, diversification of the economy and improved governance of HIV& AIDS responses;
- ii) Increased national capacities at central and local levels for natural resources management, response to climate change, environment protection and disaster risk reduction; and
- iii) Increased national capacities for fulfillment of Human Rights, Gender Equity and effective service delivery.

The outcomes of the 2011-2015 Country Programme and Country Programme Action Plan are as follows:

9. Government and its partners develop and implement social protection policies and strategies to mitigate the impact of HIV
10. Government and partners coordinates a harmonized and sustainable multi-sectoral HIV response by 2015
11. Government and partners enable vulnerable populations to be food secure by 2015.
12. Targeted groups have increased access to gainful and decent employment by 2015
13. Government promotes adaptation and provides mitigation measures to protect livelihoods from climate change
14. Government implements policies and legal frameworks for sustainable community based natural resources management by 2015

15. Individuals with increased knowledge and ability to claim human rights for effective participation in development and democratic processes by 2015
16. Reduced legal and cultural barriers to gender equality by 2015

The related outputs presented in Table 1 below.

The United Nations in Zambia is a “self-starter” Delivering as One” country. UNDP is part of the effort to deliver common results. Under the recently approved UNDAF, UNDP is involved in the UNDAF outcome areas related to HIV&AIDS, Climate Change and Environment, and Governance and Gender. In addition, UNDP’s assistance is part of the Cooperating Partner Joint Assistance Strategy for Zambia II (JASZ 2011-2015) which outlines a division of labour (DoL) in line with the principles of the Paris Declaration and in alignment with division of labour agreed between the Government and Cooperating partners. The UN is a signatory to the JASZ and UNDP has been leading Cooperating Partner groups on Governance (with DFID and EU); Gender (with DFID and Ireland); and Environment (with Finland and the World Bank) under the above DoL.

Table 1: Overview of Outcomes and Outputs of UNDP Zambia CPAP (2011-2015) – Linkages to National Priorities/SNDP and the UNDAF

UNDP Programme Component	Expected Outcomes	Expected Outputs
SNDP Sector Priorities: Attain significant reductions in maternal and child mortality rates and halt/reverse the spread of HIV in line with health-related Millennium Development Goals		
Intended UNDAF Outcome # 1: UNDAF Outcome 1: New HIV infections are reduced by 50% by 2015, while scaling up treatment, care and support		
Responding to HIV and AIDS	1.3 Government and its partners develop and implement social protection policies and strategies to mitigate the impact of HIV&AIDS among vulnerable groups by 2015.	1.3.2: Local Authorities develop and implement social protection policies and strategies to mitigate the impact of HIV&AIDS among vulnerable groups (CPD Output 1.2.3)
	1.4 Government and partners coordinates a harmonized and sustainable multi-sectoral HIV response by 2015	1.4.1 National AIDS Council (NAC) and partners effectively and efficiently coordinate an engendered multi-sectoral response to HIV&AIDS according to the “three ones” principle at all levels
		1.4.2 NAC develops a sustainable financing mechanism for a national multi-sectoral response to HIV&AIDS
		1.4.3 Networks of PLHIV, NGOs and other marginalized groups with skilled staff advance human rights during the implementation of the National AIDS Strategic Framework (NASF)
National Priority: To protect and promote the rights of all vulnerable Zambians by development of a sustainable agricultural sector, promoting employability for youth and vulnerable populations, and ensuring that incapacitated and low capacity households have sufficient knowledge and capacity to demand and utilize basic services, are protected from the impacts of risks, shocks and shifting vulnerabilities		
Intended UNDAF Outcome # 2: Targeted populations in rural and urban areas attain sustainable livelihoods by 2015		
Poverty & MDGs	2.1. Government and partners enable vulnerable populations to be food secure by 2015.	2.1.1 Increased access to financial services and agricultural inputs to Small and medium-scale farmers and other vulnerable groups
	2.2 Targeted groups have increased access to gainful and decent employment by 2015	2.2.3 Government with skilled staff effectively designing, implementing &evaluating pro-poor and gender-responsive employment and labour policies and programmes in accordance with global, regional agreements or protocols or frameworks
National Priority: Guide the utilization of environmental goods and services to promote sustainable development in Zambia during the Sixth National Development Plan period and beyond while ensuring sustainable use of natural resources for the benefit of present and future generations.		
UNDAF outcome #4: People’s vulnerability reduced from the risk of climate change, natural and man-made disasters and environmental degradation by 2015		
Environment and climate change	4.2. Government promotes adaptation and provides mitigation measures to protect livelihoods from climate change	4.2.1 Increased adoption of sustainable land management and agriculture practices to adapt to risks of climate change among small-scale farmers
		4.2.2 Revised agricultural and land policies and legal frameworks

		<i>reviewed to take into account climate change</i>
		<i>4.2.3 Improved mobilization and management of non-ODA funds from carbon financing and pro-poor ecosystem service markets</i>
	4.3 Government implements policies and legal frameworks for sustainable community based natural resources management by 2015	<i>4.3.1 Functional mechanisms to ratify/ domesticate conventions on biodiversity conservation, combating desertification, climate change, ozone depleting substances, water (wetland) and Convention on International Trade in Endangered Species</i>
		<i>4.3.2 Scaled-up gender-sensitive livelihood partnerships by MTENR and Ministry of Community Development and Social Services (MCDSS) to promote community participation in natural resource management</i>
		<i>4.3.3 Increased environment awareness at national and local levels</i>
National Priority: Increased adherence to good governance principles and to achieve full participation of women and men in the development process at all levels in order to ensure sustainable development and attainment of equality and equity between sexes		
Intended UNDAF Outcome # 5: Targeted government institutions provide human rights-based policies, frameworks and services by 2015		
Governance & Gender	5.1 Individuals with increased knowledge and ability to claim human rights for effective participation in development and democratic processes by 2015	<i>5.1.1 Targeted government institutions with skilled staff, resources and systems to domesticate, monitor progress and report on regional and international human rights treaties, conventions, and protocols</i>
		<i>5.1.2 Institutions responsible for democratic governance with skilled staff, resources and systems to increase participation in democratic processes and accountability.</i>
		<i>5.1.3 Governance institutions with skills systematically and independently monitor and oversee accountability and participation in development processes.</i>
		<i>5.1.4 Civil society organizations and media educate communities, advocate, monitor and report on human rights</i>
	5.2 Reduced legal and cultural barriers to gender equality by 2015	<i>5.2.1 Targeted government institutions with skilled staff, resources, and systems to mainstream gender into legal frameworks, policies, plans and programmes</i>
		<i>5.2.2 Statutory and customary law-makers, enforcement agencies and adjudicators with skills, resources and mechanisms to implement Convention on the Elimination of Discrimination against Women provisions</i>

PART II: EVALUATION FINDINGS

2 Assessment of Programme Design

An overview of the main features of the UNDP CPAP 2011-2015 is presented in the Box below

Box 1: The UNDP Zambia 2011-2015 CPAP at a Glance

- Linked to Three (3) National Priorities/SNDP
- Linked to the UNDAF Outcomes: HIV and AIDS; reduced vulnerability from risk of climate change, natural and man-made disasters and environmental degradation; Sustainable Livelihoods; and Human Rights
- Has Three (3) Programme Components: Poverty and HIV AND AIDS, MDGs; Environment and Climate Change; and Governance and Gender
- Eight (8) Outcomes
- Eighteen (18) Outputs
- Forty-eight (48) Indicators, Baselines and Targets
- Delivered through several projects – see Annex 5a and 5b for list of projects at the time of the MTE

A review of the CPAP results matrix showed that most of the outcomes, outputs, indicators, baselines and targets are well formulated. In addition they respond to national priorities identified in the SNDP and are drawn directly from the UNDAF.

However, some weaknesses were noted as follows:

1. The number of outcomes, outputs and indicators are judged by the MTE to be many given the volume of resources.
2. Furthermore, the large number of indicators calls for significant monitoring and evaluation resources. Furthermore, for seven of the indicators (14.5%) measures for progress are either not available or unknown.
3. In some cases, the correlation between the outcomes, outputs and indicators, including what UNDP is reporting against these indicators is weak, and there appears to be a mismatch between them. For example, the outcome 2.2 (*Targeted groups have increased access to gainful and decent employment by 2015*) has as indicators: % households living in extreme poverty; number of policy brief and analytical reports (including NHDRs and MDGRs) produced and disseminated; number of economic and food security policies evaluated during implementation of the SNDP; % government ministries that have adopted MDG-based planning; number of tertiary institutions that have adopted the Human Development Course). It is a stretch to relate these indicators to the UNDAF outcome of increasing access to gainful employment. The MTE strongly recommends that

this CP output be either dropped or more relevant indicators be formulated. A similar recommendation was made in the UNDP ROAR by UNDP HQ. If the latter option is chosen, the MTE recommends that consideration be given to focusing the indicators on youth and women employment issues – both policy and programmatic responses - as have done other UNDP country offices (e.g. Gambia)

4. Two of the outcomes: 1.3 (*Government and its partners develop and implement social protection policies and strategies to mitigate the impact of HIV&AIDS among vulnerable groups by 2015*) and 2.2 (*Targeted groups have increased access to gainful and decent employment by 2015*) do not at first glance fall within UNDP's areas of comparative advantage.¹

The fact that the programme is being delivered through many projects introduces a certain degree of scatter and fragmentation. Further programme consolidation is therefore needed. However, the MTE takes note of the progress made relative to the 2007-2010 programme cycle. For example, steps have been taken in consolidating the support to governance institutions under a single umbrella programme. Similarly, steps can be taken to streamline GEF interventions under a limited number of framework programmes in order to reduce the scatter experienced from such support. Indeed the MTE was informed that funding from GEF under the 5th cycle (GEFV covering three focal areas (biodiversity conservation, climate change and land degradation) are currently being programmed under one programme: *Strengthening Management Effectiveness and Generating Multiple Environmental Benefits within and around the Greater Kafue National Park in Zambia*. This process of consolidation and streamlining is commended but the process should be accelerated.

These issues are further dealt with in the recommendation section of the report

3 Evaluation of Programme Performance

This section presents evaluation findings with respect to progress towards achievement of CPAP outcomes. It covers an assessment of progress for each of the eight outcomes and outputs, and the associated indicators and targets. Findings on financial performance and programme management are presented in the sections that follow.

3.1 HIV and AIDS Response

UNDP has maintained an active engagement on HIV and AIDS and this has continued into the current programme cycle. The UNDP Country Programme 2011-2015 is addressing two outcomes under the HIV and AIDS programme component, namely:

3.1.1 Outcome 1.4 Government and partners coordinates a harmonized and sustainable multi-sectoral HIV response by 2015; and

¹ UNDP dropped out of this result in 2012 as it came clear this mis-match was there and also given the associated projects closed e.g. sustainable livelihoods for PLHIV with support from SNV and Petauke pilot on accelerating localized attainment of MDGs. A decision was made to thin-out or consolidate UNDP's contribution under 1.4 and cover such under mainstreaming capacity building and response localization with Local Authorities- Poverty and HIV and AIDS

3.1.2 Outcome1.3: Government and its partners develop and implement social protection policies and strategies to mitigate the impact of HIV&AIDS among vulnerable groups by 2015.

The activities under these outcomes are being implemented through the UNDP contribution to the UN Joint Team (UNJT) support for the National AIDS Strategic Framework (ZMB 10-00077336 *project on Strengthening Response Coordination and Management*) and the UNDP Global Fund Unit.

The UNJT programme of joint support on HIV and AIDS 2011-2015 has 17 donors and partners and is aimed at enhancing effectiveness and harmonization of support to the multi-sectoral AIDS response. UNDP is the second largest contributor based on indicative budgets (UNDP USD 8 million; UNICEF USD 17 million) and is the Technical Convener for the outcome relating to the management and coordination of the response under the UNJT.

The four outputs under these two outcomes are:

1. (1.3.2): Local Authorities develop and implement social protection policies and strategies to mitigate the impact of HIV and AIDS among vulnerable groups
2. (1.4.1) National AIDS Council (NAC) and partners effectively and efficiently coordinate a engendered multi-sectoral response to HIV and AIDS according to the “three ones” principle at all levels
3. (1.4.2) NAC develops a sustainable financing mechanism for a national multi-sectoral response to HIV and AIDS
4. (1.4.3) Networks of PLHIV, NGOs and other marginalized groups with skilled staff advance human rights during the implementation of the National AIDS Strategic Framework (NASF)

Context

According to reports², HIV incidence in adults aged 15-49 years in Zambia has halved since 1990, and is estimated to be stabilizing at a high level of 1.6% in 2009 (2% in women, 1.2% in men) . 82,681 adults got newly infected with HIV - 59% in Women, 41% in Men. Although HIV incidence has stabilized, the absolute number of new HIV infections follows an increasing trend due to the expanding population. In children and adolescents aged 0-14 years, the number of new infections has declined dramatically since peaking at 21,189 in 1996 and reduced to 9,196 in 2009.

The main mode of HIV transmission in Zambia is through unprotected sex. An estimated 90% of adult infections are related to unprotected heterosexual activity either with a casual partner, a long-standing partner, or a concurrent sexual partner³. While 10% is transmitted through mother to child.

²United Nations Programme of Joint Support for the National AIDS Strategic Framework

³Republic of Zambia, NAC, UNAIDS, World Bank (2009), *Zambia HIV Prevention Response and Modes of Transmission Analysis*, Lusaka, Zambia

Since the early 2000s, GRZ put up a robust programme of making available ARVs (treatment programme) as well as a programme to help orphans (household/community level). These have resulted in reduction of incidence and infection rates and have contributed to mitigating the impact of the epidemic. Progress has been achieved as indicated in the 2007 DHS which reported an almost 100% awareness of the epidemic and its vectors. Voluntary male circumcision is on the rise and PMCT is also up, including option B+ which puts mothers on treatment for life. Further evidence of improvement is expected to be documented by the ongoing DHS 2013 - incidence has been reduced to 14% (2007) and current estimates put it at 12.7%. These figures show that the MDG target of national prevalence rate of less than 16% has already been met. However, at the sub-national level the picture is mixed; some provinces/districts are recording new infections while in others it is dropping.

The UN Joint Team on HIV and AIDS (UNJT) developed its second UN Programme of Joint Support on HIV and AIDS 2011-2015 which aimed at increasing effectiveness and harmonization of its support to the national multi-sectoral HIV and AIDS response. The programme is premised on UN reform towards 'Delivering as One' and the UN Development Assistance Framework, and is also fully aligned with the National AIDS Strategic Framework 2011-2015 (NASF) and its Operational plan, the key results of which are also prioritized in the Sixth National Development Plan (SNDP) 2011-2015.

Although the UN Programme of Joint Support on AIDS is designed to provide meaningful inputs to all four pillars of the NASF, it is focused mostly on **strengthening prevention, coordination and management of the national HIV response** as **two** areas that are critical to the long-term control of the HIV epidemic and for which the UN system is well placed to make a significant contribution.

The UNJT support has assigned leadership to different UN agencies as follows:

- (i) Prevention: UNFPA
- (ii) Mitigation: UNICEF
- (iii) Coordination: UNDP
- (iv) Treatment: WHO

Effectiveness

UNDP has registered much progress in its support to the national AIDS response through the UNJT programme. UNDP support is closely aligned with the National Strategic Framework (NASF) 2011-2015 which provides the guiding framework, and which is turn aligned with the SNDP.

UNDP support focuses on capacity investments to enhance the national health systems, and to improve delivery. In this connection, UNDP supported the development of a capacity development plan, based on a diagnostic of the capacity assets and gaps in the Ministry of Health, and the plan is expected to lay the foundation for the MoH to eventually resume its role as PR under the Global Fund. UNDP Zambia is one of the first countries to agree on such a plan and ensure the necessary funding from the Global Fund to implement the plan.

As Convener for outcome 1.4 on coordination and management, UNDP has provided support for the coordination and management of the response in five key strategic result areas: (a) enabling policy and legal environment; (b) strengthened national response coordination, including adherence to '3 Ones principles'; (c) capacity development for sustained response (alternative financing, mainstreaming gender, human rights); (d) strengthened strategic information generation and harmonized M&E and research; and (e) decentralization of the national multi-sectoral response.

With UNDP assistance, the National AIDS Council was re-aligned with the NASF 2011-2015 and its strategic plan. UNDP support for coordination of HIV and AIDS at a central level through the National AIDS council is now complemented by its support to the local level. With UNDP support through the UNJT, NAC has progressively devolved response coordination and management to local authorities at district level. A decentralization strategy has been approved and an electronic mapping system has been developed to provide local level data on stakeholders involved in the response as well as tracking progress towards set targets.

UNDP support for the re-alignment of NAC to the new NASF and revision of coordination framework and accompanying toolkit has reportedly enhanced visibility, ownership and leadership of Government on coordinating the response. Progress was also realized with respect to exploring prospects for innovative domestic financing of the response, the rollout of Gender Scorecard to Provinces and capacity building on various aspects of response coordination institutionalization within Local Authorities. With UNDP assistance integration of HIV and gender in EIAs and harmonization of Local Government Workplace Policy is being undertaken.

UNDP assistance to the NAC coordination function includes review of NAC structure and policy work. UNDP has contributed in terms of policy review, as well as in providing staffing and implementation. In terms of policy, UNDP supported policy gap analysis which will assist NAC engage Cabinet on policy discussion. This review of gaps in policy and other laws/legislation has been submitted to MoH and await Cabinet Office for follow up. Gaps identified included key populations at risk (MSM, Sex workers, drug injecting users, etc). The legal framework stigmatizes/criminalizes these populations which create barriers to access public health services. Efforts to stop and reverse the spread of HIV and AIDS will not be very successful if these sub populations at high risks remain underserved. As major legislative change is unlikely, the policy review may identify other avenues to enable these groups to access different public health related Services.

Development of an over-arching workplace policy for the public sector has been completed and approved by Cabinet in September/October 2012, but the policy needs to be launched by MoH.

With UNDP support, measures to support the institutionalization of response coordination and management into Local Authorities away from ad hoc Decentralized Task Teams/Forces have been implemented, and a revised Coordination Framework and Toolkit adopted. A Civil Society Coordination Framework has been developed and the accompanying capacity minimum standards.

With respect to the decentralization of the response, tools for leadership have been developed and 74 District AAIDS Coordination Units funded through the UNDP/UNV initially, and are now supported by the

Global Fund – these provide inputs into web-based mapping and monitoring tool. Plans are that after December 2014 GRZ will cover the salaries of such staff through local government subventions. GRZ has adopted devolution as the way to decentralization – NAC is following this pattern and approach. However, the planning units at district level are weak (most have only one staff), and placement of HIV and AIDS staff in the district planning office will contribute to strengthening them

There has been substantive and active engagement with key partners, including CSOs in exploration of innovative domestic financing of the response. Dialogue has been initiated with a view to the establishment of an AIDS Fund. This dialogue has resulted in the MOH pressing ahead on the concept of a broader Health Fund and SHI.

As part of domestic resource mobilization efforts, steps have been taken with respect to integration of HIV and gender into EIAs; selected districts (Mpulungu, Mwinilunga and Mbala) have started benefitting from enhanced PPP and resources/systems earmarked and embedded within the EIA/EMPs and Capital Project contracts especially Roads, Hydro Power Stations and upcoming infrastructure projects. In pursuit of this objective, partnerships have been nurtured among ZEMA, NAC, RDA and CSOs at national and sub-national levels. A study was also done on development of the HIV and AIDS Fund and initial steps were taken to establish it but this has now been superseded by the decision to create a larger Health Fund which will subsume the HIV and AIDS fund

There is good collaboration between NAC and UNDP: NAC is involved in the planning and budgeting and provides inputs to UNDP. Similarly, UNDP and partners are invited to NAC planning processes which has improved work planning. NAC work plan implementation was significantly delayed for 2013 (approval/finalization only two weeks ago) due, according to NAC management, to the insistence of donors in the JFA that GRZ pays salaries at NAC – but as an indication of its commitment UNDP continued to provide resources for activities.

Collaboration between UNDP and GRZ in this area has also been characterized as excellent by the Ministry of Health, and the support is seen to conform to the sector plan (as opposed to some other assistance which is sometimes done in parallel and not fully integrated into GRZ structures).

UNDP role has also been as a partner in donor coordination and advocacy. UNDP also participates in the Cooperating Partners Group (CPG) on HIV and AIDS which it uses as a platform to advocate/advise GRZ on emerging issues/lessons/strategies. UNDP participates in joint annual planning, reviewing, and strategic planning by UNCT (reporting Peer review).

With respect to social protection policies, the progress achieved is reflected by the following: development of national reference documents for action on impact mitigation – TA for engendering the NASF 2011-2015, NOP 2011-2013 and M&E Plan 2011-2015 through accessing the Universal Access Now Initiative and PAFs; rollout of capacity building of partners (national and local) on mainstreaming HIV and gender in Capital Projects (EIA, revitalizing community response sub-granting mechanism, Coordination toolkit,

revised coordination framework, Local Authorities especially Cities focus for high impact interventions - AMICAALL); strategic information generation at sub-national levels through the e-mapping system and TA for development of the Gender Score Card to sub-national levels; Partnerships development and stakeholders engagement in the Stigma Index studies – focused on NZP+ and modelling the integration of PLHIV in District Business Associations or Services (under localization of MDGs).

Public Sector Partners (notably NAC, MOF, Local Government and all Line Ministries) at all levels plus Civil Society Organizations have been the main recipients of UNDP support targeting a well-coordinated response to HIV at all levels. The UNGASS Reports 2012 acknowledges that UNDP, within the Joint UN Programme, has played a central role in developing capacity and knowledge of HIV&AIDS countrywide as evidenced by the following: (a) All Provinces and Districts now have AIDS Task Forces and AIDS Coordinators interacting with the local communities; (b) Local Councils and the private sector have been drawn into the response; (c) Workplace AIDS Policies and Programmes are increasingly being developed and people trained; (d) Stigma is reported to have been reduced; (e) Current evidence suggests that HIV&AIDS is the only sector with a rights based and engendered Strategic Plan (2011-2015), multi-year planning through the National Operational Plan (2011-2015) and one National M&E Framework as well as a functional online coordination, stakeholders mapping and reporting system to the lowest administrative unit of ward level (www.zambianacmisonline.org).

There is some progress towards gender mainstreaming. The Ministry of Finance has standardized HIV and Gender codes for all sectors to ensure harmonized resource tracking. The Yellow Book for 2012 shows that all sectors had budget line for HIV Workplace Programming included. To rekindle focus on disproportionate impact of the epidemic on women and girls, a dedicated Prevention Convention for Women was held to increase knowledge on programming gaps and high impact interventions as well as enhance engagement of male in positive response, including tracking GBV, defilements and couple counselling as well as involvement in EMTCT and care provision. Besides, NAC and its partners (ZEMA and other sectors) have had their capacity built in ‘simultaneous’ mainstreaming of prioritized CCI (HIV, gender and human rights) in the EIA and SEA processes. These skills were replicated by other critical sectors.

Several challenges were however, faced with respect to UNDP support to the implementation of the national response, and these include: (i) legal barriers that make sex work, MSM, drug injecting users and other groups illegal and which prevents them from accessing treatment - UNDP strategy in this regard is to undertake high level advocacy backed by studies to foster change; (ii) the HIV and AIDS policy review -the need for which is triggered by changes in the treatment protocol and structures- has not progressed; (iii) the risk to financing of the national response arising from perception that Zambia has attained the related MDG target and hence triggering declining financial support and a potential consequence of a rise in new infections due to resurgence of risky behaviour, and masking of sub-national prevalence realities especially in urban and major cities of above national prevalence. Incidence is also still above target of less than 0.5 % per annum especially among young cohorts. Declining in external funding may also be linked to the new status of Zambia as a LMIC (Low Middle Income Country); (iv) Human resource gaps for implementation of programmes in the national health system; (vi) Re-alignment of NAC and division of responsibility with Ministry of

Community Development, Mother and Child Health (MCDMCD). (vii) Challenge of parallel funding by various UN agencies under the UNJT support to the national response.

Global Fund (UNDP)

On account of financial irregularities within MoH in 2009, UNDP has taken on the role of temporary principal recipient (PR) of the MOH Global Fund grants. In addition to being responsible for grant implementation, financial and programmatic management of the grant financed activities, UNDP is supporting the MOH to strengthen its capacity in line with the Capacity Development and Transition (CD) Plan and the broader MOH Governance Action Plan. The CD plan is aimed at transitioning the Global Fund Principal Recipient Role from UNDP to MOH. The capacity strengthening is focusing on four key functional areas of financial management; monitoring and evaluation; programme management; and procurement and supply chain management. These are the areas required by MOH to assume the role of Principal Recipient. Key milestones in the transition are the setting up of a Programme Management Unit (PMU) within MoH which will gradually enable the Ministry to regain its PR status – there is a joint steering committee and joint communication strategy; a study tour has been undertaken to Rwanda. A budget of USD 3 million has been set aside and it is expected that PR status would revert to MoH from June 2014.

UNDP has been PR for 2-3 years (since 2009) and so far six Grants have been signed and four Grants are being managed. The portfolio managed by the Global Fund Unit totals USD 193 million, which consists of two HIV and AIDS Grants which end in August 2013 and one Grant each for Malaria and TB. The second phase for HIV and AIDS will be from August 2013 to 2016. Up to now, USD 150 million has been disbursed and the absorption capacity has been good. Out of the USD 193 million, USD 141 million has been allocated to HIV and AIDS, most of which goes to support treatment. The average performance of the UNDP Global Fund Unit has been above 90% and 105% for the top ten indicators, giving the UNDP GF unit an A2 performance

The Global Fund support to national HIV and AIDS response has significantly contributed to scaling up of high impact interventions, notably HTC, PMTCT, VMMC, STI and ART programmes. During 2012 more than 2 million people opted for HIV counselling and testing. The number of pregnant women receiving ART for PMTCT increased from 54,597 in 2010 to 84,351 in 2012⁴. There has generally been regular supply of ARV and OI drugs in the country with the support of the Global Fund, GRZ, USG and other partners. The Global Fund has supported over 70% of the ARVs needed for adults, as well as a significant proportion of paediatric ARVs. The Global Fund, along with other partners such as USAID, is an important supplier of paediatric ARVs in the country.

As the Principal Recipient of the Global Fund - the main source of supply for antiretroviral drugs (ARVs) in the country- the UNDP reinforced the synergy and partnerships between the MoH and partners to respond

⁴ Annual Report on the Performance of Global Fund Supported HIV, TB and Malaria Programmes, 2012

to the increasing demand for ARVs. This was through high level policy dialogue and advice with the leadership of the country.

Efficiency

In general, the implementation of the HIV and AIDS response by UNDP has been largely smooth and delivery of programme resources has been very good. The Global Fund Unit continues to deliver significant resources in a timely and efficient manner.

Several other challenges have also impacted on the efficiency with which UNDP's HIV and AIDS support programmes are being implemented. These include: (i) according to the MOH there have been some delays in procurement by the Global Fund forcing GRZ to step in to cover the gaps⁵; (ii) administration costs paid to UNDP are regarded as high by MoH although the cost recovery standard has been set by the UNDP Executive Board; (iii) Roles and Responsibilities: given the on-going realignment of portfolios within GRZ, the picture is still not entirely clear, although (NAC is tasked with overall coordination of the national response, while MoH and MCDMCH: implementation of the response).

Although there is coordination on policy issues and the GF Unit participates with the HIV and AIDS Unit, the linkages need to be further strengthened. The need for separate management structures is however understandable as the Global Fund PMU has a fiduciary role and 7% of Global Fund expenditures is paid to UNDP for its services. UNDP's added value is to provide fiduciary guarantee, ensure an uninterrupted supply of drugs and test kits and capacity building of MoH/PMU to prepare it to resume its PR role in the near future.

Sustainability

Establishing a sustainable home-grown funding mechanism for the HIV and AIDS national response remains an urgent national priority and its absence is a key risk to ensuring sustainability. This challenge is heightened by the magnitude of the resources needed and the over-dependence on external donor support which is showing signs of waning. The Joint Financing Arrangement for the national response initially had eight (8) donors but at present only a few are participating. Two donors have pulled out of the JFA (DFID and Irish Aid) and during 2013 Danida is expected to do so as well – up to now, 50% of NAC support is provided by donors.

The USA through PEPFAR provides USD 300 million to Zambia annually to support implementation of NASF, and the contribution is regarded as critical and without it the national response will be seriously compromised. This funding goes through government, local and international partners, as well as local institutions. Direct support to NAC amounts to \$100,000 which goes towards the coordination of the response. In 2014, a new round of US government support is expected

There is clear realization within GRZ/MoH that it will be a challenging task to fully (100%) fund the response from national sources; currently purchase of drugs eats up 25% of the MoH budget. In an effort to tackle

⁵ The Permanent Secretary Ministry of Health in his meeting with MTE Consultants

the problem of domestic financing in the medium and longer term, a Social Health Insurance Policy has been approved by Cabinet and a draft Bill is before Parliament. The proposed AIDS Fund is expected to be a sub-component or window of the Health Fund. The Health Fund will initially cover civil servants and will then be gradually extended to other citizens.

Another aspect of sustainability is the need for decentralized capacity for the national response. Greater ownership at local level will enable districts to assume greater responsibility for the response. The DACAs are now funded by Global fund and will be integrated into the district councils and GRZ plans to take over the salaries of DACAs and standardizing incentive structures, which provides space and the basis for sustainability. The degree to which these plans are successful will determine the fate of the decentralization of the national response.

Other positive moves by government include increased budget commitment which has steadily improved (\$ 10 million which is up from the USD 5 million contributed in 2010), creation of 600 new health posts, Human resources – health system strengthening; salaries of doctors and nurses. It is commendable that GRZ has increased the share of the national budget allocated to health from 8% to 11%, which is just short of the Abuja target of 15%. However, disbursement of resources provided by GRZ remains a challenge.

Strategic Relevance

HIV and AIDS will likely continue to pose a societal and developmental challenge for Zambia and will remain relevant in the foreseeable future. However, many stakeholders expressed the view that beyond 2015, it is unlikely to be an epidemic of the magnitude experienced during the 1990s, and that it would most likely revert to a normal public health concern; other public health concerns such as non-communicable diseases associated with lifestyle changes (coronary diseases, hypertension, diabetes, etc) will likely rise to the fore.

The global shift from specific focus on HIV and AIDS epidemic to health system strengthening and addressing communicable diseases will require that beyond 2015, the focus of the national response should be targeted and selective of HIV and AIDS interventions likely to yield the results needed, rather than the current broad multi-sectoral approach – zero in on what works. In this case strategic actions would need to include: (i) selective targeting of cities and provinces and Most At Risk Populations with high incidence and strengthening local capacities to address the challenge and prevent disease from spreading, (ii) mainstreaming of the response through focusing on key sectors (MoJ, Local government, MoF, MCDMCH, Infrastructure); and (iii) development of information systems. It is fortunate that the midterm review of the NASF is underway and this can impact on future direction of UNDP and UN system re-positioning on HIV and AIDS in Zambia.

The results of the review will have implications for the UN in general and UNDP in particular, as they position themselves for future work in this area. In the short-term, UNDP activities in relation the CPAP outcome on social protection to mitigate the impact of HIV and AIDS among vulnerable groups do not appear to be sufficiently impactful and the MTE recommends a serious review to determine whether or not to discontinue work on this outcome.

At a more general level, the MTE recommends a careful stock-taking and review of UNDP's future engagement in HIV and AIDS work in Zambia, taking into account a combination of factors: (i) resumption of PR role by GRZ; (ii) HIV and AIDS ceasing to be an epidemic; (iii) institutional re-alignment with NAC assuming a less prominent role as the national HIV and AIDS Response is mainstreamed into the national healthcare system; shifting greater responsibility to the MCDMCH which has other responsibilities may have some potential downsides according some stakeholders. The stocking must factor the risk of resurgence of the epidemic as evidence from other countries such as Uganda shows that new HIV cases have been on a spiral increase after donors and Government withdrew their focus and support to HIV and AIDS sector.

For Government the overriding strategic concern is how to build a sustainable domestic financing mechanism for HIV and AIDS and for the health of its citizens in general, and this clearly should be a priority for UNDP support going forward. Furthermore, Zambia has a mix of high urban/localized epidemics and also hidden populations due to legal/socio-cultural barriers; these might be definitive in shaping future of the epidemic (from generalized to concentrated/localized epidemics).

3.2 Poverty and MDGs

Under this programme component, UNDP supports work on food security, employment and on MDG and human development-related issues. The MTE team concludes that UNDP is not at present implementing substantive programmes that will have an impact to match the scale and depth of the poverty challenge in Zambia. This is judged to be a shortcoming. However, the MTE takes note of the fact that a new programme focused on inequality is being developed which might improve UNDP's contribution to poverty reduction efforts in Zambia.

Further, as shown later, the bulk of the work under poverty is funded from core resources, which although can be interpreted as a sign of institutional commitment, however also could indicate an inability to attract complementary resources to address poverty reduction. This situation is reflected by the poor rating given to UNDP's work on poverty from the 2012 Partners Survey and this merits serious internal reflection within UNDP on how to redress this perception.

3.2.1 Outcome 2.1. Government and partners enable vulnerable populations to be food secure by 2015

Context

The Country Programme Action Plan (CPAP) in Zambia was designed to contribute to reducing poverty, eradicating hunger, and achieving the Millennium Development goals by 2015 thus helping Zambia to attain a middle-income country status by 2030. The government that took office in 2011, one year after the start of the Country Programme has embarked on a review of the SNDP and its implementation framework. Given the persistently high levels of poverty, and based on the party's election manifesto, the revised SNDP is likely to maintain the focus on inclusive economic growth and on food security. Therefore, by

targeting food security for vulnerable populations, CPAP Outcome 2.1 was closely aligned to the goals of the SNDP. The expected outputs of the programme were

1. (2.1.1) Mechanisms and capacities of Government and partner institutions upgraded for increased access to appropriate financial products and agricultural inputs for small- and medium-scale farmers and other vulnerable groups
2. (2.1.2) Systems and skills developed in Government institutions to design, implement and evaluate pro-poor and gender responsive food security policies and programmes in accordance with global and regional agreements/protocols/frameworks
3. (2.1.3) Procedures and capacities upgraded among Government and partners to enable small- and medium-scale farmers, rural producers to have more diversified opportunities for market linkages.

Design

These outputs represent a shift away from the previous ground level interventions on the broad theme of poverty and localized attainment of MDGs. The UNDP outputs now relate to interventions at higher levels addressing issues of central and local government capacity and enhancing systems for helping the poor to be food secure. Previous external reviews and evaluations of UNDP work in this area support such a change for the reason that ground level work required significantly more resources than the UNDP could marshal in order to produce sizeable and measurable impacts.

Effectiveness

A precursor to the current intervention in poverty and food security is a 2010 pilot project implemented in Petauke, Eastern Province. The Project aimed to accelerate the attainment of the millennium Development Goals by working with community-based organisations, and local and community structures. The Project drew lessons from previous UNDP-supported work in other districts targeting low-capacity rural households.

At the time of this review, in 2013, the Petauke pilot project was yet to finalize a baseline study for its performance indicators. This delay casts doubt on the value of the baseline since the activities had wound up. The project had continued into 2012 having dropped the supply of farming inputs and support to income generating activities that were the core of the pilot project

The focus has been on availing loans to small-scale business by the Microbankers' Trust. At the end of 2012, out of the targeted 2000 enterprises in Petauke, (1422) 71% had obtained loans for expansion. In 2010, MBT received USD 100,000 for disbursements and operations, all of it from UNDP through the GRZ/MCDMCH. The UNDP contributed by attaching a UNV who trained MBT field staff on scheme management. MBT reported that it had been unable to reach out to the more outlying areas, Ukwimi and Mwanjawanthu, because of the long distances and the associated operational costs.

We note the significant narrowing of the project subsequent to the Petauke pilot project by its focus on one aspect of Output 2.1.3, which is the micro-lending. On this output little work was yet evident on institutional

strengthening of systems and structures for increased access to agricultural inputs. Indications from the government suggest a fundamental review of approach which would have implications for the design of interventions by cooperating partners.

Sustainability

Sustained action on eliminating extreme forms of poverty requires government to regularly review its systems and structures for delivering pro-poor programmes, including interventions for food security. Outputs 2.1.2 and 2.2.3 aim at such systemic improvements and should therefore receive more attention in the remainder of the CPAP. In doing so, close attention needs to be paid to translating the broad outputs into well targeted activities focusing on the MCDMCH and relevant departments in other ministries like those of agriculture, forestry and fisheries. Such sustained action will require good district-level coordination. Therefore the programme should aim to strengthen the planning functions in districts and to facilitate, wherever possible, multi-sector modes of local programme delivery. The pilot activities, first in Chibombo and Mazabuka, and then in Petauke, demonstrated the fundamental soundness of holistic local approaches which draw together the different dimensions of poverty, including the environment, food security, incomes, water and energy. An enhanced implementation role for the district administrations would improve the sustainability of the programmes. In particular, such programmes would benefit from government decentralization and devolution of responsibility allowing decisions for the application of resources to be made close to the locus of the development challenges.

Strategic Relevance

The programme component contributes to the UNDAF Outcome of sustainable livelihoods for targeted vulnerable populations. However, the external evaluation of the Petauke Pilot project questioned the UNDP's partnership role in local communities, especially the volume of resources that the UNDP can bring to bear on the project. Given the wide scope of activities included in promoting food security for the poor, it would have been expected that the UNDP would leverage its position to marshal complementary resources from other development agencies. But this was not the case. According to the UNDP's 2012 Partners Survey, the effectiveness of the UNDP contribution to poverty eradication is rated poorly, with about 42% among all respondents giving favorable ratings. Among donors 44% gave favorable ratings. (In contrast the donors' rating of UNDP's contribution to democratic governance was 71%). In the current CPAP, the shift towards systemic higher level interventions, provided they are well defined, will better deploy the UNDP's strategic advantages. Direct support to the vulnerable is still required and the UNDP could be a catalyst for creating new partnerships between government, and funding sources and NGOs.

3.2.2 Outcome 2.2 Targeted groups have increased access to gainful and decent employment by 2015

Context

Under this UNDAF outcome of jobs and employment creation the aim is to promote gainful and decent employment and income generation through: developing an information base for the labour market and

private sector development; using market and business linkages to create employment and find viable income generating opportunities, especially with a focus on MSMEs; capacitating targeted groups to lead productive lives through accessing resources and support services, especially for women; and, promoting, adapting and implementing a rights based approach to employment. It is expected that the component will contribute to achieving the inclusive growth agenda under the SNDP

Under this outcome, the UNDP output is: skilled staff effectively designing, implementing and evaluating pro-poor and gender-responsive employment and labour policies and programmes in accordance with global, regional agreements or protocols or frameworks.

Design

As indicated under section 1 (assessment of programme design), the MTE has observed a mismatch between the outcome and the indicators under the UNDP CPAP and a revision will be necessary

Effectiveness

To implement this outcome UNDP has focused on: (i) production and dissemination of policy briefs and analytical reports (including NHDRs and MDGRs); (ii) evaluation of economic and food security policies of the implementation of the SNDP; (iii) institutionalization of MDG-based planning by government ministries; (v) introduction of the Human Development Course in tertiary institutions in Zambia.

Notwithstanding the weakness in design identified above, progress was made in all these planned activities as UNDP supported targeted policy briefs and analytical reports (including NHDRs and MDGRs). The extent to which these analytics are applied in human development efforts can be clearly mirrored in the design of the SNDP and subsequent National Budget Address and analysis of commitments therein in the Yellow Books.

UNDP has also provided support to Government on monitoring the implementation of the MDGs at the country level, which has included the MDG target on gainful and decent employment. UNDP promoted innovative approaches to local development, especially public-civil society partnership towards accelerating MDGs. UNDP disseminated widely strategic diagnostics (ZHDR & MDG Reports 2011) which enhanced local dialogue & planning for accelerating MDGs' attainment. The 2013 national budget responds to some recommendations of the reports. UNDP provided technical & financial support to the localization of the MDG project in Zambia. This resulted in increased income levels and diversification in sources of livelihood among the targeted beneficiaries, reducing food insecurity and increasing the capacity of beneficiaries to respond to poverty. UNDP participated effectively in the UNCT MDG campaign and post-2015 national consultations.

In designing the activities under localization of the MDGs, UNDP worked closely with local stakeholders such as Ministry of Community Development Mother and Child health to ensure that there is local ownership of the program. Management of these activities at the implementation level was spearheaded by the Ministry. Furthermore, capacity building in the form of training - programme management of

implementing teams; community based training on credit support - were core components of the program design. An extensive internal and stakeholder review based on the findings of the project evaluation facilitated the Ministry's decision to use the best practice findings in their community development strategy.

To promote the human development paradigm, UNDP has been working with Universities/ other tertiary institutions to develop and/or roll out the Human Development Course. A consultative and consensus building workshop was held for Universities and Colleges to review a draft curriculum from Copperbelt University for an unprecedented BSc degree in HD within the Dag Hammarskjöld institute. The consultation resulted in sharing of good practices in delivering the course within academic disciplines from University of Zambia and Mulungushi University, as pioneers of this initiative. The Open University adopted the standardized course curriculum developed by the three public universities and the UNDP. These initiatives are undertaken to build the skills capacity of graduates to take and /or create employment post-graduation. UNDP also partnered with the Ministry of Finance to develop a Zambia Technical Facility Project which will support catalytic interventions and help both government and UNDP to address emerging developmental issues, particularly in pro-poor policies and programmes during the implementation of the 2011-2015 Country Programme

Efficiency

Through the development of the Zambia Technical Facility Project, UNDP aimed to provide the Ministry of Finance with capacity to address emerging issues through making available a pool of resources that will fund proposals for addressing emerging issues during the 2011-2015 programme cycle. It is expected that the facility will assist in supporting the implementation of the Ministry's first broad-based 2012 Strategic Plan towards planning, policy development, M&E, and budgeting. However, implementation of the facility has not progressed satisfactorily.

Sustainability

The work on MDG-based planning, and the institutionalization of HD within Zambian tertiary institutions all show evidence of sustainability given the keen interests demonstrated by the institutions concerned. However, production of the Human Development Reports has relied almost exclusively on consultants who retain custody of key data used in the analysis. UNDP (SPU) needs to strengthen its internal capacity to generate and manage data used in the production and dissemination of what is clearly a flagship publication. To this end, the UNDP in 2012 created and filled the position of national economist. In addition to strengthening internal capacity, work in this area could benefit from collaboration with national research/academic/policy institutions in the production and dissemination of the Human Development Report and other publications in order to enhance long-term sustainability and improve national capacity.

Strategic Relevance

The issue of employment is of key strategic relevance to Zambia given the jobless growth realized over the past few years, the persistent poverty in spite of positive economic growth and the rising inequality. The revision of the SNDP by the new government places employment as one of its key priorities.

Given the above the MTE strongly recommends that the anticipated actions under this outcome be reformulated to enable UNDP to more directly contribute to the employment creation agenda of government. This should advisedly be done within the context of a joint approach with other UN agencies working within the framework of the DAO.

3.3 Environment and Climate Change

3.3.1 Outcome 4.2. Government promotes adaptation and provides mitigation measures to protect livelihoods from climate change

Context

Climate change, environment and disaster risk reduction and response have been widely recognized as important factors of sustainable development. Integration of these issues into national development is critical for the achievement of the targets set in the SNDP, MDGs and Zambia's Vision 2030. Addressing these issues will also contribute toward the poverty reduction by strengthening capacity development for community-private partnerships in natural resources management.

Key environmental concerns in Zambia include: wildlife depletion, water/air pollution, deforestation, land degradation and climate change (not reflected in earlier environmental policy framework). Some of the key challenges include: institutional capacity problems; the 2011 Environment Management Act (which places a huge expectation on government institutions – each institution is supposed to develop an environment management strategy which few or none have done so far); as well as the inadequate capacity of ZEMA to carry out Environment Impact Assessment on development and investment activities as required under the EMA

Climate variability is an issue with both floods and drought simultaneously affecting some areas. The rainy season is getting shorter beginning late and stopping earlier. There is also high intensity, run-off and flash flooding as well as higher temperatures. Climate change impacts on agriculture, power generation, infrastructure damage, and habitat/ecosystem health

Under the UNDP CPAP, three outputs are foreseen under this outcome

- 1. 4.2.1.** Increased adoption of sustainable land management and agriculture practices to adapt to risks of climate change among small-scale farmers;
- 2. 4.2.2** Revised agricultural, land and forestry policies and legal frameworks reviewed to take into account climate change;
- 3. 4.2.3** Improved mobilization and management of non-ODA funds from carbon financing and pro-poor ecosystem service markets.

Design

As stated in the CPAP 2011-2015 document, *“given the close relationship between environment, natural resources management and climate change on one hand, and to maximize the impact as well as reducing*

transaction costs, on the other, there will be one initiative/programme to respond to the issues in an integrated manner: “climate change response and environmental assets management”. In reality however, the environment and climate change portfolio is being implemented as several separate projects, rather than the framework programme foreseen under the CPAP; part of the problem lies with the GEF requirement for separate projects.

Effectiveness

With respect to the output, *“Increased adoption of sustainable land management and agriculture practices to adapt to risks of climate change among small-scale farmers”*, the Adaptation to Climate Change Project targets small farmers (Agricultural Zones I and II). The measures include soil and water conservation, improved varieties and agronomic practices and small dams. The project concept is sound, and it can potentially have a good impact and enable households to recover from impacts of climate-induced shocks. The project has brought together several stakeholders (Forestry, Meteorology) to address the problem. The local communities benefiting from the project previously met their household needs through selling of charcoal, but with the surplus production made possible by the project, households are now less dependent on sale of charcoal which is having a positive environmental impact and on deforestation.

So far a total of 681 small scale farmers in pilot areas have adopted at least one adaptation measure, 240, in 2011 and 441 in 2012 through training and provision of seed money for investment. The annual target is 240 for four years making a total of 960. So far 70% has been achieved. The process of transformation of unsustainable agriculture to sustainable agriculture through adoption by small scale farmers is ongoing. There are 900,000 small scale farmers and currently 300,000 have adopted sustainable agriculture. When set against the national context, UNDP's direct contribution is insignificant, although the lessons learnt in the pilot areas are expected to feed into policies and to be scaled up in other regions. And within the targeted communities, field staff in the Ministry of Agriculture are able to reach other farmers with skills gain which is a contribution to the 300,000.

The small scale farmers who have adopted sustainable agriculture have a realized steady increase in maize yields averaging 2.5 tonnes per hectare maize under conservation farming and crop diversification. The provision of drought resistant crops contributed to high yields. Farmers have also been trained in various alternative livelihoods activities (such as bee keeping, fish farming and mushroom growing) to lessen dependency on crop production. Discussions with project beneficiaries put estimates of their average earnings to have increased from about \$150 to \$380 annually.

Farmers/beneficiaries interviewed during MTE field visits demonstrated a very clear understanding of project rationale and all have given high marks to the relevance of the project – clearly climate change has undermined/weakened their communities' ability to sustain their livelihoods. Moreover, the community and beneficiary selection procedures have been sound and the project is being implemented through existing structures from national level to the community level. Diversification has been given a boost and training received can go beyond project – e.g. seed multiplication.

The project has provided a forum for MAL to align its strategy with the imperatives of Climate Change and adaptation and has contributed to building capacity of MAL. Furthermore, UNDP focus on gender issues

allows MAL to integrate the issue in their work, as there are many women farmers. The Project approach to using immediately available off-the-shelf technologies has fast-tracked implementation. This together with the strategy for locally scaling up has resulted in quick impact – several farmers who are not beneficiaries under the project are already going ahead to adopt the technologies without the incentives provided under the project. However, when viewed against the backdrop of national needs, these efforts are the proverbial drop in the bucket.

Some of the key outstanding concerns are the need to address the issue of water scarcity in the area as this is a major problem faced by the local populations – this is due to short rains and the fact that the ground water is saline. The funding allocated to dams in the project (USD 240,000) is too small. The MTE recommends re-alignment of project budget to take care of this concern and bringing in other partners (GRZ, CRIDF, etc). Other options such as rain water harvesting need to be considered.

Furthermore, the project should seek to address marketing, credit, storage, post-harvest processing for the product streams being generated by the project – processing, branding, packaging are key downstream activities that need attention. Project has introduced rice cultivation which has generated huge interest, but there is now a need for more organized support through dissemination of appropriate agronomic practices, etc. The project is targeting 8 districts at USD 3.9 million with a possible balance of USD 2 million – UNDP should consider no-cost extension to ensure that all activities are fully implemented.

With respect to the output “*Revised agricultural, land and forestry policies and legal frameworks reviewed to take into account climate change*”, UNDP provided technical support in the following areas: (i) an umbrella policy on climate change has been drafted waiting finalization Progress however slowed by changes in Ministry personnel; (ii) an issues paper developed for integrating climate change into Agriculture policy is being reviewed to take into account among other things climate change; and (iii) National Climate Change Response Strategy has been developed; (iv.) The Low Emission Development programme funded by EU being implemented to facilitate the development of NAMAs which will assist Zambia to access mitigation Funds and the Green Climate Fund; (v) Zambia has developed LCDFII and Early warning projects as means to accessing climate change funds. So far the agriculture policy is on track in terms of revision to include cc issues. For the land policy an initial step of land audit has commenced; (vi) Support has been provided to set up a National Coordination Mechanism for Climate Change (National Climate Change and Development Council). But for now, an Inter-Ministerial Climate Change Secretariat has been formed in the Ministry of Finance with seconded staff from various ministries; (vii) support has also been provided for Zambia’s forest policy review.

With respect to the output, “*Improved mobilization and management of non-ODA funds from carbon financing and pro-poor ecosystem service markets*”, the Low Emission Development programme funded by EU is being implemented to facilitate the development of NAMAs which will assist Zambia to access mitigation Funds and the Green Climate Fund. UNREDD strategy has also commenced; this will provide options for reducing deforestation in vulnerable sectors including agriculture. UN-REDD strategy is to reduce carbon emissions from land use change through deforestation; sustainable forest management. Currently it is in the strategy development phase (studies on Benefit sharing; emissions, M&E, stakeholder,

institutional, and economic valuation of forests). Under UN-REDD+, the following actions are envisaged/undertaken

- Legal preparedness for REDD – the approach here is to see how existing legislation can be made REDD compliant; there is a policy on Climate Change being developed
- Carbon Stock Assessment/Forest Inventory:
- Stakeholder Engagement: in natural resource management related issues. Zambia said to be unique among REDD countries in its efforts to decentralize and reach out to stakeholders, including looking at how to involve the private sector and options for financing.
- Land Cover Mapping: 1990, 2000, 2010 have been completed to estimate the rate of deforestation
- Economic Evaluation: to assess the opportunity costs of REDD+ for Zambia
- Studies on Benefit-sharing, financing and non-financial incentives

A new UN -DAO: Disaster Risk Reduction and Climate Change Project is under development which will address the issues of disaster through a joint UN approach.

Efficiency

Overall efficiency has been relatively good, but there have been challenges regarding the timely flow of funds from UNDP to the projects, and timely feedback to reports.

With regards to the Adaptation to Climate Change Project in Kazungula, there is long circuit of funds flow through MAL HQ to provincial level, prior to reaching districts and farmers. However, three districts whose financial management capacity was considered average, receive resources directly from UNDP through quarterly advances. Given the sensitivity to timing inherent in farming activities, UNDP and government should consider extending the same arrangement to Kazungula district.

Sustainability

There appears to be good grounds for sustainability of the Adaptation to Climate Change Project with most beneficiaries expressing confidence in their ability to continue without project support after only two seasons. A good strategy for scaling up locally is in place but there appears to be no strategy for nation-wide scaling up. The MTE recommends that towards project end, UNDP should organize a national forum of key stakeholders to address this question and strategies and action plan formulated.

Most of the inputs under the Adaptation to Climate Change Project should be readily provided by GRZ through the national budget. However, the share of agriculture in the national budget is a low 5.7% (below the CADDP target of 10%) and most of this is swallowed up by the purchase of inputs for maize which leaves little else for other needs. A strategic entry point for UNDP is to undertake advocacy work with other UN agencies to increase GRZ budget allocation to agriculture.

Overall REDD is highly complex process which involve “locking up” forests as carbon sinks for generations in return for financial compensation from the global community.

3.3.2 Outcome 4.3 Government implements policies and legal frameworks for sustainable community based natural resources management by 2015

Context

The outcome was aligned to the SNDP focus “to reverse deforestation, wildlife depletion, heritage sites degradation, and land degradation. Further, the sector will enhance collaboration among players in natural resources management in order to ensure sustainable exploitation of natural resources”.

To further this aim a Reclassification Project began before the current CPAP and was due to end in 2012/2013 after extensions of previous phases. Its aims are to increase the bio-geographic representation of the Protected Area system through a reclassification exercise, and to increase the management effectiveness of the PAs by establishing public-private-community partnerships. Three main protected area classifications apply to Zambia: National Parks that exclude human settlement; Game Management Areas that permit local community settlement and consumptive use; and Forest Reserves that exclude human settlement but permit consumptive use. Of the three only National Parks provide reasonable assurance of biodiversity conservation. Game Management Areas lack legal restrictions on conversion to agriculture or other land uses. Forest reserves had proved ineffective for ensuring biodiversity conservation.

The expected outputs of the programme component were:

1. (4.3.1) Mechanisms upgraded and functional to ratify/domesticate conventions on biodiversity conservation, combating desertification, climate change, ozone depletion substances, water and CITES
2. (4.3.2) Gender sensitive livelihood partnerships scaled up by MTENR and Ministry of Community Development and Social Services (MCDSS) to promote community participation in natural resource management.
3. (4.3.3) Plans and mechanisms established by MTENR to promote environmental awareness at national and local levels.
4. (4.3.4) Technical and operational capabilities developed in targeted Government institutions to introduce cleaner production practices and renewable energy alternatives

In a second programmatic intervention, UNDP partnered GEF in the project: “Partnership Interventions for the Implementation of the Strategic Action Programme for Lake Tanganyika”, beginning in 2008. Its aim was to combat environmental degradation in the lake basin caused by pollution, sedimentation, habitat destruction, overexploitation of natural resources, and the effects of climate change. The Strategic Action Programme had the specific objective to achieve sustainable management of the environmental resources of Lake Tanganyika. Apart from GRZ and the Lake Tanganyika Authority (LTA), the project partners

included the governments of Burundi, Democratic Republic of Congo and Tanzania, and several national and international partners and stakeholders. In addition to regional objectives, Zambia would benefit, first, through reduced sediment discharge from demonstration catchment management sites and, second, through the creation of new livelihood activities for local people, and improving their capacity to adapt to climate change.

Effectiveness

In November 2012, the final evaluation of the Reclassification Project highlighted several project achievements, among them 600,000 hectares were brought under effective forest management, helping to slow down rate of deforestation and forest degradation (Protected Area system at West Lunga)

The project promoted the establishment of community-based approaches and structures for natural resources management (Community Natural Management Boards) meant also to provide alternative livelihood opportunities for local people. At the three demonstration sites, only at Bangweulu had the partnership been established and was functional. At Chiawa up to the time of this evaluation, a trust agreement had not received the approval of ZAWA representing a delay of more than 3 years. Although the project reports give various explanations, including political changes and management turnover at ZAWA, the impression created is one of fundamental government reluctance to approve the trust agreement. At West Lunga, at the time of this evaluation, ZAWA had advertised for a partner to work with the local community. The failure to establish management structures at two of the three sites at the end of the project reduces the demonstrative effect of the sites and brings into question the acceptability of the models especially to the state institutions, but also to the various local players, including traditional leaders. Of special significance is the slow progress on the policy revision (and legal frameworks) that would formally provide for the establishment of community partnerships for natural resource management.

In the Lake Tanganyika Integrated Management Project, UNDP provided technical assistance to 540 households towards the adoption of sustainable use of natural resources and sustainable agricultural systems around Lake Tanganyika. The adoption by small-scale farmers of better land use practices in agriculture and forestry resulted in the rehabilitation of about 13,500 ha of land around Lake Tanganyika. Furthermore, at least 50 ha of woodlots were established and an additional 200 ha of the land around the lake was brought under effective forest management.

The Lake Tanganyika Integrated Management Project assisted local communities, through the preparation of appropriate guidelines and the training of community representatives, to establish self-managed revolving funds for various income-generating activities. A mid-term evaluation conducted in July 2011 reported 100% repayment rate.

The evaluation also reported the implementation of locally developed by-laws for natural resources management resulting in reduced animal poaching, and reduced fish catches by the use of illegal methods and equipment.

Sustainability

The sustainability of community-based natural resource management structures, established under the project, relies on the genuine recognition of the benefits to the local partners and to the government's conservation goals. Over the years the project responded to the concerns of the prospective partners and adjusted the approaches as, for instance, in the sharing formula of the revenues from the game management areas. However, it appears that some of the issues are local and therefore lessons from the demonstration sites could not be applied in their entirety. The introduction of a legal framework would greatly enhance the prospects for sustainability and for replication in other game management areas.

The involvement of private business, especially in Chiawa, has good potential to reduce the communities' reliance on government hand-outs, even during environmentally induced stress conditions

In the Lake Tanganyika basin the systems that the Project introduced were generally embedded in local government and community structures, thus enhancing the prospects for long-term sustainability. However, more work was required to find a permanent home for the management of the community revolving funds for income generating activities. The ZNFU was identified as a natural partner for the future.

Strategic Relevance

The programme component is relevant to the goal of natural resources conservation and of economic empowerment and food security for the local communities. The component helps traditional leaders to come closer to the people in mapping strategies for common economic and social advantages. The component makes good use of the reservoir of international resources and expertise available to the UNDP in this area.

3.4 Governance & Gender

Under this programme component, UNDP is providing critical support to human rights, constitutional reform, developing institutional capacities of key governance institutions such as the National Assembly, the Electoral Commission of Zambia, the Human Rights Commission of Zambia, as well other line ministries, and addressing gender issues.

Good progress is being made and UNDP scores high marks for its governance work as reflected in the 2012 Partners Survey. This is particularly noteworthy given that UNDP works virtually alone in the area of Governance and other UN agencies have not contributed significantly, except for example, the constitutional review process and the UPR process both of which have seen good cooperation from most UN agencies.

3.4 1 Outcome 5.1 Individuals with increased knowledge and ability to claim human rights for effective participation in development and democratic processes by 2015

Context

The governance programme is premised on the observation that the desired impact of national development was not optimal. The country reportedly has skilled people but institutional environment, arrangements, processes and systems, and accountability were weak. Furthermore, there was lack of policy coherence among public institutions, with Ministry strategic plans not aligned or consistent with the National Plan, MTEF, etc. Weak enforcement of legal frameworks was also not conducive to fostering accountability. There is an added need to strengthen Parliamentary processes, consolidate electoral process and strengthen the platform for citizens' engagement.

The outputs under this outcome are the following:

- 4.1.1 Targeted government institutions with skilled staff, resources and systems to domesticate, monitor progress and report on regional and international human rights treaties, conventions, and protocols
- 4.1.2 Institutions responsible for democratic governance with skilled staff, resources and systems to increase participation in democratic processes and accountability.
- 4.1.3 Governance institutions with skills systematically and independently monitor and oversee accountability and participation in development processes.
- 4.1.4 Civil society organizations and media educate communities, advocate, monitor and report on human rights

Design

The MTE notes that UNDP's work on the governance sector is being implemented through separate projects when in fact the support can be delivered through an integrated programme framework that would enhance synergies and coherence between the different interventions. However, UNDP states that there is one governance programme whose components are being implemented separately because the implementing institutions are autonomous by law (e.g. National Assembly, Human Rights Commission, Cabinet Office, as well CSOs such as JCTR). Nonetheless, more could be done to promote synergies between these various institutions working on governance.

Effectiveness

Targeted government institutions with skilled staff, resources and systems to domesticate, monitor progress and report on regional and international human rights treaties, conventions, and protocols

Under this CPAP output the focus is on: (i) capacitating key government institutions with knowledge, skills and tools for domestication of international and regional instruments and commitments including TRIPS; (ii) analysis and dissemination of reports on gaps in domestication of relevant international and regional instruments; and (ii) revision of draft bills, regulations and laws to incorporate provisions of international and regional instruments

Review of Constitution

A critical and important contribution of UNDP in the governance field is the support it provides to the constitutional review process. In this regard, UNDP has provided technical and financial support to the

Technical Committee on drafting the National Constitution. Continued support to the constitution will take the form of supporting the consultative process and the creation of new institutions and reporting mechanisms based on the changes envisaged in the new constitution. This will be critical and strategic support as the draft constitution can be the vehicle for entrenching human rights instruments, safeguards and reporting mechanisms. The new constitution when adopted would provide a new platform that can shape and form the basis for UNDP's work in governance and gender. Even before the adoption of the new constitution, UNDP can use the Human Rights agenda and Zambia's ratification of many instruments as the basis for its work.

Domestication of conventions and protocols

Zambia has ratified many international treaties and optional protocols (except for CEDAW ICCPR – abolishes the death penalty but 50% of Zambians support the measure) Domestication is a challenge and is an objective in the Governance Chapter of the SNDP. With UNDP support, HRCZ monitors the implementation and domestication of international instruments. Hence the actions are focused on: awareness raising; monitoring framework; research; monitoring of the implementation of recommendations of the UPR process and Treaty Bodies. In its advocacy role, HRCZ seeks to highlight the benefits and implications for the country of domesticating international instruments. The slow domestication is usually caused by delays at the sector level where piecemeal domestication of legislation is a common practice. The disability legislation is reported to have most of its provisions domesticated. Some CEDAW provisions are reported to be in conflict with sections of the Constitution that discriminate against women (e.g. Article 23(4) of the Constitution allows application of customary law, which on issues such as inheritance, financial and property rights and marriage often discriminates against women land ownership).

To have concrete impact, legislation must be backed by social, economic and cultural changes; legislation only provides the mandatory minimum and basis for action. The change in government (one of the PF/SNDP promise is to fully domesticate CEDAW) has slowed down the process due to staff changes. However, aspects/elements of CEDAW are reflected in the new draft Constitution and if adopted this will represent a progressive step. The Programme for the Promotion and Protection of Women's and Children's Rights in Zambia (PPPWCRZ) (with cost sharing from DFID) will support the implementation of the CEDAW gap analysis. As part of the new governance programme, a further gap analysis will be done on the CRC.

UNDP supported a national convention of women which was attended by about 1000 women from all provinces of Zambia. The convention resulted in a strategy for protecting the progressive provisions in the draft constitution in response to the CEDAW gap analysis (mapping) and the CEDAW Committee. The strategy has been taken up by the women's movement and used to prepare women participating in the provincial consultations. Focus has been on the constitution which has taken on board many recommendations of treaties bodies of the CEDAW gap analysis and recommendations of the CEDAW Committee.

Access to rights

UNDP has supported JCTR to conduct baseline studies on access to rights in six (6) districts which includes economic social cultural rights. The findings of the survey will feed into community mobilization

and capacity building activities to enable communities to claim their rights. Following increased levels of debate on human rights in the media and other public fora, there has been a marked increase in responsiveness of national policies and resources allocation in areas associated with Human Rights. (i) The 2013 National Budget approved by the National Assembly in December 2012 shows an increase in allocations to health and education sectors; (ii) Government increased the minimum wage by about 100% as part of an initiative to increase access to the Bill of Rights in particular ESCR and Rights of the workers.

Institutions responsible for democratic governance with skilled staff, resources and systems to increase participation in democratic processes and accountability.

The focus of UNDP assistance under this output is the strengthening of electoral process in Zambia and ensuring that parliamentary and cabinet committees effectively play oversight functions of the executive for attainment of SNDP goals.

Electoral cycle support

Prior to 2009 UNDP had been supporting elections as a one-time event. An electoral cycle support programme being supported by 6 donors in a basket fund managed by UNDP was developed to build longer-term institutional capacity and increase the credibility of the Electoral Commission vis-à-vis the electorate. The project started in 2006 with ECZ as main implementing partner but with participation of others (Department of National Registration, Passport & Citizenship) to achieve the following: (i) a workable voter registration system; (ii) enhancing the internal organization of the ECZ; (iii) legal framework – not much progress due to issues related to the new constitutional review process; and (iv) voter education. Other components supported by other partners but managed by UNDP included: media/civic education; women participation; political party capacities.

UNDP supported an organizational and institutional assessment of the Electoral Commission of Zambia. A workable and credible digital voter registration system was developed that led to an increase in registered voters to 86% of eligible voters and an increase in first time voters (1,272,000). Upgrades of software for electronic result and candidate management system ensured election results were transmitted within 50 hours. Conflict resolution procedures (improved dispute resolution procedures resulting in a shorter turnaround time of case disposal) were put in place and 10,000 police officers were trained to police the elections. This transformed the electoral landscape for the 2011 elections, and resulted in reduced cases of violence and a peaceful and smooth transition of power.

UNDP provided technical and financial support for planning, value for money procurement of kits and implementation of a mobile voter registration system which enabled the ECZ to register 86% of eligible voters⁶, development of a voter education strategy, and conflict resolution procedures. In the Presidential, Parliamentary and Local Government elections 86 per cent of the eligible voters were registered compared to 70 per cent in 2006. There was also an increase in first time voters: 1.2 million youth were registered and an equal number of women and men.

⁶ There are reports that other publications and public statements appear to suggest that the percentage of eligible voters on the voter rolls is much lower – USAID comments on draft MTE Report.

UNDP has also supported the revision of the strategic plan for ECZ which was adopted in 2012. Further, the appropriate structure for the implementation of the strategic plan has been developed taking into account the decentralization of the ECZ and ECZ has also developed a performance management framework for staff. Results of the 2011 presidential election were availed to the public within 50 hours as compared to 72 hours in 2006 elections and were widely acclaimed as credible by domestic, international observers and the political parties themselves hence there being no petitions or disputes for presidential elections. The support provided towards electoral results management – rapidity of delivering results to the public - has resulted in marked improvements; 72 hours in 2006, 50 hours in 2011 and a target of 24 hours in the future. This improvement is ascribed to efficiency of logistical arrangements and technological improvements – electronic transmissions from constituencies to HQ; challenge is the transmission from polling stations to constituencies which is still manually done (distances can be as great as 300 km).

Two consultancies were carried out on organizational effectiveness but only some of the recommendations have been implemented - the consultancy study has been validated and certain elements are being implemented (strategic plan; restructuring of HQ; filling the skills gap through training), but decentralization of the ECZ is still not yet accomplished. This activity derived from 2005 assessment of how ECZ conducted elections and the need for it to streamline its operations and decentralize its operations. The internal capacity of the ECZ is considered weak, with skills gap which makes it a challenge to discharge additional responsibilities emanating from the revised election act of 2006- voter education was added.

Voter registration was a key priority and a decision was made to change from the past paper-based system which had several limitations (missing photos, omissions, large labour force for manual data entry, errors during input into system, etc) to a new digital system (new equipment such as web cam) which could be continuously updated and facilitates a process of continuous registration through a fully digitalized system from point of capture. UNDP project supported procurement of materials resulting in 2010/2011 with 86% of eligible voters captured based on 2010 census. So far, with UNDP support, a voter turnout survey which is expected to produce latest data on voter turnout statistics, was underway.

A Resource Center the first in Africa has been established targeting schools, based on lessons from a study tour to Australia. The experience will be gradually expanded starting initially with schools. Some of the materials of Voter Education have been translated into seven local languages plus English.

Revision of the Electoral Code of Conduct to address gaps related to the inclusiveness of enforcement agencies (police, anti-corruption commission) into the electoral system is being undertaken through the constitutional review process. Also necessary is an expansion of the mandate of the ECZ as at present the ECZ has limited powers and can only reprimand; additional powers being sought through constitutional review are powers of suspension or disqualifying candidates and parties.

UNDP partners have noted that the elections support project has worked well and there has been good collaboration with UNDP. ECZ capacity has been built and the institution has been ranked as one of the best in the region, including South Africa. Staff of ECZ go on attachment to other countries and other Elections Commissions have visited ECZ (Malawi, South Sudan, Lesotho, Botswana, Namibia).

Some of the challenges faced in project implementation include turn-around times for RDPs payments. Given that elections management is complicated and sensitive UNDP should consider quickly conducting a HACT assessment and, based on the results shift to cash transfer for ECZ. If weaknesses exist, UNDP should use the period leading to the 2016 elections to strengthen ECZ capacity.

In going forward, UNDP and ECZ should build upon past project successes, especially strengthening the organizational capacity of ECZ, particularly with respect to decentralization. The practice of post-election reviews/lessons should be maintained with the target of results delivery within 24 hours. Voter registration, voter education (re-look at strategies as demographics are changing with youth bulge) and changes in the legal framework through the constitutional review process are other areas meriting attention. The ECZ is performing well by standards of the region and internally, and is 90% funded by GRZ budget. Furthermore there is increased confidence in its neutrality and fairness. Focus of UNDP's support should be on more cost effective elections and better R&D.

Parliamentary reform

UNDP support to parliamentary reform (there are 72 reforms on the agenda) has centered on building constituency office capacities; strengthening parliamentary committees; women's parliamentary caucus; review of impact of training on MPs. UNDP has provided support through advisory services, technical and financial support in planning and development of a strategy for increasing outreach of the National Assembly country wide as well as internet connectivity of the constituency offices and procurement of motorcycles for the constitutions offices. UNDP also provided support in the planning and identification of experts and organizing an orientation training and skills development in areas such as budget analysis, ICT and audit training for all members of Parliament prior to the 2011 elections and 22 staff of the National Assembly Committees and Research Departments as part of capacity development for enhancing the oversight and legislative roles of the National assembly. Support was given to MP's post-election seminar by way of printing two publications for MPs on budget guidelines and monitoring toolkit, as well as providing presenters/facilitators for the workshops.

UNDP also provided support to National Assembly to prepare and disseminate an issues paper on parliamentary reform Agenda. Constituency offices became an integral part of Parliament and contributed to its increased outreach, hence facilitating MP/public interactions and raising public awareness on development issues. The initial Education Amendment Bill was withdrawn and subsequently revised and passed by the National Assembly based on public consultations in all constituency offices.

Governance institutions with skills systematically and independently monitor and oversee accountability and participation in development processes.

UNDP support under this output was aimed at equipping ministries and national institutions with knowledge and skills in one or more of the four modules of the institutional capacity development⁷ package. Furthermore, with UNDP support, it is expected that transparency and accountability of public institutions

⁷The capacity development package will include the following modules: (i) Leadership and coordination, (ii) Modern management practices and results based management, (iii) Integrated planning and management capacity, and (iv) stakeholder engagement

will be enhanced with government ministries and councils posting public budgets, revenue, and actual expenditures on easily accessible public notice boards.

UNDP has finalized the new governance programme and a work plan for 2013 has been finalized with the Cabinet Office. Pilot institutions for capacity assessment and implementation of new systems have been identified and the approach for implementation has been finalized. The ministries targeted/partners are Agriculture, Commerce & Trade, Finance, Chiefs & Traditional Affairs, Cabinet Office, Community Development, Mother and Child Health (MCDMCH). The capacity of the cabinet office will be strengthened by putting in place measures to track policy formulation and implementation, as well as to monitor the impact of policy implementation. Similarly, there are plans to engage university/researchers to monitor and evaluate impact of government policies.

Civil society organizations and media educate communities, advocate, monitor and report on human rights

Under this output, the anticipated results are an increase in reported human rights violations that have been investigated and the maintenance by Civil Society Organizations (CSOs) of a 100% submission status for parallel human rights reports due to the treaty bodies committee.

Human Rights Commission

UNDP has provided critical support to the Human Rights Commission of Zambia (HRCZ) which functions as a Watchdog institution based on an Act of Parliament which mandates it to visit prisons, other places of detention, to conduct research/information dissemination, play an advisory role to GRZ and other actors, in general monitoring of how GRZ is meeting its Human Rights obligations (Treaty Bodies, UPR, etc) at regional and international levels. UNDP support to monitoring of Human Rights is through working with both State Institutions and CSOs.

UNDP is the biggest partner in terms of funding besides government⁸. UNDP has provided critical logistical support and manpower to address the limited human resources capacity within HRCZ as this has affected the ability of the HRCZ ability to meet deadlines, etc⁹.

The HRCZ is rated A by the ICC (International Coordinating Committee) and it is seen as an example of how a national human rights commission should be based on criteria such as: composition of membership; how it is set up; where functions are placed; degree of independence; day-to-day operations; cooperation with international bodies; decentralization; etc. In its last review in October 2011 the ICC sub-committee on accreditation recommended A rating for Zambia mainly because of its annual Human Rights Report funded by UNDP... "in particular the sub-committee on accreditation commended the HRCZ for its initiative in producing regular "State of Human Rights" report"¹⁰.

The biggest success of UNDP's support is the publication of an Annual State of Human Rights Report. This is primarily a UNDP supported activity which made it possible to publish the following editions: 2007

⁸Other partners include: Save The Children (Norway and Sweden); Germany and Freedom House).

⁹HRCZ is in only 6 out of 10 Provinces with limited staff.

¹⁰ ICC Sub-Committee on Accreditation Report, Oct 2011

(Human Rights in the FNDP); 2008 (Constitution – Perspectives on the Judiciary and the Police); 2009 (Right to Housing); 2010 (Human Rights & Environment). The report is well used but its dissemination is not as widespread as desired. Starting with the 2013 edition there are plans to change the format from thematic to more general reporting –. A key challenge is that follow-up action to the reports is limited. Over-reliance on UNDP is also risky and it will be difficult to continue once that assistance stops. However, the HRCZ is embedding reporting, collection of data into their daily work and this could help sustainability in the long run.

UNDP support has helped to raise the profile of the Human Rights Commission as a watchdog for human and contributed to increased public awareness and advocacy for human rights through use of community radio stations and establishment of human rights clubs in schools.

The interventions by UNDP in advocacy, awareness raising and enhancing community engagement on human rights consisted of the following: (i) UNDP provided technical assistance for skills development among community radio stations in development of programmes with high human rights content and providing for interactive programming. The support included the production of initial programmes and their broadcasting; (ii) UNDP in partnerships with other UN agencies collated global experiences on the incorporation of human rights in national constitutions and used these as basis for engaging the Technical Committee on Drafting the Constitution of Zambia. Further, the Country office in collaboration with other UN agencies engaged the Technical Committee on the adverse effects of the current constitution and institutional arrangements on increasing public access to human rights. UNDP has also helped the HRC to commence the development of a plan of action and a strategic plan.

UNDP has also supported HRCZ work on prisons which aims to address issues related to over-crowding¹¹, inhumane conditions, treatment of prisoners and police interrogation methods. The Zambian Prisons system is punitive rather than rehabilitative. UNDP support includes the printing of the HRCZ Prisons Report. UNDP support also aims at improving case handling system to improve prisons mandate and complaints handling. Through UNDP, the HRCZ has acquired an electronic case management, system, which is potentially significant, although not fully installed at the time of the evaluation.

Positive changes have been registered over the years as reflected in increased collaboration between HRCZ and its partners (especially with Prisons) but some such as the Police are reportedly not as open and collaborative. Government positively responded to the Human Rights Commission report on the state of prisons by improving the availability of clean water in 6 major prisons. The water supplies were funded by the Government's own resources and the donor community.

Other important changes resulting from UNDP's engagement on the Human Rights agenda include greater public debate on Article 23 of the 1996 Constitution of Zambia on the removal of "claw back clauses" regarding women's rights. The claw back clauses were removed from the draft constitution. In addition, the public debates significantly contributed to a more explicit presentation of institutional arrangements associated with strengthened enforcement powers (Gender Commission, Constitutional Court, annual

¹¹Causes for Prison congestions: few new Prisons built to keep pace with population growth; delays in holding trials (2 years); long waits for appeals (5-15 years). Another area of concern is children/minors in Juvenile Reform Institutions – the issue of separation of children from adults.

reporting by the president on access to human rights). Other results include presentation by CSOs and GRZ of a report at the UPR process for Zambia in 2012; also the Africa Peer Review (APR) process for Zambia took place in 2013.

UNDP provided technical, advisory and financial support services to enable the Ministry of Gender and Child Development and for the first time, working closely with the HRC to prepare and jointly submit the reports to the CEDAW. UNDP has continued to support CSOs and the HRC to increase their effectiveness for parallel reporting.

Domestication of CEDAW

With UNDP support, government worked closely to work with CSO's and the Human Rights Commission (HRC) to prepare the 5th and 6th National Reports on the domestication of CEDAW. The CEDAW Committee noted positively the adoption of recent legal reforms aimed at eliminating discrimination against women and promoting gender equality, which include: (i) Anti Gender based Violence Act (2011); The Education Act (2011) and Statutory Instruments (No.s1,2 and 3) on Minimum wages and Conditions of Employment (2011) aimed to regularize the informal sector.

In going forward the collaboration between HRCZ and UNDP should focus on consolidating ongoing work in the following areas:

- (i) Finalizing the HRCZ strategic plan which will include a review of the HRCZ structures as demands have changed¹²;
- (ii) Strengthening of the programmatic base through: implementation of the electronic case management system; developing a communication strategy, rebranding and re-positioning itself as a primary stakeholder on human rights in the country; monitoring function through setting up of frameworks, as well as translation of the results of work of the HRCZ into an Action Agenda to ensure effective follow through;
- (iii) Strengthening partnership, collaboration and networking, and building the capacity of cooperating partners (prisons, police);
- (iv) reporting: initial models and frameworks identified;
- (v) Addressing sensitive issues such as discrimination based on sexual orientation – the HRCZ has not been able to do much beyond advocacy.
- (vi) Strengthening the reporting on the Human Rights situation by developing a set of indicators for the long-term monitoring of Human Rights - the new governance programme has commenced through which the commission will develop a system of indicators for tracking of Human Rights indicators, including progress of investigations of reported violations

¹²The structure of HRCZ may be bloated – there are 131 posts but only 55 in place. The Management Development Division /Cabinet Office has already initiated the process for organizational assessment of HRCZ, which is expected to be completed in 2014

Efficiency

Officials met at the HRCZ have pointed to slow fund disbursements and reported that no feedback was received from UNDP on the micro-assessment conducted two years ago. On the other hand there have also been delays in work plan implementation by HRCZ which explains the slow disbursement. According to the HRCZ, other partners now use cash transfer (Save the Children, Germany) as the Commission's systems have since matured and would like to be "graduated" to the cash advance system. However, questions have been raised regarding the demand/absorptive capacity of HRCZ. UNDP should review the situation and take appropriate measures.

With respect to the ECZ there is a need for UNDP to re-assess the current RDP system used to transfer funds given the complaints raised. The MTE recommends that HACT assessment be conducted and, if needed, ECZ assisted to meet the requirements of new procedures that would ease current difficulties.

Sustainability

Although UNDP is providing critical support to key democratic institutions, there are concerns about sustainability due to lack of complementary support from other donors. The HRCZ for example, relies solely on UNDP support for several of its activities, including publication of its flagship, The State of Human Rights in Zambia.¹³ The situation is further compounded by the unpredictable allocation from the national budget which undermines the independence of the HRCZ. As stated by the ICC Sub-committee on Accreditation in its report of 2011 makes mention of budget constraints faced by HRCZ, notably: funding received from the State is insufficient and sometimes not released on time; due to budgetary constraints from a recommended staffing component of 131 position only 52 are currently employed; and the requirement of HRCZ to obtain Presidential approval for external funding, which while never used has potential negative impact on the Commission's ability to fully discharge its mandate. Halfway through the budget year, the HRC had received only 15% of its funding.

For long-term sustainability, there is a need for the HRCZ to have a greater impact particularly outside Lusaka in order to address issues of concern to ordinary citizens.

However, with respect to the Electoral Commission of Zambia, the GRZ funds 90% of the operations of the ECZ which reflects a high degree of local ownership and commitment. The UNDP Elections Basket includes EU, USAID, DFID, CIDA and Netherlands, but CIDA and Netherlands are withdrawing from Zambia. For the new project EU, USAID and DFID have expressed interest

Strategic Relevance

Work on governance is of strategic relevance. UNDP support to the Constitutional review process which when successfully concluded will have significant impact on the social, economic and human rights of the

¹³HRCZ reported a UNDP budget cut of 50% which was characterized as deep and sudden.

citizens of the country can certainly be characterized as such. Similarly, the support to key democratic institutions such as the National Assembly, the Human Rights Commission of Zambia and the Electoral Commission of Zambia is of strategic relevance, with UNDP often the sole UN agency engaged in this sector.

UNDP's work in this area is widely respected and recognized as revealed by the partnership survey of 2012 which showed a ranking of 56% by all partners of work on democratic governance (the second highest after MDGs), and a significant 71% ranking by donors (the highest). This ranking compares favorably with that of poverty eradication (44% and 43%), and environment and sustainable development (56% and 29%).

3.4.2 Outcome 5.2 Reduced legal and cultural barriers to gender equality by 2015

Context

At the time of the evaluation the Zambian policy on gender was undergoing a review. The vision set by the first Policy of 2000 was to “achieve full participation of both women and men in the development process at all levels in order to ensure sustainable development and attainment of equality and equity between the sexes.” The policy committed the government to implementing measures in social and economic spheres including agriculture, culture, education and skills development, health, land gender-based violence and decision making. In all these women and girls were at a distinct disadvantage compared to men and boys. The Policy was influenced by several international protocols and conventions to which Zambia was a signatory. These include the Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW) (1979); and the Convention on the Rights of the Child (1991). To advance its aims and objectives, GRZ established a Gender in Development Division located at Cabinet Office with a mandate “to monitor and evaluate the implementation of policies and programmes to ensure gender responsiveness.” In 2011, the newly elected Patriotic Front government transformed the division into the Ministry of Gender and Child Development.

In 2008, the cooperating partners responded with a 4-year Joint Gender Support Programme with the UNDP as the lead agency. At the time of the review a successor programme, known as the Programme for the Promotion & Protection of Women's & Children's Rights in Zambia (PPPWCRZ), had been finalized. However the implementation was yet to start.

The CPAP results were stated as:

1. (5.2.1) Skills and systems developed in targeted government institutions to mainstream gender into legal frameworks, policies, plans and programmes.
2. (5.2.2) Skills and mechanisms of statutory and customary law-makers, enforcement agencies and adjudicators enhanced to promote and implement CEDAW provisions.

Effectiveness

The JGSP had a central role in enabling the Gender in Development Division, and later the Ministry of Gender and Child Development, to carry out its mandate. The JGSP was particularly successful in delivering results on legislative reviews, capacity development for gender mainstreaming, sector policy reviews, and in helping to raise public awareness of gender as an issue of national priority. The enactment in 2011 of the Anti-Gender-Based Violence law was the culmination of the efforts of the whole gender equality advocacy community, but it was the JGSP that facilitated the studies and the mapping of the CEDAW and commissioned the drafting of the Bill. The sensitization of parliamentarians to gender-based violence and its consequences helped the passage of the Act. Other significant results include the review of the Education Act that entrenches equality of access to education and prohibits early marriages; and the review of the Minimum Wages and Conditions of Service that aims to regularize the informal sector, which is dominated by women.

Progress on engendering ministries is slow, due partly to ineffective structures, and partly to lack of capacity of the Ministry to monitor and follow up. The key linkage into Ministries has been the focal point person at the level of Director of Planning. However, because of the absence of any accountability mechanisms for gender, the position has tended to be relegated to lower structures, thereby undermining its effectiveness. Nevertheless, there is progress in some ministries. The Lands ministry for instance has made steady progress to implement land allocation targets giving more women titled land.

Following its realignment, the Ministry of Gender and Child Development was, at the time of the review, restructuring and redefining its overall strategic focus. In this respect, the intervention of the programme has provided several essential instruments. These include: the Strategy and Implementation Plan for Engendering the Public Service (2010); the National Gender Monitoring and Evaluation Plan (2011-2015); and the National Gender Communication Strategy. Other outputs of the programme are: a nation-wide Gender Perception Report and the National Gender Status Report.

The Anti-Gender-Based Violence Act entails measures to increase the levels of reporting and of successful prosecutions; it also entails support systems for the victims in the aftermath of incidents. The programme, which is funded by the UN Joint Programme on Anti-Gender-Based Violence, produced the National Guidelines for the Multidisciplinary Management of Survivors of Gender-based Violence and a Report on the Impact of Customary Practices on Gender Equality in Zambia. Programme activities targeted police prosecutors and victim support units.

A significant innovation was the engagement of the programme with the association of female judges and magistrates which has a special interest in Gender Based Violence. The programme enabled association members and the Zambia Law Development Commission to undertake a study on the establishment of fast-track courts for Gender Based Violence. The association has a special focus on prosecutors and magistrates, and also plans to engage the police training school for early orientation to the special challenges of GBV.

Although the Anti-Gender-Based Violence Act has received much publicity, there have been few prosecutions under it. To put the Act into full effect requires judicial rules promulgated by the Chief Justice.

The lack of rules gives uncertainty to the Anti-GBV Act. Nevertheless there is a standing instruction by the Chief Justice that family cases that include GBV and defilement are to be fast tracked through the court system. For Gender-Based Violence the courts have relied mainly on criminal law and the penal code.

A new GRZ-UN Joint Programme on Gender-Based Violence was recently developed to support the Government of the Republic of Zambia (GRZ) in implementing the provisions of the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW). The programme has a particular focus on CEDAW recommendations on violence against women and on institutional transformation to support the implementation of the Anti-GBV Act. The programme is expected to enhance the effectiveness of the Act in reducing the incidence of GBV

Further action is also needed on increasing women's participation in decision-making, particularly in politics and in private sector management. A component of the new PPPWCRZ has included this aspect.

Sustainability

The current restructuring of the Ministry of Gender and Child development is the latest step in strengthening the framework for ensuring that government mainstreams gender in all its programmes and outputs. These steps are important for sustaining over time the results of the partnership between the government and the cooperating community. The Ministry needs to sustain the oversight of progress in policy and legal reform, and their implementation. The programme has enabled the ministry to develop essential instruments like the monitoring and evaluation framework and the various strategies for engaging the stakeholders and the general public. Attitudinal change in society will be a gradual process requiring the constant reinforcement of the message of gender equity and equality.

Although ministries are required to budget for gender activities, it is clear that the accountability for the implementation activities needs further strengthening. Currently, ministries tend to reallocate approved gender budgets to other 'more pressing' purposes. Engendering the budget needs to be followed by engendering the work of the ministries. Until gender is fully mainstreamed, the Ministry of Gender and Child Development needs resources to monitor and report on gender performance throughout the government system.

The decentralization of government has particular relevance to the goals of gender parity because it will enable the ministry to more practically engage district and traditional systems that often handle family matters like marriage, inheritance and social rites. The current government's high priority on decentralization through the creation of districts should be supported by realistic plans for clear district structures that provide for local accountability. Above all the decentralization process needs to generate more impetus than was evident at the time of this evaluation.

Efficiency

The successor programme for the JGSP that formally ended in 2011 had not begun at the time of review. Although some activities continued, such as the review of the National Gender Policy, the break in

continuity poses the risk of losing momentum, and therefore reducing the effectiveness. In particular the delay will detract from the impact of the various reviews of policies and laws aimed at improving the lot of women and children.

Strategic Relevance

The support programme to the Ministry of Gender and Child Development was the main delivery vehicle for the mandate of the ministry. The programme advanced the aims and objectives of the Sixth National Development Plan, while contributing to the UNDAF Outcome. The programme brought together different agencies and bilateral ODA, thus marshalling the resources needed. The strong partnership with civil society gave much needed breadth of voice for the gender programme.

4 Resources & Partnerships

4.1 Resources

The MTE reviewed the data on mobilization and use of programme resources and concluded that UNDP has exhibited a high degree of efficiency as indicated by the following highlights:

- Cumulative programme budget for core resources as at June 2013 stands at: USD 13,608,939
- Cumulative programme expenditure for core resources as at June 2013 stands at: USD 10,045,731
- Budget execution rate for core resources stands at 90%
- For non-core resources, cumulative budget as at June 2013 stands at: USD 196 million
- Cumulative expenditure for non-core as at June 2013 stands at: USD 141 million
- Budget execution rate for non-core stands at over 90%
- The non-core resources mobilized exceeds by many orders of magnitude the target of the CPAP set at USD 15 million over five years
- For core budgeted resources, Environment is highest, followed by HIV/AIDs, Governance and Gender
- For non-core, the Global Fund constitutes more than 90% of the resources

However, there are evident signs of weaknesses in the resource situation despite this very impressive performance:

- The heavy reliance on Global Fund resources and GEF resources. GRZ expects to revert to PR status in the near future, and this has implications for non-core resources for UNDP. It could also have negative consequences because of the significant contribution of the Global Fund to the Country Office extra-budgetary resources, once the PR status reverts to GRZ, with potential implications for staffing and other operations.
- No non-core funds have so far been mobilized for UNDP's work on Poverty and MDGs possibly reflecting the perception of donors that UNDP is not their preferred organization for channelling resources for poverty reduction efforts.
- A narrowing of the donor base as several donors wind down support as Zambia graduates to a Low Middle Income Country. However, reduced budget support may also present an opportunity for UNDP if donors shift to more selective targeting of assistance

A detailed picture of analysis of the resources mobilized and used is presented in the graphs and figures presented in Annex.6.

4.2 Partnerships

UNDP has developed a wide network of partnership to support implementation of the 2011-2015 CPAP. The MTE team met with several of these partners with a view to assessing their perception of the relevance of UNDP programmes, their effectiveness and impact, as well as collaboration with UNDP. The team also drew upon the results of the 2012 Partners Survey.

The findings of these consultations and review are presented below.

National Execution Agency (Ministry of Finance)

Collaboration with the UN in general has been stated as very helpful and has contributed to improving Zambia's human development indicators. The Annual UNDP CPAP reviews are operational and useful. However, a number of challenges/concerns were expressed by MoF staff met, including the following:

- There are concerns with regards to the identification of priorities which form the basis of the programmes formulated and implemented. While appreciative of the fact that the CPAP and its programmes fit broadly within the national development framework, the view was that UNDP seems to cover some areas where government is already over-committed and persuading the UNDP to support areas that GRZ has identified as gaps has not been always easy. On the other hand there are concerns that UNDP resources should not be merely used as “gap fillers”, lacking strategic coherence and impact.
- Directly linked to the preceding point, is that the process of programme development is described as being pre-determined by UNDP's own agenda. The studies on illicit financial flows and taxes were cited as two examples of supply-driven initiatives. GRZ would like to see a more “clean slate” approach to identification of priorities and programme development. However, this in turn requires GRZ to be clear on the sequencing of its priorities so as to guide development partners. For this purpose, the SNDP is too broad
- Some of the Steering Committees (SC) envisaged for projects under the CPAP have not functioned (exceptions include Lake Tanganyika integrated management programme and the support to the electoral cycle project). They were intended to bring together PS and Heads of Agencies, but GRZ does not see the need to set up separate SCs for the activities/projects for each donors; to minimize transaction costs UNDP is using the UNDAF structures for oversight.
- Some of the projects under MoF have moved between various units and are accorded low priority on account of high transaction costs associated with their management.
- Although, the UNDP Resident Representative has had regular and high level contacts with the Secretary to the Treasury, the level of engagement of MoF with UNDP was compared unfavorably

to UNICEF; “you see UNDP only when they need you” was how the working relationship was summarized. The fact there is no time or space set aside for serious dialogue between UNDP and MoF outside of specific programme matters is of concern and needs to be corrected. For example, the MoF states that UNDP has never had a working retreat with MoF. On the other hand UNDP has also had difficulties in securing meetings with senior officials of MoF on time. Whatever, the case, the MTE is of the view that the current situation is not desirable and both parties should put in greater efforts to strengthen the partnership

In contrast, a number of National Implementing Partners expressed a more positive view of the collaboration with UNDP. Some of the views expressed are presented below:

- UNDP is responsive, flexible and programme formulation is based on mutual understanding and agreement, underpinned by discussion of key issues. There is no “blueprint/one size fits all approach”
- UNDP tries to link to national development priorities more than many other partners
- National partners met appear equally articulate as their UNDP counterparts which reflects the degree of ownership and understanding of the programmes.

The MTE team has therefore detected differences in how UNDP is perceived by various national partners as reflected by the above findings. The lesson to be drawn from this is that focusing attention on building good working relationship with IPs to the detriment of building healthy working relationships with the National Execution Agency (the GRZ lead institution) is problematic and measures are urgently needed to re-dress the situation.

MoF made a number of recommendations to address these challenges:

- Restore/institute regular and systematic dialogue between the UNDP Team and Senior Staff of MoF on a regular basis to build mutual trust and smooth working relationship
- Planning should be done with no pre-determined agenda, particularly in terms of aligning activities to GRZ priorities. There was a need to have a collaborative as opposed to a prescriptive approach, and to the extent possible use of national systems. The regular dialogue recommended above will help erase or moderate the mis-match in expectations between the two parties
- Reduction of transaction costs are necessary as low volume of resources coupled with cumbersome procedures results in projects being shunted to lower level staff; lack of alignment with core government functions leads to sidelining UN activities
- The EMD does not have capacity to follow up diligently technical coordination and act as the interface with the sectors. GRZ should take appropriate measures.
- Re-alignment with SNDP has implications for CPAP revisions. Once the new directions are clear, there should be frank discussions between UNDP and MOF to identify the adjustments needed. These changes can be integrated into new programmes being developed by UNDP.

The MTE also recommends that MoF put in place mechanisms to improve internal coordination with IPs within government.

Collaboration with CSOs

In consultations with a sample of CSOs, the following points were made regarding collaboration and partnership with UNDP:

- A number of NGOs do not relate directly to UNDP. A desire was expressed to work more directly which UNDP should take note of, although the large number of CSOs will make this a challenge
- Related to the above is that UNDP partnership with GRZ institutions is by far stronger than with CSOs. There is need for a UNDP strategy of working with CSOs. If such a strategy is in place, the CSOs met by the MTE were not aware of an existing strategy, and felt that any new strategy should be jointly developed.
- Some of the CSO/NGOs do not have information on the GRZ/UNDP's CPAP and more efforts are needed to disseminate these documents; on the other hand, the documents are available on the UNDP website.
- Many are appreciative of UNDP's responsiveness to their agenda, but decry the red tape and sometimes slow internal processes

Development Partners

General Donor Situation

Several donor countries are in the process of closing operations in Zambia. These include Canada, Denmark and Netherlands. This is mainly linked to LMIC status of Zambia, but in some cases the decision was made as a result of national realignment of aid programmes.

Some of the donors remaining are planning shifts in their assistance. For example, DFID has decided that 2013 will be the last year for providing budget support to GRZ and will likely be continuing sector support. Norway: focus is on assisting GRZ mobilize its own resources to support development (ZRA, Audit, illicit financial flows). Will wind down budget support; will continue to work on climate and agriculture. The EU: some changes related to budget support; pulling out of health and going into infrastructure, energy. Other donors such as Finland and USAID do not foresee any big changes, while Ireland intends to focus on education, livelihoods and social protection

Perspectives on the UN

Broadly, the partners were appreciative of the UNDAO process and positively assessed the move towards joint programming which they viewed as an improvement, leading to lessened competition among UN agencies. Most found the UN most effective in moving global projects – like the MDGs – and commended the UN working as one family. The ability to convene and advocacy are seen as the natural strengths of the UN system. Furthermore, the UN is seen to have a big role in helping Zambia transition out of aid

Perspectives on UNDP

Perspectives on UNDP were mixed and the following points of concern were raised:

- The remit of UNDP is too broad; there is a need to define a niche. This criticism is aimed broadly at UNDP
- Concerns were raised about results-orientation of UNDP's work and the question was posed as to whether one gets value for money? This was linked to what was viewed as a weakness, namely, programmes of UNDP were not very focused - indicators too general; results description weak; risk management and results monitoring weak
- A specific concern was raised regarding reporting – e.g. the untimely receipt of reports for the JGBV was mentioned by Irish Aid
- In view of some of the donors met UNDP should not manage projects that NGOs should manage
- UNDP has vast pool of global resources but this is not being used effectively to support countries – rather it focuses on delivering a HQ driven agenda while it should be more client-driven. The focus of UNDP should be more on building capacity of government to deliver development rather than focus just its own programmes.
- Some questioned whether delivery of resources of donors to government through UNDP was efficient as it was claimed
- UNDP was rated poorly for its work on environment which appears to reflect results of the 2012 Partners Survey

However on the positive side the following were also noted:

- Viewed UNDP positively, particularly in politically delicate situations (elections). The positive contribution to governance and UNDP's strong leadership was noted
- UNDP has not helped improve their access but has a unique ability to present messages in a neutral way to government

Despite the challenges all the donors met expressed that they will continue to work with UNDP

A number of recommendations were made including those below

- The climate in donor countries is very tough and there is a need to focus on results and tell a good story.
- Measurement and communication of results is important; reporting should be reliable accurate, rather than painting a rosy picture
- Focus more; 8 outcomes for USD 30 million core is scattered. Indicators should be measurable

Summary of the 2012 Partners Survey

The survey asked respondents to express opinions on various aspects of UNDP performance. The idea of the survey is good, especially as a tool for introspection by UNDP. Some responses: giving only the category of 'favourable' responses.

Factor	Total UNDP partners %	Bilateral Donor/Agency %
The image of UNDP in this country is favourable	85	86
The UNDP has a focused programme of assistance in this country	76	57
UNDP projects and programmes reflect the national priorities in this country	79	43
Extent UNDP perceived to be effectively contributing in this programme country to this goal: Poverty eradication	44	43
Democratic governance	56	71
Crisis prevention and recovery	45	14
Environment and sustainable development	56	29
Achievement of internationally agreed development goals, including MDGs	58	57

The result of the survey regarding poverty eradication seems to correlate with the perception of partners that the approach used by the UNDP may not be the most effective.

The views expressed by various UNDP partners regarding their collaboration and the results of the partners survey underscore the need for the organization has to make rebuilding its partnership with local stakeholders a key priority going forward in order to strengthen an already sound operation.

5 Programme Implementation, Management& Monitoring and Evaluation

5.1 Programme Implementation &Management

Review of UNDP Zambia's main corporate performance indicators as reflected by its Dashboard, Balance Scorecard, Financial indicators and Procurement shows that the Country Office scores high marks; in fact the office ranked 1st in UNDP Africa Region on two successive years, including 2012 on the UNDP Business Intelligence Indicators. The Country Office also has a high level of extra-budgetary resources (54 months versus the required 12 months cushion).

All projects, except the Global Fund for which UNDP is a temporary Principal Recipient (PR) are under NIM. The NIM audit reports have been satisfactory, as have the Global Fund, Country Office and UN Board of Audit audits.

There is still a challenge to deliver effectively during the 1st QTR which is often used for planning and agreeing on AWP's and Budgets. The consequence of this is the tendency to squeeze implementation of activities during the 3rd and 4th QTR which tends to subtract from the quality of the delivery.

5.2 Monitoring and Evaluation

The UNDP places emphasis on planning as the basis for good M&E. The planning process/cycle cascades from the SNDP to the UNDAF, CPD/CPAP through the Project Document and annual workplans. An integrated workplan is prepared by the office which seeks to link global/corporate issues, regional and country context. UNDP also makes efforts to link the delivery of results to performance assessment

The main features of the UNDP monitoring and evaluation system and processes as assessed and judged sound by the evaluation team are as follows:

- A detailed evaluation plan was prepared at the start of CPAP implementation; this was required by the consultants and found satisfactory
- Each project has a QTR reporting requirement to meet; a QTR meeting is also held for each project between UNDP and GRZ
- There is a quarterly narrative and financial report from each Implementing Partner
- Internally, the Deputy Country Director and M&E Analyst meet with programme staff every quarter to review progress. The UNDP Country Office Management Team (CD, Dep. CD programmes, DRR operations and Asst. Res. Rep) also meets fortnightly. Country office reviews are also held semi-annually and this helps in cross-unit interaction and mitigating the silo effect.
- There is an Annual Programme Review (APR) meeting co-chaired by UNDP and government/MoF that brings together all programme actors. Last year, it was decided to introduce sector meetings prior to the APR to lower transaction costs
- Monitoring visits are required once a year and the Country Office tries to conduct them each quarter
- The MTE rated the quality of UNDP Zambia's ROAR as high.
- A challenge is the requirement of DAO that puts extra pressure on staff.

5.3 Programme implementation challenges

In discussions with various stakeholders, a number of challenges in programme implementation were identified and are highlighted below:

- Progress in implementing some of the planned activities under the CPAP has been adversely affected by ministerial alignments, shifts in functions and staff changes.
- Policy process has been slower than expected with several policies in draft stage and/or shelved. In addition to the factors above the policy making process has suffered in part as a consequence of an inadequate involvement of the Policy Analysis unit at Cabinet office.
- Issues related to operations were raised in several instances. They include slow disbursements of funds, particularly for IPs under the RDP (Request for Direct Purchase) A portfolio needing consolidation - opportunities to tighten the portfolio and reducing project scatter as this will reduce/lower transaction costs
- Weaknesses with the overall coordination of programme by GRZ as indicated in earlier section of report

- There is significant growth in resources, yet there are signs of real challenges in the future – loss of Global Fund PR role in the near future; reduction of donor presence due to the LMIC status of Zambia. Even with the steady flow of resources from for environment and governance work the risk is still evident and UNDP should think ahead of the curve and put in place appropriate strategies and measures rather than rest on its current comfortable situation
- Uncertainty in future directions due to revision of SNDP
- Challenge of scaling up interventions to have national impact – moving from pilots to more substantive interventions with broader national impact has implications for where or on what actions UNDP should focus on.
- Adjusting to the requirements of DAO – collective UN actions have many advantages but requires different working methods for staff and managers – the adjustment has not been entirely without its challenges.
- Partnership with key constituents such as the Civil Society is hampered by lack of a clear strategy

6 UNDP and UN Delivering As One

UN Zambia is a self-starter for “Delivering As One” which was initiated at the request of Government and Cooperating Partners. The DAO concept is new to both the UN and GRZ and there is still much to be experienced and mutually learnt.

The DAO has as its foundation the UNDAF which is based on five outcomes

- Outcome 1: HIV and AIDS
- Outcome 2: Agriculture and Employment
- Outcome 3: Human Development (Education & Health)
- Outcome 4: Climate Change and Disaster Risk Reduction
- Outcome 5: Governance and Gender

Under the DAO, each of the outcomes has a Convener and Technical Lead. UNDP is the Convener for Climate Change and is Technical Lead for HIV and AIDS and Governance and Gender.

Much progress has been made over the past three years with significant shifts in attitudes and enhanced ability to speak with “one voice”.

Structurally, the DAO for UN Zambia is organized as follows:

- UNCT: composed of Heads of Agencies who act as senior advisers to outcome Conveners
- Programme Management Team composed of the five Conveners
- Outcome groups composed of all outcome members
- M&E group which meets on a monthly basis
- OMC group to address common operations such as business efficiencies, security, IT, etc.

This set up is linked to an accountability framework whereby a formal letter of appointment is issued to each individual and performance is assessed annually and the contribution to DAO is reflected in individual staff's performance appraisal.

Joint programmes are the instrument to bring together various UN agencies. This way of working is a new experience for the UN in Zambia. Currently, the following JPs are in place:

- (i) Gender-based violence
- (ii) HIV and AIDS
- (iii) Human trafficking
- (iv) Green Jobs
- (v) Climate Change
- (vi) Maternal Health.

JPs are handled by an Administrative Agent for funds contributed by Cooperating Partners, who have also provided funds for the Resident Coordinator's Office. The JPs are focused on issues that lend themselves to joint action; where a multi-sectoral response is required to address a government priority. A results based approach to programming is used with streamlined reporting and common M&E standards for each outcome area.

In terms of funding arrangements, UN Zambia has not yet adopted the "one programme and one fund" approach and instead uses several mechanisms:

- Pooled funding: no yet practiced in Zambia
- Pass Through funding: with an Administrative Agent (Gender and Maternal Health)
- Parallel: (HIV and AIDS, Climate Change).

Apart from the JPs, the UN is also working closely together on "one voice" and advocacy issues and undertakes joint communication such as on the MDGs and post 2015 work.

The benefits of working together as one are already being recognized by agencies: there is mutual learning and coordination and increased ability to represent other agencies; the process of UN as "one face and one voice" is maturing; it has triggered increased resource flows due to the fact that CP value the working together; and easing of pressure on government counterparts.

However there are a number of challenges:

- (i) While there are instances of increased resources, it is still a challenge to get adequate resources to implement agreed programmes. This could be partly because budgeting for the JPs were initially over-ambitious. However, the impact of agency budget cuts has led to more realistic budgeting
- (ii) The concept of working together is still relatively new, so letting go of agency visibility is an ongoing challenge

- (iii) Agencies have different systems and procedures which are not yet sufficiently harmonized, and are often HQ- driven
- (iv) Not yet fully one programme
- (v) Reporting on results is a challenge
- (vi) Government re-alignment has led to confusion; especially in terms of budgets which have not shifted in line with the new ministerial portfolios (e.g. HIV and AIDS)
- (vii) Audits are still being done independently by agencies instead of jointly as done for the HACT assessments.

UNDP has clearly benefitted from a coordinated approach in bringing together different interests, expertise and perspectives from other UNJT members to its coordination and capacity building efforts, for example for the National AIDS council (NAC). Through this approach, UNJT members identified and analysed high-priority areas in advance to enable rapid programming of activities in the NAC work plan. In practice, diverging UNJT interests would have made coherence within NAC difficult to achieve; would have increased administrative work and would have easily resulted in competition and duplication of effort, wasting the limited resources (such as staff time). This experience has been replicated within other Outcome areas, as part of the shift towards DaO.

In working within the NAC, UNDP convenes other Agencies around the coordination and management of the response, stimulating support in five key strategic result areas: (a) enabling policy and legal environment; (b) strengthened national response coordination, including adherence to '3 Ones principles'; (c) capacity development for sustained response (alternative financing, mainstreaming gender, human rights); (d) strengthened strategic information generation and harmonized M&E and research; and (e) decentralization of the national multi-sectoral response. Using this platform, UNDP provided technical and financial support towards the re-alignment of the National AIDS Council whose goals were to strengthen NAC's coordination mandate in tune with the NASF 2011-2015 and its strategic plan. Furthermore, with support from UNDP through UNJT, NAC has progressively invested in devolution of response coordination and management at district level to local authorities as evidenced by the approval of the decentralization strategy as well as development of an electronic mapping system for providing local data at local level on stakeholders involved in the response as well as tracking progress towards set targets.

In view of the very clear and concrete benefits of the DAO, the changing development finance landscape, the MTE strongly recommends that UNDP increasingly design and implement its programmes using the DAO framework.

PART III: CONCLUSIONS, RECOMMENDATIONS & WAY FORWARD

7 Conclusions

The Evaluation Team, found that the 2011-2015 CPAP has a good overall focus and was relevant and closely linked to national priorities, as reflected in the SNDP and other GRZ policy frameworks. The implementation of the CPD/CPAP is making a significant contribution to national development results in all areas: governance and gender; the MDGs; and environment and climate change. This contribution is strengthened by the strong lead role of UNDP in the UN-system DAO.

There is evidence of significant changes arising from UNDP's interventions: within the broader national context: governance (constitutional review process, Human rights, elections) and gender, as well as at micro-project level: ZAWA has reportedly changed the way of doing business: from relying on government handouts to more rigorous resource mobilization activities. The introduction of benefit sharing in GMA and National Parks is innovative and has far reaching consequences on livelihoods, poverty reduction and building up of community assets which can enhance service delivery. UNDP's work to strengthen national capacity is contributing to the ability of GRZ to address issues of major concern in environment, bring much needed additional resources. To further its objectives, UNDP has forged rather unique partnerships such as with the Association of Women Judges in order to advance its work on GBV.

UNDP earns top marks for operational efficiency with a very good track record in mobilizing, disbursing and accounting for the use of funds. This high operational efficiency is exemplified by a delivery rate which has consistently been above 90% since programme start. The systems, processes and procedures underpinning this performance have created the space and enabled staff to engage in policy dialogue processes and support to GRZ and other Cooperating Partners and other national stakeholders.

Overall, the team also found good systems in place for planning, monitoring and evaluation processes, as well as for the reporting of results. The planning and review processes both internally between various UNDP units, and externally with programme partners and stakeholders are well structured and systematic, and are undergoing continuing improvements.

There is overall client satisfaction, with most stakeholders expressing appreciation for UNDP's responsiveness to local needs, and flexibility in programming approach that allows their partnership with UNDP to readily accommodate emerging needs. However, there are challenges with respect to building good working relationships with the MoF which is the national executing agency.

Considering all the above, the Evaluation Team has rated UNDP performance as above average at midpoint in the implementation of the CPD/CPAP 2011-2015. However, the Team also notes with satisfaction the critical role that national partners have played in ensuring this performance. The Team was highly impressed by the degree to which implementing partners had ownership of the programmes in question, including conceptual leadership.

The change in political environment and the constitutional review processes has introduced a certain degree of fluidity in UNDP's operational environment, with ministerial re-alignments, etc. However, UNDP and its partners seem to have weathered these changes fairly well and the team did not detect major adverse effects on the implementation of the CPAP.

However, in addition to the observations on programme design highlighted earlier, the Evaluation Team also notes the following areas requiring further improvements:

- Collaboration between GRZ and UNDP has been positive and has contributed to improving Zambia's human development indicators. However, there is challenge with regards to the identification of priorities. While government is appreciative of the fact that the CPAP programmes fit broadly with the national development framework/SNDP, there are views that often UNDP covers areas where government is already over-committed and it does not easily support areas which GRZ has identified as gaps
- Therefore more careful targeting of the assistance provided by UNDP is required in order to address what are perceived by GRZ to be the critical gaps in the national development agenda. This in turn requires a more detailed prioritization of these gaps by GRZ.
- High transaction costs associated with management of the projects, due to the small scale nature of some of them.
- Level of engagement between UNDP and MoF should be further improved – the need to create space and time for serious dialogue and joint planning seems critical
- Strengthening of the national execution agency (MoF) capacity for coordination and programming leadership in order to ensure greater coherence.
- Improved reporting, communicating and dissemination of results to strengthen credibility
- Build upon the very good operational efficiency to further improve the quality of programme
- The 2012 partnership reveals high appreciation of UNDP's work on governance but not so satisfactory ratings for UNDP's work on poverty and environment. Efforts are needed to redress this perception.

8 Recommendations

In reviewing and assessing programme performance the MTE Team has made recommendations under each programme component. A more general set of recommendations directed at UNDP, GRZ, UNDP/GRZ and Implementing Partners are presented below:

UNDP

1. Invest more resources to obtain accurate data to track and report on progress. This will strengthen the credibility of the reporting process.
2. Increase the number of programmes implemented through the JP approach – this has potential to scale up impact, enhance UNDP's contribution to DAO and offer prospects for increased resources

3. Delivery of UNDP programmes has been excellent and this not a critical issue going forward. There is now a need to focus on the quality of the delivery. For example strategies have to be found to reduce the concentration of activities on 3rd and 4th QTR which often means limited space and time to meaningfully implement them. The Parliamentary training activities undertaken in 2012 were delayed due to late disbursement of funds. UNDP needs to take into account the Parliament schedule to ensure that activities are done in good time and not cramped into the final quarters just to ensure that funds are used..
4. UNDP pilots: a number of interesting pilot activities are being supported by UNDP with the expectation of scaling up or informing new policy orientations. From our assessment, these pilots are having a good local impact but there appears to be no movement in the scaling up or in the generation of new policies. A number of these pilots are also being undertaken by other actors which raises the question of the added value of UNDP.
5. Careful reflection is needed to assess the opportunities for upscaling to achieve national level impact or to yield lessons for policy before venturing into such work. A particular case in point is the climate adaptation work.
6. Sustainability and exit strategies: projects in the future should be more carefully designed with these two issues in mind, otherwise projects risk becoming an end in themselves
7. There is a need for UNDP to look more closely at underlying causes for project success and sustainability: this requires a better understanding of the communities/context of UNDP's work. For example, there is a marked difference between the climate adaptation project being implemented in Kazungula district, Southern Province (with a good rate of success and high prospects for sustainability) and the food security project implemented in Petauke district where both success and sustainability are much less.
8. UNDP should continue to improve staff quality and staff engagement on policy dialogue processes – create the space and time – as Zambia shifts to LMIC status, these functions will become more critical in addition to mobilizing and channelling resources through projects.
9. Consider measures to reduce transaction costs associated with programme implementation, among them: migration of more projects from RDP to cash transfer, reviewing the disbursement chain in sub-grant arrangements (e.g. NAC), and programme consolidation. The HACT micro-assessments should be used not only to justify transfers by RDP, but also as a tool to address the shortcomings in the internal financial management systems of the implementing partners.
10. While UNDP in general has been responsive to national priorities as broadly reflected in the SNDP and other policy frameworks, this can be further strengthened by seeking to align interventions more closely to the short and medium-terms GRZ priorities and introducing greater joint planning
11. UNDP should strengthen its reporting by, for example, sharing with donors, and other partners audit reports, etc. As this appears to be at least partly caused by lack of continuity in the position of communication specialist, consideration should be given to reviewing the duration of the contracts.
12. UNDP should work with other UN agencies to accelerate the development a strategy on how it will work with and engage Civil Society Organizations
13. UNDP's record on resource mobilization has been excellent. However, this performance is mainly due to two sources – Global Fund and GEF. With a possible narrowing of the donor base in Zambia on account of its LMIC status, and possible lost of Global Fund PR role, UNDP will be

seriously challenged in the near future and appropriate strategies are needed to counter this trend UNDP should review the implications and the potential impact of the transfer of Global Fund PR role to GRZ in the near future, on its extra-budgetary resources, and devise appropriate strategies to mitigate potential adverse effects on staffing and operations.

Government

14. GRZ should make significant efforts in the prioritization of its development agenda, and to strengthen its capacity to coordinate the different interventions - the current process of the revision of the SNDP provides a good opportunity to accomplish this.
15. Strengthen internal capacity of MoF in programme coordination and management

GRZ/UNDP

16. Strengthen working relationship with the national execution body: the coordination/consultation structures envisaged under the CPAP have not functioned well and need to be reviewed – the national steering committee
17. Refocus the CPAP on five outcomes – the outcome on food security (2.1) can be integrated into climate change, natural resource management and environment work. With respect to outcome 2.2, it should either be dropped given that the indicators and targets bear little relevance to the outcome or be completely reformulated and more importantly to design and implement it as a Joint Programme on youth and women employment
18. UNDP should use the MTE findings to lay the basis of the next CPD/CPAP as many projects of the current portfolio will be carried over into next cycle; a third of the project portfolio is a carry-over. The and design of any new projects must be carefully done, so as to avoid them being just continuation of on-going activities, taking account the proposal made on way forward..
19. Consideration should be given to setting up/strengthening policy think tanks in the country - this becomes critical as Zambia assumes its LMIC status and it progressively transitions out of external aid-driven development process.
20. The need for GRZ/UNDP to seriously look at how to support the decentralization agenda of government - the emphasis on jobs and rural development will require improved capacities at local level to own and coordinate the development agenda
21. Zambia shares borders with eight countries, and these borders are often very porous with movement of people, goods, services and natural resources. This reality should be reflected in UNDP/GRZ programmes – there are several ecosystems that straddle borders and regional projects for the integrated management of trans-boundary resources will be the critical. The least that can be done is to ensure/support a system for sharing experiences, information and harmonizing standards and approaches with neighbouring countries.

Implementing Partners

22. IPs work to strengthen internal management (financial and programmatic) systems and ensure close alignment of external support with institutional priorities to ensure relevance, impact and long-term sustainability

9 WAY Forward

The evaluation comes at a critical juncture in the operational environment, which requires the UNDP Zambia Country Office to interrogate its future emphasis and directions, taking into account the following factors:

- The Government of The Republic of Zambia (GRZ) is engaged in an overall review of the Sixth National Development Plan (SNDP) 2011-2015 with a view to aligning it with the strategic concerns of the new government which was elected in 2011;
- The constitutional review process;
- At the Global Corporate level, a new UNDP Strategic Plan (2014-2017) has been elaborated and an assessment is necessary to determine if and how the new policy shifts can be reflected in UNDP Zambia's work;
- The Campaign on the Post 2015 Nation-wide Dialogue has brought to the forefront concerns of a broad cross-section of the population, notably among who are the youth with their priorities as access to quality education.
- The progress made and challenges being faced after three years of implementation of the UN "Delivering As One" in Zambia;
- Finally, a significant increase in non-core resources of UNDP Zambia (from USD 12 million/year to USD 80-90 million/year) which reflects a change in the development finance architecture, which is particularly relevant to the new status of Zambia as a Low Middle Income Country (LMIC).

Of the above mentioned, the trends that have a direct and immediate impact on UNDP Zambia's work are the outcome of the SNDP review, the Constitution review process and the new UNDP corporate strategy 2014-2017. In particular, the revised SNDP and Constitutional Review Process are key to crafting the way forward and will necessarily define the work of the UN as a whole in governance, human development and poverty reduction.

The challenges related to resources will clearly influence the choices to be made but in the view of the MTE, this can be mitigated by a sound, relevant and robust programme framework that is aligned to the emerging realities of Zambia.

The Revised Sixth National Development Plan (2013-2016)-RSNDP

At the time of the MTE, revision of the SNDP had not been completed and no documents were available to the MTE Team for review¹⁴. However, subsequently, a draft was made available to the team. Although not fully validated yet, review of the draft indicates a shift in focus and emphasis and it takes account of the two signature issues the UN has identified, namely: (i) poverty and inequality; and (ii) youth employment.

The revised sixth National Development Plan (R-SNDP) 2013 – 2016 is a medium term plan that is primarily aimed at refocusing Government priorities and policies to be in line with the Patriotic Front development paradigm. The R-SNDP is primarily an investment plan which focuses on capital investment areas with a bias to rural development and job creation. This reorientation is informed by the fact that poverty levels in the rural areas being three times higher (77.9 per cent) than the urban areas (27.5 per cent).

The major goal of the revised plan is to accelerate growth further and make it more relevant to improving the livelihood of the Zambian people especially in the rural areas. In line with the above goal the revised plan has the following overarching objectives:

- Promote employment and job creation and rural development, through targeted and strategic investments in sectors such as science and technology, agriculture and energy development;
- Human development by investing in the social sectors vis-a-vis health, education and water and sanitation; and
- Infrastructure development to enhance the growth potential of the economy.

The R-SNDP is clustered around three pillars: Economic and Social Development; Economic Sectors; and Social Sectors with the following focus areas:

1. Economic and Social Development: Macroeconomic policy measures and reforms; Key policy measures and reforms; Employment and job creation; Rural development; Financing; and Regional development
2. Economic Sectors: Information, communication technology; Science, technology and innovation; Agriculture, livestock and fisheries; Energy; and transport
3. Social Sectors: Education and skills development; Water and sanitation; Health; and Social protection and disability

UNDP Corporate Strategy 2014-2017

The international community, especially in the context of Rio+20 agenda is re-focusing work on sustainable development whose over-arching objectives and essential requirements are described as “poverty eradication, changing unsustainable and promoting sustainable patterns of consumption and production, and protecting and managing the natural resource base of economic and social development”. The QCPR (Quadrennial Comprehensive Policy Review) has identified five key

¹⁴ Source: Draft Revised Sixth National Development Plan (2013-2016), August 2013

development issues, namely:

- (i) Poverty Eradication as the greatest global challenge
- (ii) Sustainable development
- (iii) Gender equality and women's empowerment
- (iv) Transitions
- (v) Resilience

Drawing upon the above, the Vision of UNDP new corporate strategy 2014-2017 is ***“To help countries achieve the simultaneous eradication of poverty and significant reduction of inequalities using a sustainable human development approach.”***

The strategic plan identified three work areas as follows:

- **Area of Work 1:** *Sustainable development pathways that can eradicate extreme poverty and reduce social and economic inequality and exclusion*
- **Area of Work 2:** *Inclusive and effective democratic governance systems that can deliver sustainable solutions to poverty, inequality and exclusion*
- **Area of Work 3:** *Resilience-building so that countries can sustain their development gains in the face of shocks and rebound stronger*

It is evident that in the context of Zambia, work areas 1 and 2 are of immediate relevance and have resonance. These two areas should guide/form the basis for the re-positioning of UNDP's work in the country.

Constitutional Review Process

It is expected that the constitutional review process when completed will embed and institutionalize most of the regional and international instruments regarding human rights and democracy and will create and/or strengthen governance institutions in the country. This could open new possibilities and be a vital platform for UNDP's already recognized role and leadership. Furthermore, the concerns and issues in the UNDP corporate strategy under work area 2 are in congruence with developments in democratic governance space in Zambia.

Elements for a Proposed UNDP Re-positioning

The emerging focus of the revised SNDP, the constitutional review process in Zambia and the UNDP corporate strategy 2014-2017 show a strong degree of convergence around issues of poverty, inclusive growth and employment, environment, natural resources and climate change, and democratic governance, including gender and women's empowerment.

Locally the UNCT has also identified two signature issues: (i) poverty and inequality¹⁵; and (ii) Young people¹⁶. On poverty and inequality, the analysis shows that despite strong growth and macro-economic

¹⁵Addressing the multiple dimensions of Poverty and Inequality in Zambia – Beyond the MDGs. UN Zambia Signature Issues Series - #2 By George Lwanda [UNDP] and Paul Quarles van Ufford (UNICEF)

performance, poverty has remained persistently high and inequalities are widening. The poor, especially the extremely poor are concentrated in rural areas whereas the non-poor are concentrated in the urban areas. Poverty levels are high among female-headed households, those less educated and the young (0-18 years). In terms of inequality, a national quintile expenditure ratio in Zambia is 15, which implies that the expenditure of the richest 20% of the population is 15 times greater than the expenditure of the poorest 20%. Similarly the 2013 UNDP Human Development Report shows for Zambia a quintile income ratio of 16.6 which implies that the income of the richest 20% of the population is 16.6 times greater than the income of the poorest 20%. Further indications of inequality are found with respect to access to basic services. Available figures as at (2008) showed Zambia's Gini coefficient, standing at (0.67), indicates a very unequal income distribution and is high as compared with other middle income economies such as Botswana (0.5 in 2008), Namibia (0.59 in 2009), Swaziland (0.515 in 2010) and South Africa (0.531 in 2009).

Based on the above analysis and conclusions emerging from review of UNDP programme implementation in the context of the 2011-2015 CPAP, the MTE recommends that going forward, UNDP focus on three inter-related programme areas:

- 4. Poverty eradication, local development and promotion of gainful employment**
- 5. Environment, natural resources management and climate change adaptation and mitigation**
- 6. Governance and gender**

The MTE further recommends that:

- a) Each of these areas should be developed as well integrated programme framework rather than formulated as several small scale separate projects. The latter often lack scale and impact, and impose high transaction costs for both UNDP and partners.
- b) To the extent possible, the three framework programmes should be designed and implemented with the DAO.
- c) Ensure that the specific elements within each of the proposed framework programmes are drawn directly from the revised SNDP – in particular Volume II dealing with the details of programming and budgets.

The justification for the choice of these three areas is largely based on the orientations of the UNDP corporate strategy, the revised SNDP and assessment of the weaknesses and strengths of UNDP Zambia. As noted earlier, a major weakness of the current programme is the lack of substantive interventions by UNDP on poverty and yet all analysis points to this as one of the biggest challenges that the country faces. UNDP's work on governance is clearly recognized and here it is a matter of consolidation.

¹⁶The Condition of Young People, UN Zambia Signature Issue Series [No1]. By Tapera Muzira (ILO); Mwansa Charity Njelesani (UNFPA); Jack Jones Zulu (UNECA)

With respect to environment, natural resources management and climate change, these are key priorities for Zambia's future growth and open up possibilities of substantial funding. Due to its cross cutting nature and available resources from various climate change financing windows this area of work would require a coordinated approach to support national access and sequencing. It is estimated that approximately \$250 million of financing will be available to Zambia between 2012 and 2015. The area of sustainable land management offers an opportunity to support the Government in a cross-sectoral manner to address some of the tensions between agriculture and forestry; look at financing frameworks and address some elements of the decentralization policy.

The question of how to handle HIV and AIDS work is crucial and needs further reflection. However, the MTE is of the view that focus on this area of work has been important but has crowded out attention from poverty and inequality issues in UNDP's work. Given a likely change in the future on the epidemic, it is recommended a gradual and responsible phase out strategy be developed by UNDP.

The MTE is of the view that a greater internal capacity within UNDP Zambia for policy dialogue, advocacy, and technical support is necessary as Zambia increasingly develops its capacity for self-financed development and progressively transitions out of aid. Such a role for UNDP will have implications for staff quality and operational procedures in order to create the space and time to engage. The role of the SPU becomes critical in terms of the support for data collection and analysis to programmes.

Annex 1: Terms of Reference

1 – Country background

Zambia's economy has shown positive growth over the last decade with GDP growth increasing from 3.3% in 2002 to 7.3% in 2012. In 2013, the economy is projected to grow to over 7% with single digit inflation below 6%. According to the 2010 census, Zambia's economy is primarily driven by Mining, Agriculture, Construction, Transport and Communication sectors. The country has prudent monetary and fiscal policies with a relatively stable exchange rate policy, helping to maintain external competitiveness. Following Zambia's classification as a lower MIC, external aid is seen as less important to the domestic resource base. Consequently, the country successfully raised a 10-year sovereign bond of US\$ 750 million at the most favorable price ever secured in sub-Saharan Africa for a first issue. These resources are intended to finance the infrastructure investments in roads, rail, health and energy, which are expected to boost growth by up to 2 % per annum in the next 3-5 years.

The country remains vulnerable to external shocks, with a sluggish global economic recovery which is a concern for its key mining exports. Agricultural productivity is poor, still dependent on rain-fed and underutilized water resources. This combined with increasing food prices, extremely low access to energy services and unpredictable climate trends threaten to increase numbers of people below the poverty line. Interest rates have continued to be high and therefore a barrier to accessing credit, especially for small businesses.

Zambia's robust economic growth has failed to translate into significant progress in human development. The country's HDI in 2011 was 0.430 & it ranked 164 out of 187 countries. The incidence of extreme poverty (42%, 2010) although declining is still high & falls short of the MDG target (29%). Income inequality at 0.65 in 2010 is very high for most of the people, especially in rural areas, who have not benefited from the increase in national income and high growth rates. The high unemployment rate (13.0%, 2010 census) requires the country to generate decent jobs and socio-economic transformations that will create opportunities for the many youths who are unemployed (63% of urban youths). Whilst significant progress has been made in primary education, there are still challenges with issues of quality and gender disparities in secondary and tertiary education. The number of women in parliament (11%) is still far below the SADC/MDG target of 30%. There are still an alarming number of cases of gender based violence; in 2012 alone there were 9,560 GBV cases reported. Child and maternal mortality although declining, are still very high and are not likely to reach the MDG target in 2015. While HIV prevalence continues to fall (currently 14.3%), incidence is high at 0.96 among males and 1.25 among females (2011) calling for accelerated implementation of high impact prevention programs such as treatment for prevention. Ensuring environmental sustainability has remained a challenge for Zambia, with high rates of deforestation estimated at 250,000 to 300,000 ha per year & low access to improved drinking water, sanitation and clean energy.

Zambia launched its Sixth National Development Plan (SNDP 2011-2015) in February 2011 which prioritizes infrastructure and human capital as the core elements to address growth and human development. The Plan identifies low labour productivity and concentration of growth in highly capital-

intensive and urban-based sectors like mining, construction and services as having adversely affected poverty reduction strategies in Zambia. Further, the SNDP identifies poor infrastructure, low quality of human capital, high costs of financial services, inefficiencies in public expenditure management and limited access to land as the constraining factors to more broad based economic growth, reducing inequality and poverty reduction. Other factors that constrain Zambia's sustainable development process are: high rates of deforestation, impact of climate change, HIV and AIDS, high level of gender inequality and weak institutional capacities, particularly at sub national levels.

The Government is currently reviewing the SNDP, with a view to aligning it to the Patriotic Front's priorities which encompass improving democratic governance, redistributing wealth & reducing unemployment especially among the youth. About 200 000 jobs are expected to be created as outlined in the National Strategy for Industrialization and Job creation which prioritizes agriculture, tourism, manufacturing and infrastructure development. To further improve quality of life, the development strategy in 2013 will also focus on improving service delivery in secondary and tertiary education, health, housing, and water and sanitation.

It is expected that the draft Constitution will be finalized in 2013 and Zambia will revert to the Human Rights Council on the UPR recommendations.

2 – Country Programme Context

The 2011-2015 Country Programme along with its Country Programme Action Plan (CPAP), define the areas of mutual cooperation between the Government of the Republic of Zambia (GRZ) and UNDP for the five-year period from 2011 to 2015. This programme is expected to contribute to: the reduction in poverty, income and gender inequalities; increased capacity of national institutions and non-state actors for rights based service delivery and inclusive development; and foster sustainable development, among others. Through these areas of support, the programme is expected to contribute to the achievement of MDGs in the short to medium term and Zambia becoming a Middle Income Country by 2030.

The development of the 2011-2015 Country Programme was informed by an Assessment of Development Results (ADR) for the period from 2002 to 2009 which also covered the period for the 2007-2010 Country Programme. The four main lessons from the ADR taken into account during the development of the 2011-2015 Country Programme were as follows:

5. The need to reduce the number and spread of projects to ensure greater impact and alignment with the Sixth National Development Plan.
6. Greater analysis of the human development impact of development policies and programmes.
7. More targeted integration of gender equality issues and women's empowerment.
8. More effective partnering and collaboration within the UN system to enable a move towards Delivering as One.

UNDP Zambia also designed the Country Programme 2011-2015 in line with the Government's Sixth National Development Plan (SNDP) and the United Nations Development Assistance Framework

(UNDAF) 2011-2015. It is also aligned with the UNDP Strategic Plan (2008- - 2013) The 2011-2015 Country Programme has been designed to respond to the above lessons through interventions under the following three pillars:

- i) HIV&AIDS and Poverty Reduction;
- ii) Climate change and natural resources;
- iii) Governance and gender.

The Country Programme seeks to support the implementation of the SNDP focusing on the cross cutting areas through the following three interrelated strategic objectives:

- iv) Enhanced Government capacities at central and local levels for fostering accelerated and inclusive economic growth, diversification of the economy and improved governance of HIV& AIDS responses;
- v) Increased national capacities at central and local levels for natural resources management, response to climate change, environment protection and disaster risk reduction; and
- vi) Increased national capacities for fulfillment of Human Rights, Gender Equity and effective service delivery.

The outcomes of the 2011-2015 Country Programme and Country Programme Action Plan are as follows:

- 17. Government and its partners develop and implement social protection policies and strategies to mitigate the impact of HIV
- 18. Government and partners coordinates a harmonized and sustainable multi-sectoral HIV response by 2015
- 19. Government and partners enable vulnerable populations to be food secure by 2015.
- 20. Targeted groups have increased access to gainful and decent employment by 2015
- 21. Government promotes adaptation and provides mitigation measures to protect livelihoods from climate change
- 22. Government implements policies and legal frameworks for sustainable community based natural resources management by 2015
- 23. Individuals with increased knowledge and ability to claim human rights for effective participation in development and democratic processes by 2015
- 24. Reduced legal and cultural barriers to gender equality by 2015

To the extent possible and as applicable, interventions in each area expected to be measured by the following three “markers of success”:

- i) Institutional capacity development through leadership and accountability;
- ii) Gender equality and equity ensuring women and men share the same opportunities;
- iii) The impact of policies and programmes on human development in particular on how they affect more vulnerable populations, through the lens of access, equity and distribution.

The United Nations in Zambia is a “self-starter” Delivering as One” country. UNDP is part of the effort to deliver common results. Under the recently approved UNDAF, UNDP is involved in the UNDAF outcome areas related to HIV&AIDS, Climate Change and Environment, and Governance and Gender. In addition, UNDP’s assistance is part of the Cooperating Partner Joint Assistance Strategy for Zambia II (JASZ 2011-2015) which outlines a division of labour (DoL) in line with the principles of the Paris Declaration and in alignment with division of labour agreed between the Government and Cooperating partners. The UN is a signatory to the JASZ and UNDP has been leading Cooperating Partner groups on Governance (with DFID and EU); Gender (with DFID and Ireland); and Environment (with Finland and the World Bank) under the above DoL.

Regular resource allocation for the UNDP country programme over the 2011-2015 period is foreseen at US\$29,200,000, subject to the availability of funds. Working closely with Government and other UN partners, UNDP plans to mobilise an additional US\$15,000,000 as non-core resources, subject to donor interest. These amounts exclude resources for Global Fund projects.

The Mid-Term Evaluation (MTE) of the Country Programme (2011-2015), as stipulated in the signed Country Programme Action Plan, provides an excellent opportunity to bring together the recent developments in external and internal programming context with an analysis of progress towards expected five-year results and lessons learned from Country Programme implementation since 2011. The findings, conclusions, and recommendations resulting from this mid-term evaluation are expected to allow the Government of Zambia and UNDP to make necessary and timely adjustments to the Country Programme results framework and implementation strategy in order to ensure effective and sustainable roll-out of the second half of the five-year programming period. This MTE will also be conducted after the Government has revised the SNDP to align it to shifts in government policy after the Change of Government in 2011.

3 – Purpose and Objectives of the Mid-term Evaluation

The main purpose of the Mid-Term Evaluation (MTE) is to assess progress towards the achievement of results of the 2011-2015 Government of Zambia – UNDP Country Programme and Country Programme Action Plan, to evaluate its strategic contribution to national development results on HIV and Poverty Reduction, Climate Change and Natural Resources and Governance and Gender in Zambia, and to identify possible mid-course adjustments to programme design and implementation strategy.

The specific objectives of the mid-term evaluation are as follows:

Objective 1: Programmatic Progress;

- Evaluate the progress towards achievement of the eight CPAP outcomes as identified in the CPD and Country Programme Action Plan for 2011-2015;

Objective 2: Strategic relevance;

- Evaluate UNDP's strategic contribution and relevance of its Country programme to the SNDP and national development goals in the chosen areas of support and identify possible mid-course adjustments to programme design and implementation strategy.

Objective 3: Assessment of Partnerships

- Review and assess the Programme's partnership with the government, civil society and private sector, Cooperating Partners in Programme implementation;

Objective 4: Lessons learnt and recommendations

- Identify lessons learned, constraints, challenges and opportunities and determine what mid-course adjustments are required in programme focus, results framework, implementation and funding strategy, management arrangements, and in monitoring and evaluation to achieve the stated/revised programme results;

4 – Scope and Focus

The evaluation will cover the period from the start to the Mid-point (January 2011 to June 2013) of the 2011-2015 Country programme. It is a joint undertaking between the Government of the Republic of Zambia and UNDP, with close involvement of other UN agencies, Cooperating Partners and non-governmental organisations. It will address the following questions for all the above eight outcomes and their related outputs:

4.1 Effectiveness and sustainability(Take stock of progress made towards achievement of Programme Component Results and Intermediate Results, in accordance with the results framework)

Questions:

- *What has been the progress towards the achievement of planned results of the Country Programme?*
- *What are the main factors that contributed to the realization or non-realization of the pre-specified results?*
- *What results have been achieved that were not planned or anticipated in the CP? Why/how were these unplanned results achieved?*
- *To what extent have achieved results improved systems, processes and capacities of targeted institutions at national levels and as applicable, at district and community levels and are they likely to continue generating results for the second half of the country programme and beyond?*
- *How has UNDP used the UN and Bilateral environment to better leverage resources and sustain results?*
- *To what extent and in what ways could the results achieved or being achieved be replicated or mainstreamed in national policies, programmes, and institutions?*

- In light of the above, review the appropriateness and measurability of the stated programme results and their corresponding indicators, and as relevant, formulate recommendations for revisions.

4.2 Efficiency (Analyse the funding situation and financial implementation of programme components, including how economically the project uses the resources at its disposal)

Questions:

- *From the perspective of both UNDP and Government counterparts, is the programme component adequately resourced?*
- *Are results satisfactory in view of the costs incurred (i.e. relation between results achieved and investment)?*
- *Have the results been achieved at an acceptable cost compared to alternative approaches of accomplishing the same objectives and results.*
- *What was the rate of implementation of major planned activities to deliver anticipated results and annual budgets (Regular Resources and Other Resources)? What were the bottlenecks?*
- *To what extent was UNDP's support a catalyst in leveraging resources and mobilising other partners to achieve the stated results?*

4.3 Strategic relevance and comparative advantage (The extent to which the programme is the right solution to the challenges and can continue to generate results; Identify lessons learned, constraints, challenges and opportunities –as they relate to developments in the socio-economic development and policy context in Zambia, to the organisation-wide re-focus on equity, and to the role and contribution of other Cooperating Partners)

Questions:

- *How responsive is the Country Programme to shifting socio-economic development, environmental sustainability and political and policy contexts? To what extent is the country programme contributing to national development results (SNDP)/ is the programme addressing national priorities/creating ownership?*
- *Are there emerging issues which the country programme components are not addressing?*
- *How has the analytical work of UNDP fed into the programmes?*
- *How does the programme component coordinate with partners? Is the attribution of roles and responsibilities amongst the different partners in charge of implementation well defined and respected?*
- *How does the programme component address the organizational priorities, principles of contribution to institutional capacity development, gender equality and human development?*

4.4 Partnership(Assess the effectiveness of strategies used to build partnerships and how effective these partnerships have been in delivering planned results)

Questions

- *To what extent have the strategies for partnership building been effective in delivering intended results?*
- *What have been the range and quality of partnerships developed with government, civil society, cooperating partners, and private sector?*
- *How has the programme contributed to development effectiveness, within the context of the JASZII?*

4.5 UNDAF (Assess contribution towards relevant UNDAF results and feed into the UNDAF Final Evaluation, expected to be undertaken in 2014)

Questions:

- *To what extent have the results under the programme component contributed to the achievement of UNDAF results?*
- *What are the main factors that contributed to the realization or non-realization of the pre-specified contribution to UNDAF results?*
- *What has been learned with respect to collaboration with other UN agencies, including in terms of working in outcome groups, knowledge management, and sub-national collaboration and convergence?*

6 -Process and Methodology

The evaluation will be expected to apply appropriate and to the extent possible apply compelling approaches to increase the validity of the findings. This will build on an existing pool of programme documents, monitoring reports for the Country Programme and individual programmes and projects, project and programme evaluation reports, as well national and international reports with information on the Country's development plans and results. The evaluation methods will include, but will not be limited to the following provided they are agreed at the inception phase:

a) Desk Review of Project Documentation

Review (as necessary) of documents related to the Country Programme, as well as background material used for the preparation of the programme. The main documents to be reviewed will include but are not limited to the following:

- UNDP Corporate Policy Documents
- Handbook on Monitoring and Evaluation for results
- UNDP Guidelines for Outcome Evaluators
- UNDP Result-Based Management: Technical Note
- Quality criteria for Evaluation Report
- Ethical Code of conduct for Evaluation in UNDP
- UNDP Strategic Plan

- Country Programme Document (CPD), 2011-2015
- Country Programme Action Plan (CPAP), 2011-2015
- United Nations Development Assistance Framework (UNDAF), 2011-2015
- Programme and Project Documents for the 2011 Country Programme
- Project and Programme Annual Work Plans and Annual Progress Reports 2011,2012, 2013
- UNDP Zambia ROAR 2011,2012
- Integrated Workplans 2011,2012,2013
- Annual Programme Review Reports
- Project Documents
- National MDG Report
- NHDRs and Publications
- Evaluation Reports

Other documents

- Sixth National Development Plan 2011-2015
- JASZ II (2011-2015)
- Gender Empowerment Strategy
- Mid-term review of the National AIDS Strategic Framework (expected in May 2013)
- National HIV and AIDS strategic Framework (NASIF) for 2011-2015
- National Adaptation Plan of Action
- 2010 census report
- Other national and appropriate (impartial and unbiased) regional and international reports with data and information on elections in Zambia during the reference period.

Other Data Collection methods will include but will not be limited to the following:

- In depth interviews with key informants from the National Executing Agency (Ministry of Finance-MOF), Implementing Partner Organisations, and Targeted Beneficiary Organizations and Communities.
- Field visits to various project sites to verify reported progress and triangulate information obtained from the desk review and In-Depth Interviews.
- Hold Focus Group Discussions as necessary and to the extent possible with targeted and beneficiaries community members.
- Case studies for comprehensive examination and cross comparison of cases to obtain in-depth information.

The evaluation also has a substantive focus on capacity development in line with the focus on the Country Programme and thus will require an application of capacity assessment skills and tools. The evaluation will be carried out in accordance with the both OECD DAC and UNEG/UNDP evaluation

guidelines and standards that together emphasize the need for: Independence, Credibility, Utility, Impartiality, Transparency, Disclosure, Ethics, and Participation.

UNEG evaluation Guidelines can be accessed and down loaded at:

www.uneval.org/normsandstandards

The main deliverables of the evaluation should include, at a minimum, the following:

- a) **Inception Report:** The evaluators will be expected to produce an inception report which should include at a minimum, an evaluation design matrix and details of the proposed methodology, tools, and a plan of activities to be conducted along with their costs.
- b) **Draft Evaluation Report and a PowerPoint presentation:** The evaluators will produce and present a draft Evaluation Report to a validation meeting. The validation meeting will then provide comments, corrections and other submissions from stakeholders for consideration by the consultants in the finalization of the report.
- c) **Final Evaluation Report:** After incorporating comments from the reviews and validation meetings, the evaluators will be expected to submit four (4) original copies and final Microsoft Word and PDF versions of the final report. Any other applications used to analyze the data and products associated with the assignment such as datasets, analysis plans, transcripts, collation and aggregation tables, e.t.c. will also be expected to be submitted in soft copy.

7- Management Arrangements

The MTR will be coordinated by the Government of Zambia and UNDP Zambia. On the Government side, the process will be led by the Ministry of Finance. UNDP and the Ministry of Finance through the Monitoring and Evaluation and Planning Departments will establish a Committee, which, among other things, will ensure adequate linkages with the UNDAF and national reporting systems in supported sectors. Other Government Ministries, including the Cabinet Office Policy and Analysis Unit, UN agencies and relevant Cooperating Partners will be consulted as part of the evaluation process and are expected to participate in quality assurance processes. Within UNDP Zambia, the MTR will be managed by the M&E Officer with the support of a task force.

8 – Team Composition

The evaluation team will consist of 2 **independent consultants**; one International Team Leader, and one national consultant.

Qualification requirements for the international Team Leader

- Higher education (a degree) in development studies, economics, international relations, social sciences or relevant disciplines;
- At least 10 years' experience in conducting results-based evaluations or completed at least 7 evaluations as a team leader or sole evaluator, with strong working knowledge of the civil

society sector and working with national authorities in the field of pro poor economic growth and poverty reduction and/or, governance and gender and/or environment and climate change.

- At least 3 years work experience at a Senior Management level or completion of at least five (5) strategic plans or capacity assessments as a team leader or sole evaluator.
- Experience in applying SMART indicators and reconstructing or validating baseline scenarios;
- Minimum 7 years professional expertise in international development co-operation, in programme evaluation, impact assessment and strategic recommendations for continued support/development of programming/strategies including strong reporting skills;
- Good professional knowledge of Lower MIC environments and Africa experience;
- Extensive experience in working with the donors;
- Demonstrated analytical, communication and report writing skills;
- Teamwork capacity to work with the target group representatives;
- Fluency in written and spoken English.

The Evaluation Team Leader will have overall responsibility for the quality and timely submission of the final evaluation report to UNDP. Specifically, the team leader will perform the following tasks:

- Plan, lead and manage the evaluation mission;
- Review documents
- Design the detailed evaluation scope and methodology and approach;
- Ensure efficient division of tasks between the team members;
- Conduct the evaluation in accordance with the proposed objective and scope of the evaluation;
- Draft and communicate the evaluation report;
- Finalize the evaluation report in English and submit it to UNDP.

Qualification requirements for the National Consultant:

- University degree in development studies, economics, international relations, social sciences or relevant disciplines;
- At least 3-5 years of professional experience with Government agencies, Zambian institutions, NGOs, academia and/or international organizations
- Deep knowledge and understanding of development in Zambia;
- At least 5 years work experience in conducting evaluation in pro poor economic growth and poverty reduction and/or, governance and gender and/or environment and climate change or completion of three Programme/Country programme evaluations as lead or sole evaluator.
- Good communication and presentation skills
- Knowledge of English language

S/he will perform the following tasks:

- Review documents;

- Participate in the design of the evaluation methodology;
- Conduct the evaluation in accordance with the proposed objective and scope of the evaluation;
- Draft related parts of the evaluation report ;
- Assist the Team Leader in finalizing the draft evaluation report through incorporating suggestions received.

8 – Timeline

The evaluation will last **31 working days**, beginning on 1 May 2013 and finishing by the 31 August 2013 in accordance with the following schedule:

Activity	Timeframe	Place	Responsible Party
Desk review, Evaluation design, methodology and detailed work plan, and access to relevant reports Deliverable: inception report	5 days	On-line	Evaluation team
Field Mission, (including initial briefing on first day and final debriefing on last day) Deliverable: 1st draft report and PowerPoint presentation	18 days	Zambia	Evaluation Team, UNDP Zambia
Preparation of draft evaluation report for comments by Government/CO and participation in validation meeting Deliverable: consolidated comments	6 days	On-line	Evaluation Team
Submission of final evaluation report	2 day	On-line	Evaluation Team

to UNDP Zambia			
Deliverable: final evaluation			

9.0 Remuneration

The daily rate for consultancy fees will depend on the level of education and experience of each individual evaluator. Consultants are expected to explicitly indicate their daily rates when applying for this evaluation. Payments will be made in US\$ for the international consultant and in local currency at prevailing UN exchange rates for the National Consultant. The evaluators will receive the payments in the following instalments:

%	Milestone
0%	At contract signing
0%	Following presentation and acceptance of Inception Report;
40%	Following submission and approval of the 1ST draft evaluation report
60%	Following submission and approval (GRZ-UNDP Quality Assurance Team) of the final evaluation report

Evaluation Report Outline

Evaluation Report Template¹⁷

This is an outline for an evaluation report. It does not follow a prescribed format but simply presents one way to organize the information. Project evaluations should employ a similar structure and emphasize results, although they may differ somewhat in terms of scope and substance.

OPENNING PAGE (S)

- Programme Title
- Date of Evaluation Report
- National Executing Agency, Implementing Partners
- Evaluation Team Members
- Acknowledgements.

Table of Contents

Acronyms

EXECUTIVE SUMMARY

- Context and purpose of the evaluation.
- Scope and Methodology
- Main findings and conclusions, lessons learned and recommendations.

INTRODUCTION

- Why was this evaluation commissioned? (refer back to the rationale for including this evaluation in the CPAP)
- What is the purpose of the outcome evaluation? Is there any special reason why the evaluation is being done at this point in time? (is this an early, mid-term or late evaluation in the Country Programme)
- Scope of the Evaluation. What products are expected from the evaluation? (should be stated in TOR)
- What was the methodology used for the evaluation? (should be stated in the TOR)
- What is the structure of the evaluation report? (how the content will be organized in the report)

¹⁷ This format is also presented in the annex to the Guidelines for Outcome Evaluators ([Guidelines for Outcome Evaluators](#)).

THE DEVELOPMENT CONTEXT

- When and why did UNDP begin working towards the selected outcomes and for how long has it been doing so? What are the problems that the outcome is expected to address?
- Who are the key partners for the outcome? The main stakeholders? The expected beneficiaries?
- What have been the major developments during the period under review that may have enhanced or hindered the achievement of results?

FINDINGS AND CONCLUSIONS

The findings and conclusions of the evaluation report should reflect the scope presented in the TOR. There should be some flexibility for the evaluation team to include new issues that arise during the course of the evaluation. The findings and conclusions in the report will take their lead from the nature of the exercise. If the purpose of the outcome evaluation was to learn about the partnership strategy, the findings and recommendations may address issues of partnership more than the other elements listed below. If the purpose was for mid-course adjustments to outputs produced by UNDP, the report findings and conclusions might give some more emphasis to issues related to UNDP's contribution to the outcome via outputs. The section on findings and conclusions should include the **ratings** assigned by the outcome evaluator to the outcome, outputs and, if relevant, to the sustainability and relevance of the outcome.

Code	Rubric for assigning rating	Value
HS	Highly Satisfactory: All parameters were fully met and there were no shortcomings in the evaluation report	6
S	Satisfactory: All parameters were fully met with minor shortcomings in the evaluation report	5
MS	Moderately Satisfactory: The parameters were partially met with some shortcomings in the evaluation report	4
MU	Moderately Unsatisfactory: More than one parameter was unmet with significant shortcomings in the evaluation report	3
U	Unsatisfactory: Most parameters were not met and there were major shortcomings in the evaluation report	2
HU	Highly Unsatisfactory: None of the parameters were met and there were severe shortcomings in the evaluation report	1

The sections of the report for each outcome will be guided by the scope provided in section four (4) of this report.

RECOMMENDATIONS

Flowing from the discussion above, the section on recommendations should answer the following question:

- What corrective actions are recommended for the new, ongoing or future UNDP work in this outcome?

LESSONS LEARNED

- What are the main lessons that can be drawn from the outcome experience that may have generic application?
- What are the best and worst practices in designing, undertaking, monitoring and evaluating outputs, activities and partnerships around the outcome?

ANNEXES

Annexes are to include the following: TOR, itinerary and list of persons interviewed, summary of field visits, questionnaire and data collection checklists used and summary of results, list of documents reviewed and any other detailed materials and tables to be referred to in the document.

Overall, the report is expected to reflect the following additional quality aspects:

Table 8. A Good Evaluation Report is...	A Weak Evaluation Report is...
<ul style="list-style-type: none">• impartial• credible• balanced• clear and easy to understand• information rich• action oriented and crisp• focused on evidence that supports conclusions	<ul style="list-style-type: none">• repetitious• too long• unclear and unreadable• insufficiently action oriented• lacking hard data and relying on opinion• poorly structured and lacking focus on key findings• lacking comprehension of the local context• vague in its findings

Source: Adapted from DAC review of principles for evaluation of development assistance, 1998

Annex 2: Evaluation Methodological Framework

Evaluation Objective	Key Evaluation Questions/Areas of Assessment	Methods of Assessment/	Data Sources ¹⁸	Relevant Institutions/Persons
Objective 1: Programmatic Progress <i>Evaluate the progress towards achievement of the eight CPAP outcomes as identified in the CPD and Country Programme Action Plan for 2011-2015</i>	Effectiveness <ul style="list-style-type: none"> - What has been the progress towards the achievement of planned results of the Country Programme? - What are the main factors that contributed to the realization or non-realization of the pre-specified results? - What results have been achieved that were not planned or anticipated in the CP? Why/how were these unplanned results achieved? - To what extent have achieved results improved systems, processes and capacities of targeted institutions at national levels and as applicable, at district and community levels and are they likely to continue generating results for the second half of the country programme and beyond? - How has UNDP used the UN and Bilateral environment to better leverage resources and sustain results? - To what extent and in what ways could the results achieved or being achieved be replicated or mainstreamed in national policies, programmes, and institutions? 	Documents Review Interviews with UNDP Staff Interviews with key government officials Interviews with programme/project staff Interviews with relevant stakeholders Focus group discussions Field visits and observations	Documents reviewed Interviews FGDs	UNDP Staff Relevant government Ministry staff UN agency staff CSO Project Beneficiaries Development partners Other Stakeholders
	Efficiency <ul style="list-style-type: none"> - From the perspective of both UNDP and Government counterparts, is the programme component adequately resourced? - Are results satisfactory in view of the costs incurred (i.e. relation between results 	Documents Review Interviews with UNDP Staff Interviews with key government officials Interviews with programme/project staff Interviews with relevant stakeholders Focus group discussions Field visits and observations	Documents reviewed Interviews FGDs	UNDP Staff Relevant government Ministry staff UN agency staff CSO Project Beneficiaries Development partners

¹⁸ See List of Documents in Annex 5

	<p>achieved and investment)?</p> <ul style="list-style-type: none"> - Have the results been achieved at an acceptable cost compared to alternative approaches of accomplishing the same objectives and results. - What was the rate of implementation of major planned activities to deliver anticipated results and annual budgets (Regular Resources and Other Resources)? What were the bottlenecks? - To what extent was UNDP's support a catalyst in leveraging resources and mobilising other partners to achieve the stated results? 			Other Stakeholders
	<p>UNDAF Contribution</p> <ul style="list-style-type: none"> - To what extent have the results under the programme component contributed to the achievement of UNDAF results? - What are the main factors that contributed to the realization or non-realization of the pre-specified contribution to UNDAF results? - What has been learned with respect to collaboration with other UN agencies, including in terms of working in outcome groups, knowledge management, and sub-national collaboration and convergence? 	<p>Documents Review</p> <p>Interviews with UNDP Staff</p> <p>Interviews with key government officials</p> <p>Interviews with programme/project staff</p> <p>Interviews with relevant stakeholders</p> <p>Focus group discussions</p> <p>Field visits and observations</p>	<p>Documents reviewed</p> <p>Interviews</p> <p>FGDs</p>	<p>UNDP Staff</p> <p>Relevant government</p> <p>Ministry staff</p> <p>UN agency staff</p> <p>CSO</p> <p>Project Beneficiaries</p> <p>Development partners</p> <p>Other Stakeholders</p>
<p>Objective 2:</p> <p>Strategic relevance</p> <p><i>Evaluate UNDP's strategic contribution and relevance of its Country programme to the SNDP and</i></p>	<ul style="list-style-type: none"> - How responsive is the Country Programme to shifting socio-economic development, environmental sustainability and political and policy contexts? To what extent is the country programme contributing to national development results (SNDP)/ is the programme addressing national priorities/creating ownership? 	<p>Documents Review</p> <p>Interviews with key national policy makers</p> <p>Donor interviews</p> <p>Interviews with UNDP Management</p> <p>Focus group discussions with UNDP staff</p>	<p>Documents reviewed</p> <p>Interviews</p> <p>FGDs</p>	<p>UNDP Staff</p> <p>Relevant government</p> <p>Ministry staff</p> <p>UN agency staff</p> <p>CSO</p> <p>Project Beneficiaries</p> <p>Development partners</p> <p>Other Stakeholders</p>

<p><i>national development goals in the chosen areas of support and identify possible mid-course adjustments to programme design and implementation strategy.</i></p>	<ul style="list-style-type: none"> - Are there emerging issues which the country programme components are not addressing? - How has the analytical work of UNDP fed into the programmes? - How does the programme component coordinate with partners? Is the attribution of roles and responsibilities amongst the different partners in charge of implementation well defined and respected? - How does the programme component address the organizational priorities, principles of contribution to institutional capacity development, gender equality and human development? 			
<p>Objective 3: Assessment of Partnerships</p> <p><i>Review and assess the Programme's partnership with the government, civil society and private sector, Cooperating Partners in Programme implementation</i></p>	<ul style="list-style-type: none"> - To what extent have the strategies for partnership building been effective in delivering intended results? - What have been the range and quality of partnerships developed with government, civil society, cooperating partners, and private sector? - How has the programme contributed to development effectiveness, within the context of the JASZII? 	<p>Documents Review</p> <p>Interviews with UNDP Staff</p> <p>Interviews with key government officials</p> <p>Interviews with programme/project staff</p> <p>Interviews with relevant stakeholders</p> <p>Focus group discussions</p> <p>Field visits and observations</p>	<p>Documents reviewed</p> <p>Interviews</p> <p>FGDs</p>	<p>UNDP Staff</p> <p>Relevant government</p> <p>Ministry staff</p> <p>UN agency staff</p> <p>CSO</p> <p>Project Beneficiaries</p> <p>Development partners</p> <p>Other Stakeholders</p>
<p>Objective 4: Lessons learnt and recommendations</p> <p><i>Identify lessons learned, constraints,</i></p>	<p>Programme focus</p> <ul style="list-style-type: none"> - Assessment of programme focus vis-à-vis the national priorities and linkage to UNDAF - Assessment of design of the programmes 	<p>Documents Review</p> <p>Interviews with UNDP Staff</p> <p>Interviews with key government officials</p> <p>Interviews with programme/project staff</p> <p>Interviews with relevant stakeholders</p> <p>Focus group discussions</p> <p>Field visits and observations</p>	<p>Documents reviewed</p> <p>Interviews</p> <p>FGDs</p>	<p>UNDP Staff</p> <p>Relevant government</p> <p>Ministry staff</p> <p>UN agency staff</p> <p>CSO</p> <p>Project Beneficiaries</p> <p>Development partners</p> <p>Other Stakeholders</p>

<i>challenges and opportunities and determine what mid-course adjustments are required</i>	<u>Results framework</u> <ul style="list-style-type: none"> - Review of indicators and targets of the results framework 	Documents Review Interviews with UNDP Staff Interviews with key government officials Interviews with programme/project staff Interviews with relevant stakeholders Focus group discussions Field visits and observations	Documents reviewed Interviews FGDs	UNDP Staff Relevant government Ministry staff UN agency staff CSO Project Beneficiaries Development partners Other Stakeholders
	<u>Implementation and funding strategy</u> <ul style="list-style-type: none"> - Review of operational factors relating to fund disbursement, procurement, etc 	Documents Review Interviews with UNDP Staff Interviews with key government officials Interviews with programme/project staff Interviews with relevant stakeholders Focus group discussions Field visits and observations	Documents reviewed Interviews FGDs	UNDP Staff Relevant government Ministry staff UN agency staff CSO Project Beneficiaries Development partners Other Stakeholders
	<u>Management arrangements</u> <ul style="list-style-type: none"> - Internal programme management structures within UNDP - National programme coordination mechanisms - Coordination structures for programmes - Project implementation structures 	Documents Review Interviews with UNDP Staff Interviews with key government officials Interviews with programme/project staff Interviews with relevant stakeholders Focus group discussions Field visits and observations	Documents reviewed Interviews FGDs	UNDP Staff Relevant government Ministry staff UN agency staff CSO Project Beneficiaries Development partners Other Stakeholders
	<u>Monitoring and evaluation</u> <ul style="list-style-type: none"> - How adequate and functional is the M&E system in place - What are links with the UNDAF M&E framework? - What are the links with National M&E system for the SNDP? - Linkages with partner M&E system? - Regularity and quality of reporting – internal and partners - Feedback process from QTR reports 	Interviews with relevant UNDP staff Review of reports – QTR, Evaluation, Annual reports Interviews of IP staff	Documents reviewed Interviews FGDs	UNDP Staff Relevant government Ministry staff UN agency staff CSO Project Beneficiaries Development partners Other Stakeholders

Annex 3: List of Persons Met

Ministry of Finance

1. Chola Chabala – Director, National planning
2. Paul Lupunga – Chief Economist, Multilateral, Economic Management Department
3. Wamupu Akapelwa – M&E specialist
4. Crane Muleya – M&E Ag. Director
5. Josephine Mwenda– M&E Officer

Cabinet Office

6. Mr Kampasa Bernard – PS Policy Analysis and Coordination
7. Hichikumba Crusivia – Public Policy Specialist
8. Felix Phiri – Director, Policy Implementation

Ministry of Environment

9. Godwin Fishani Gondwe – Director, Environment and Natural resources
10. Deuteronomy Kasaro – REDD + National Coordinator
11. Elsie Attafuah – UNDP/REDD Technical Adviser

Ministry of Gender and Child Development

12. Christine Kalamwina – Director - Social, Legal and Governance (DSLGL)
13. Joy Chasha – Communications & Advocacy Specialist
14. Rose Namukwai – Programmes Officer
15. Yunike Zulu-Mutale – Gender Analyst
16. Victor Mbumwae – Specialist Information & Documentation
17. Changa Jill – UNDP Assistant programme Officer

Ministry of Community Development, Mother & Child Health

18. Patrick Phiri – Project Coordinator, Accelerating Localized Attainment of MDGs
19. Changano Ngoi – Chief Community Development Officer

Ministry of Health

20. Dr Peter Mwaba – Permanent Secretary
21. Dr Itone Muteba – Ag. DDSCR
22. C. Kaliki – Deputy Director

Parliament

23. Mrs Doris K. Mwinga - Clerk
24. Mr.Thokozani Kamanga – Principal Clerk
25. Mrs. Patricia Mumbi – Programme Officer

National AIDS Council

- 26. Dr. C. Chela – Director General
- 27. John Banda – Grants Management Coordinator

Human Rights Commission of Zambia (HRCZ)

- 28. Florence Chibwasha – Director
- 29. Katendi Kapina Nkombo – Deputy Director
- 30. Mrs Hope Ndlovu Chanda – Chief, research, Advocacy and Planning
- 31. Mrs Elizabeth C. Chileshe – Head, Human Resources & Administration (Focal Point)

Elections Commission of Zambia (ECZ)

- 32. Priscillia Mulenga Isaac – Director
- 33. Chomba Chella – Deputy Director, Elections
- 34. Brown Kasaro – Deputy Director, IT

Kazungula District Agriculture Office/Southern Province

- 35. Richard Nambwalu – DACO
- 36. Kaonga Tunde – SAO
- 37. Alex Mutah – Principal Technical Officer
- 38. Shibulo Shibulo – Snr Agricultural Supervisor
- 39. Catherine Bwali – Agricultural Supervisor
- 40. Lawrence Kabutu – Producer, TV and Video
- 41. Machona Kasambala – Programme Editor

Sikaunzwe Agriculture Camp

- 42. Mr. Grey Kanwo – Camp Extension Officer
- 43. Samakondo Gabriel - Senior Headman
- 44. Njamba McDonald – Bee Keeping Chairperson
- 45. Esnart Sandavu – Female Farmer, Mumbela Sikaunzwe Village

Kasaya Area Goat Keeping Group

- 46. Rhondowe Ruth – Chairperson
- 47. Kwandu Cris – Member
- 48. Liswaniso Mwangi – Secretary
- 49. Pelekelo Golden – Chairperson Crops
- 50. Charity Ndopu – Goat keeper
- 51. Mulemwa Mwangi – Goat Keeper

Ministry of Agriculture Provincial Office, Choma

- 52. Dr Max M. Chombe – PACO
- 53. Andrew Songiso – Snr irrigation Engineer

- 54. Brighton Miyanze – A/PACO
- 55. Joy Sinyangwe – Snr Land Husbandry Officer
- 56. Robert Tembo – Snr Field Crops Officer

Zambia Wildlife Authority

- 57. Zen Viahakis – Director General
- 58. Chilufya Edward – Ag Project Coordinator
- 59. Flavian Mupemo – Project Technical Coordinator (Reclassification Project)

Development Partners

- 60. David Lloyd Davies – DFID, First Secretary, Programme Manager
- 61. Mauri Starckman – Finnish Embassy, Counselor, Head of Cooperation
- 62. Torfinn Rislåa Arnsten – Norwegian Embassy, Minister Counselor
- 63. Chris Mahoney – USAID
- 64. Maurice Sadlier – Irish Embassy, Programme Officer

Association of Women Judges

- 65. Justice Elizabeth Muyorwe – President
- 66. Justice Florence Lengalenga – Vice President
- 67. Mungeni Mulenga – Committee Member (High Court Judge)
- 68. Sharon Kaunda – Deputy Registrar (Vice Secretary)
- 69. Tamara Gondwe – Senior Research Advocate, Secretary
- 70. Peter Chongo – Administrative Asst ZAWJ

Civil Society Organizations

- 71. Brian Banda – Programme Officer, JCTR
- 72. Maurice Mbolela – Executive Secretary, LGAZ/AMICAALL
- 73. Micah Mvula – FODEP, Asst to Executive Director
- 74. Sophie Kaoma – Finance & Admin Manager, ZLDC
- 75. Whitney Mulobella – Advocacy Officer, NGOCC
- 76. Zoonadi Ngwenya – Country Director, SAT Zambia
- 77. Shadreck Banda – Deputy Director, LAZ-NLACW
- 78. M. Simweete – Ag Coordinator, ZCCN
- 79. Dan Longwe – Programme Officer, LGAZ/AMICAALL

UNDP

- 80. Kanni Wignaraja – Resident Representative/UN Resident Coordinator
- 81. Viola Morgan – Country Director
- 82. Georgina Fekete – Deputy Country Director (DCD) Programmes
- 83. Dancillia Mukarubayiza – Deputy Resident Representative (DRR) Operations
- 84. George Lwanda – Economics Adviser
- 85. Elda Chirwa – National Economist

86. Ian Milimo – Assistant Resident Representative (Poverty & MDGs)
87. Winne Musonda, ARR, Environment
88. Michael Soko, ARR, Governance & Gender
89. Andson Nsune– M&E Analyst
90. Alphart Lungu – Programme Associate, SPU
91. Francis Mbilima – Programme Analyst, Poverty & MDGs
92. Fridah Daka – UNV Country Operations Assistant
93. Walimila Simwanza – Programme Associate, Poverty & MDGs
94. Excellent Hachileka -Climate Change Policy Specialist, Environment
95. Nancy Bwalya-Mukumbuta -Programme Officer, Environment
96. Velice Nangaro -Programme Associate,Environment
97. Chongo Simpasa -Programme Associate,Environment
98. Joseph Sakala -Procurement Associate,Environment
99. Laura Sinyama -Programme Associate,Environment
- 100.Biston Mbewe - Programme Officer, Environment
- 101.Leah C. Mulenga, Programme Associate - Governance & Gender
- 102.Dellia Mwale-Yerokun - Programme Analyst,Governance & Gender
- 103.Noora Nurminen - Intern, Governance & Gender
- 104.Royd Katongo– Programme officer, Governance & Gender
- 105.Elizabeth Bwalya– Procurement Associate
- 106.Stephen Kaunda – Finance Officer
- 107.Michael Kaira – Operations Analyst

UNDP/Global Fund

- 108.Blaise Karibushi – Project Manager, GFATM
- 109.Mildred Mushamba – PSM Specialist
- 110.Kazuhisa Yokomizo – Finance Specialist
- 111.Chali Chisala Selisho – M&E Officer

UNDAF Team

- 112.Vimbainashe Mukota – M&E Specialist (RCO)
- 113.Allan Mulando – WFP
- 114.Eric Chipeta – FAO
- 115.Lusako Sichali – UNICEF
- 116.Precious Zandonda – UNFPA
- 117.Mwilu Mumbi - UNFPA

Annex 4: Workplan-Field Data Collection and Interview Programme

S/N	CPAP Focus Area and Projects	Name of Organisation, Unit or Staff to be Interviewed	Location	Purpose	Date	Time
INCEPTION PHASE						
	Overall MTE	UNDP Management and Consultants	Online	Initial discussion on Assignment	27 May 2013	11.0am
	Overall MTE	UNDP Management and Consultants	Online	Preparation of Draft Inception Report	27 May-1 June	
	Overall MTE	UNDP Management and Consultants	Online	Discussion of Draft Inception Report		
1	N/A	Meeting between the National and International Consultant to touch base and plan for the data collection phase.	UNDP Country Office	To enable the consultants meet and plan for the scheduled meetings during the data collection period.	Mon, 10 th June, 2013	08:15-09:15 Hours
2	CPAP Programme Components	UNDP Zambia: Poverty and HIV and AIDS Units	UNDP Country Office	To enable consultants to have a good understanding of the areas of support, expected results, challenges and key lessons learnt in the thematic area and support sectors, and contribution to UNDAF and SNDP.	Mon, 10th June 2013	11:30-13:00 Hours
3	CPAP Programme Components	UNDP Zambia : Environment and Climate Change Unit	UNDP Country Office	To enable consultants to have a good understanding of the areas of support, expected results, challenges and key lessons learnt in the thematic area and support sectors, and contribution to UNDAF and SNDP.	Mon, 10th June 2013	14:00-15:30 Hours
4	CPAP Programme Components	UNDP Zambia: Governance and Gender Unit	UNDP Country Office	To enable consultants to have a good understanding of the areas of support, expected results, challenges and key lessons learnt in the thematic area and support sectors, and contribution to UNDAF and SNDP.	Mon, 10th June 2013	15:45-17:15 Hours
5	ALL CPAP	UNDP Zambia Senior Management	UNDP Country Office	To enable consultants to have a good understanding of the 2011-2015 Country Programme; Its linkages and contributions to the UNDAF and SNDP; alignment to AID Effectiveness, changes in global an Country context and major factors enabling or hindering achievement of planned results.	Tue, 11th June 2013	8:30-10:00 Hours
6	CPAP Resources	UNDP Zambia: Operations Unit	UNDP Country Office	To enable consultants to have a better	Tue, 11th June	09:30-11:00

S/N	CPAP Focus Area and Projects	Name of Organisation, Unit or Staff to be Interviewed	Location	Purpose	Date	Time
	and Operations			understanding of resources budgeted, mobilized, disbursed and spent for the 2011-2015 Country Programmes and operational and financial systems for effective implementation of the Country Programmes	2013	Hours
7	CPAP Monitoring and Evaluation	UNDP Zambia: Country Programme Monitoring and Evaluation	UNDP Country Office	To enable consultants to have a better understanding of systems and mechanisms for monitoring and evaluating the Country Programme and its programmes and projects.	Tue, 11th June 2013	11:30-12:45 Hours
8	Environment and Climate Change	Ministry of Lands, Natural Resources and Environmental Protection (MLNREP) Director - Natural Resource Management Office	Kwacha House	To pay a courtesy call on the PS and collect the data on environment and climate change and have a better understanding of the areas of support for UNDP programmes and UNDP's contribution to results in this area	Tue, 11th June 2013	14:30 -16:30 Hours
9	Gender	Ministry of Gender and Child Development (MGCD)	MGCD Offices (Government Complex)	To pay a courtesy call on the PS and collect the data on gender and have a better understanding of the areas of support for UNDP programmes and UNDP's contribution to results in this area	Wed, 12th June 2013	11:00-13:00 Hours
10	CPAP Programme components	Strategy and Policy Unit	UNDP Country Office	To enable consultants have a good understanding of UNDP's support to national planning, advocacy through analytical products and linkage between SPU's work and programmes	Wed, 12th June, 2013	14:00 -15:00 Hours
11	Poverty and HIV and AIDS	Ministry of Community Development, Mother and Child Health	MCDMCH Offices	To pay a courtesy call on the PS and collect the data on MCDMCH on Poverty programmes and have a better understanding of the areas of support for UNDP programmes and UNDP's contribution to results in this sector/thematic area	Wed, 12 th June 2013	15:30-17:00 Hours

S/N	CPAP Focus Area and Projects	Name of Organisation, Unit or Staff to be Interviewed	Location	Purpose	Date	Time
12	HIV and AIDS& Support to Health Systems	Ministry of Health (MoH) PS Dr. Peter Mwaba and Dr. Dean Phiri	MoH Offices	To pay a courtesy call on the PS and collect the data on MCDMCH on Poverty programmes and have a better understanding of the areas of support for UNDP programmes and UNDP's contribution to results in this sector/thematic area	Thurs 13th June 2013	10:00- 11:30 Hours
13	HIV and AIDS& Support to Health Systems	UNDP Zambia: Global Fund Unit	UN Annex House	To enable consultants to have a better understanding of UNDP's support to HIV&AIDS and health sector through global fund projects.	Thurs 13 th June 2013	11:45 - 13:00 hours
14	HIV and AIDS	National AIDS Council (NAC)	NAC Offices	Enable consultants collect the data on HIV and AIDS programmes and have a better understanding of the areas of support for UNDP programmes and UNDP's contribution to results in this sector/thematic area	Thurs 13 th June 2013	14:00- 16:45 Hours
15	Climate Change (Adaptation)	Ministry of Agriculture and Livestock Dept. of Agriculture (Biston Mbewe)	Ministry of Agriculture (Mulungushi House)	To pay a courtesy call on the PS and collect data on climate change adaptation and have a better understanding of the areas of support for UNDP programmes and UNDP's contribution to results in this area	Fri, 14 th June 2013	09:00 -11:00 Hours
16	Governance	Human Rights Commission	HRC Offices (Human Rights House)	Enable consultants to collect the data on Human Rights and have a better understanding of the areas of support for UNDP programmes and UNDP's contribution to results in this area	Fri, 14 th June 2013	11:00 -12:45 Hours
17	Governance	Electoral Commission of Zambia (ECZ)	Fringilla	Enable consultants to collect the data on UNDP's support to elections and have a better understanding of the areas of support for UNDP programmes and UNDP's contribution to results in this area	Fri, 14 th June 2013	14:00-16:30 Hours

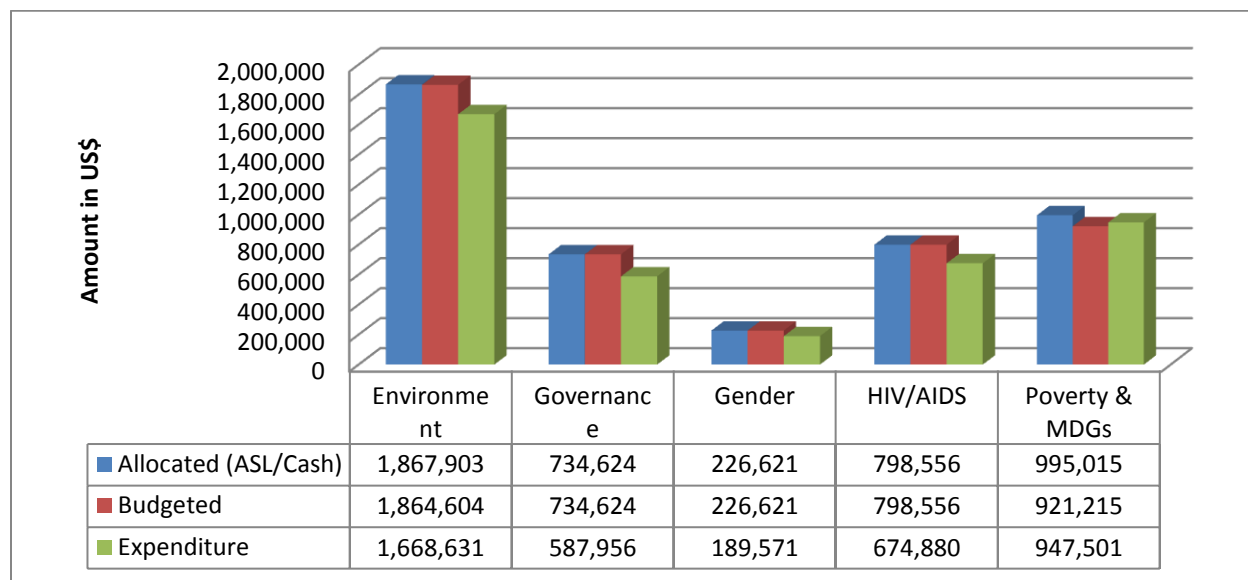
S/N	CPAP Focus Area and Projects	Name of Organisation, Unit or Staff to be Interviewed	Location	Purpose	Date	Time
18	Zambia Economic Outlook and linkages between the UNDP areas of support and the World Bank's Country Strategy.	World Bank	World Bank	To enable consultants to have a better understanding of the Country's Economic Outlook, the World Bank's Country Strategy and its linkages with UNDP's areas of support to National Development	Fri, 14th June 2013	
Visit to Kazungula Sunday 16-Tuesday 18 June 2013						
19	Environment	Zambia Wildlife Authority (ZAWA) (Director General's Office)	ZAWA Offices (Chilanga)	Enable consultants to collect the data on natural resource management and have a better understanding of the areas of support for UNDP programmes and UNDP's contribution to results in this area	Wed, 19 th June, 2013	09:00-11:00 Hours
20	Governance	Cabinet Office (Mr.Kampasa 2 nd Floor)	Cabinet Offices	Enable consultants to collect the data on government reforms and have a better understanding of the areas of support for UNDP programmes and UNDP's contribution to results in this area	Wed, 19 th June 2013	11:45-13:00 Hours
21	ALL CPAP Areas of Support	Cooperating Partners (Heads of Cooperation of Norway, Finland, Sweden, Netherlands, DFID, Ireland, EU, US and Canada) 1) Royal Norwegian Embassy 2) Embassy of Finland 3) Embassy of Netherlands 4) British High Commission, Prog. Manager/Team Leader – Mr. David Lloyd-Davis 5) USAID –Mr. Chris Foley, Project Development Specialist 6) Embassy of Ireland (was out of the Country, arrived today) to be advised	UNDP Country Office	Enable consultants to have a better understanding of the areas of the 2011-2015 CPAP supported by donors and UNDP's effectiveness in delivering AID funded programmes.	Wed, 19th June 2013	14:15 -16:30 Hours

S/N	CPAP Focus Area and Projects	Name of Organisation, Unit or Staff to be Interviewed	Location	Purpose	Date	Time
		Apologies 1. Embassy of Sweden (to attend July meeting) 2. European Union (has mission during same period and all involved) 3. Embassy of Canada (has prior engagement)				
22	ALL CPAP Areas of Support	Ministry of Finance	MoF Lusaka	To pay a courtesy call on the Secretary to Treasury, PS and have a better understanding of the level of ownership of UNDP supported programmes, joint mechanisms for programme development and quality assurance of the implementation and adaptation of the programme to changes in the Country Context.	Thur, 20 th June, 2013	09:00-12:00 Hours
23	Governance	National Assembly of Zambia (NAZ)	Parliament House	Enable consultants to collect the data on UNDP's support to the Parliamentary Reform Programme and have a better understanding of the areas of support for UNDP programmes and UNDP's contribution to results in this area	Thur, 20 th June 2013	14:00 -15:30 Hours
24	Gender	Association of Women Judges	Supreme Court	Enable consultants to collect the data on gender and legal services and have a better understanding of the areas of support for UNDP programmes and UNDP's contribution to results in this area	Thur, 20 th June 2013	15:45-17:00 Hours
25	ALL CPAP and UNDAF Areas	UNDAF Outcome Groups (Convener and Technical Leads)	UNDP Conference Room	Enable consultants to have a better understanding of UNDP's contribution to the UNDAF and Delivering as One.	Friday, 21 st June, 2013	09:00-11:00 Hours
27	CPAP All Areas	Civil Society Organizations and Other National Institutions	UNDP Conference Room	Enable consultants to have a better understanding of the areas where UNDP works with civil society and the contribution made by		

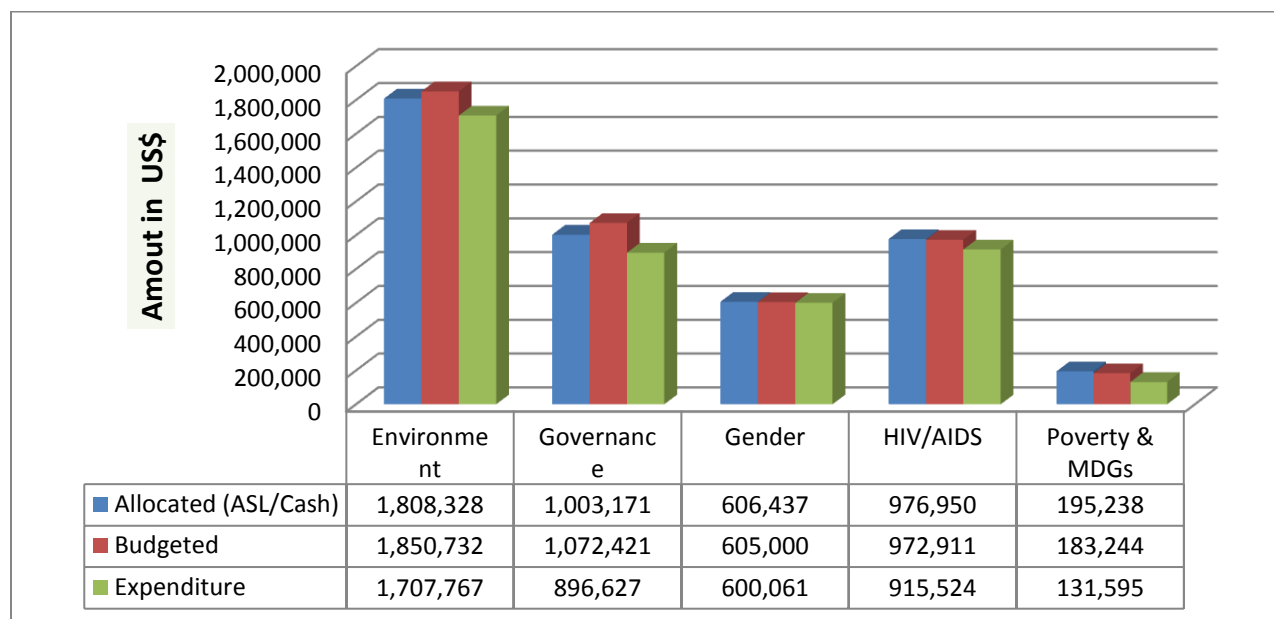
S/N	CPAP Focus Area and Projects	Name of Organisation, Unit or Staff to be Interviewed	Location	Purpose	Date	Time
		1. Governance and Gender: NGOCC, JCTR, FODEP, ZLDC, Legal and Aid Board.		UNDP in all areas of support to national development.	Fri, 21 st June 2013	14:00-14:40
		2. Poverty and MDGs: AMICAALL/LGAZ, SAT and SHARE				14:40-15:20
		3. Environment and SPU: ZCCN, CBNRM, CSPR, UNZA and EAZ				15:20-16:00
28	Stakeholder Debriefing on Preliminary Findings (Tentative)				10 July 2013	

Annex 5: Resources and Budget execution

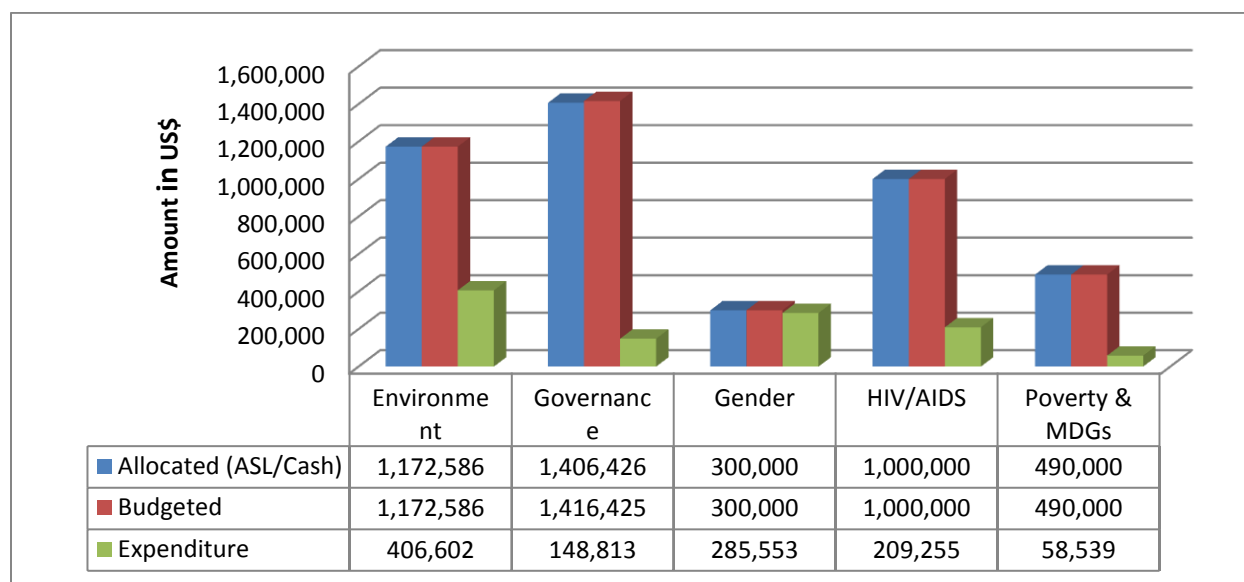
Allocated, budgeted and expenditure on core resources in 2011 (US\$)



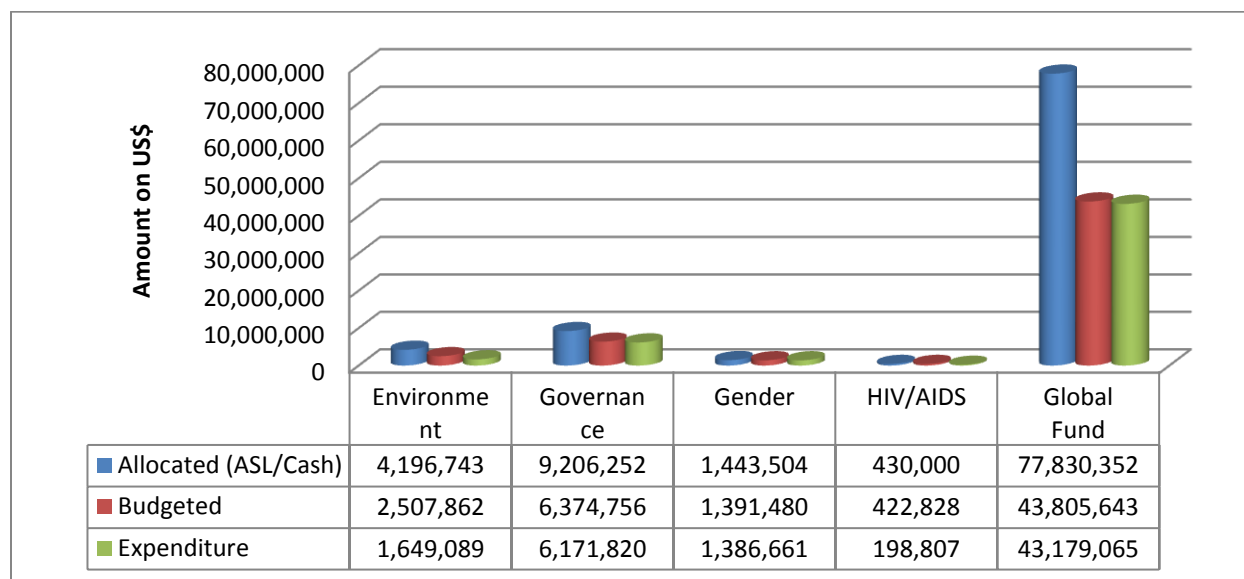
Allocated, budgeted and expenditure on core resources in 2012 (US\$)



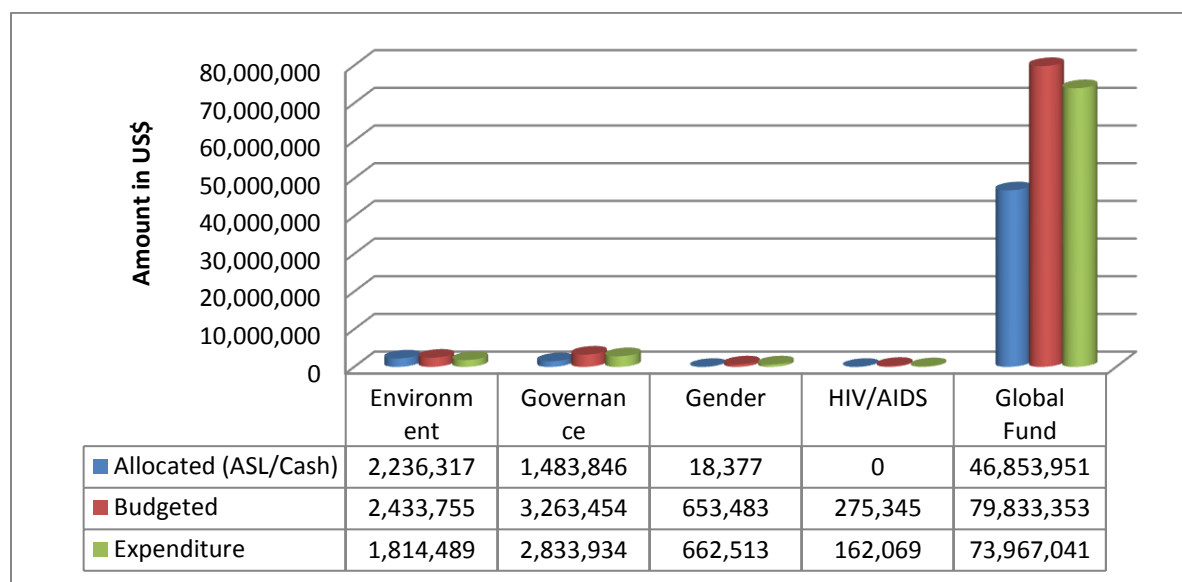
Allocated, budgeted and expenditure on core resources in 2013 (US\$) as at June



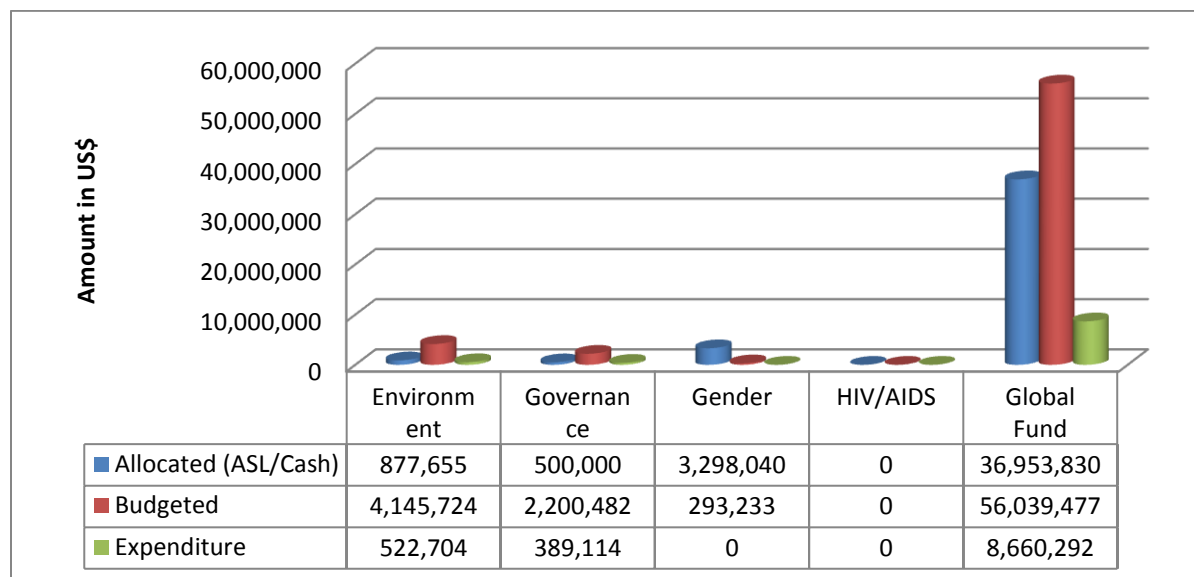
Allocated, budgeted and expenditure on non-core resources in 2011 (US\$)



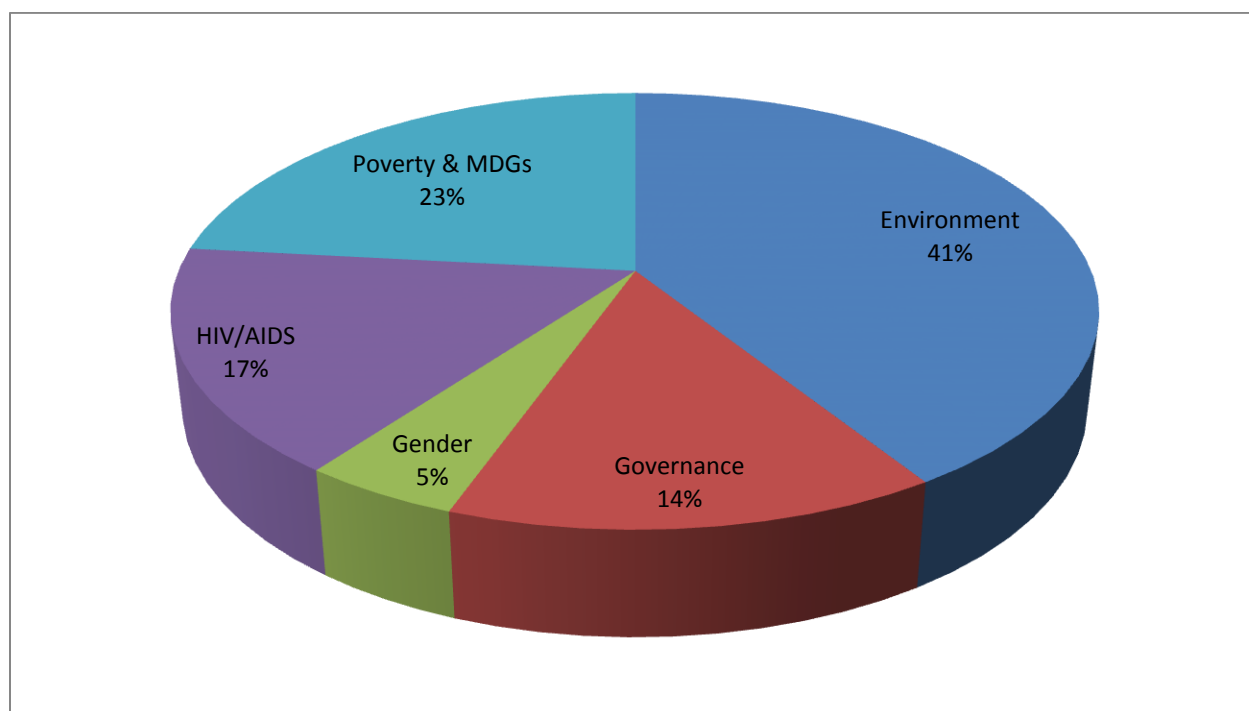
Allocated, budgeted and expenditure on non- core resources in 2012 (US\$)



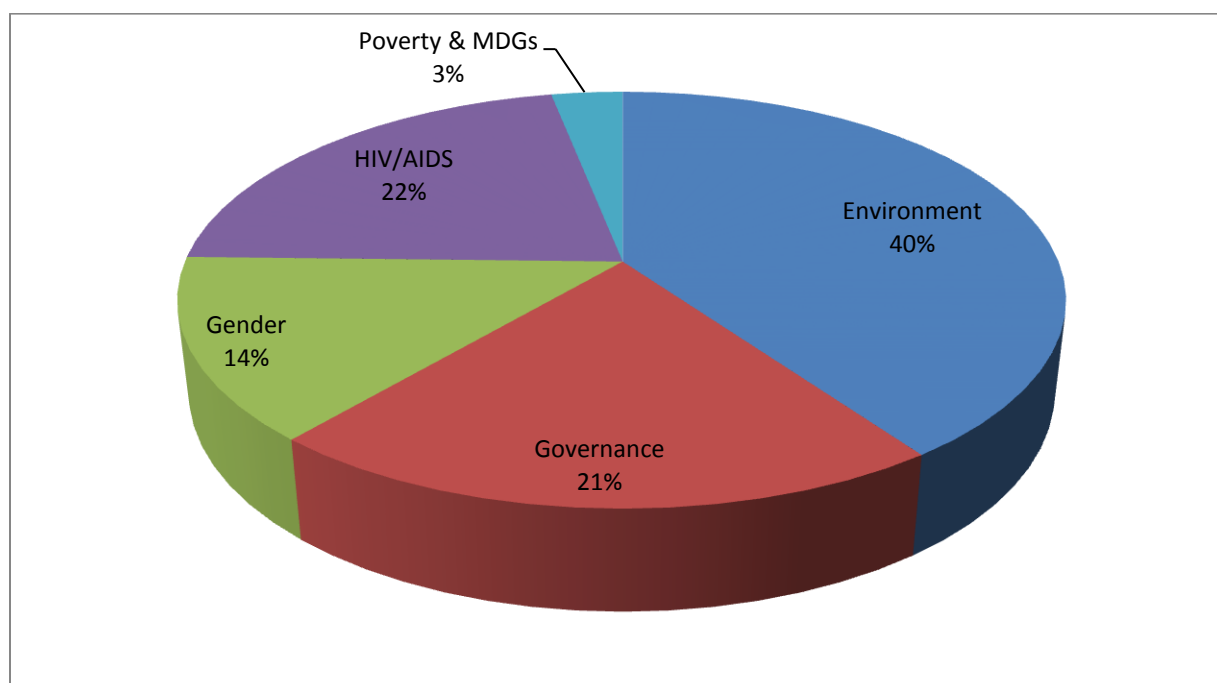
Allocated, budgeted and expenditure on non- core resources in 2013 (US\$) as at June



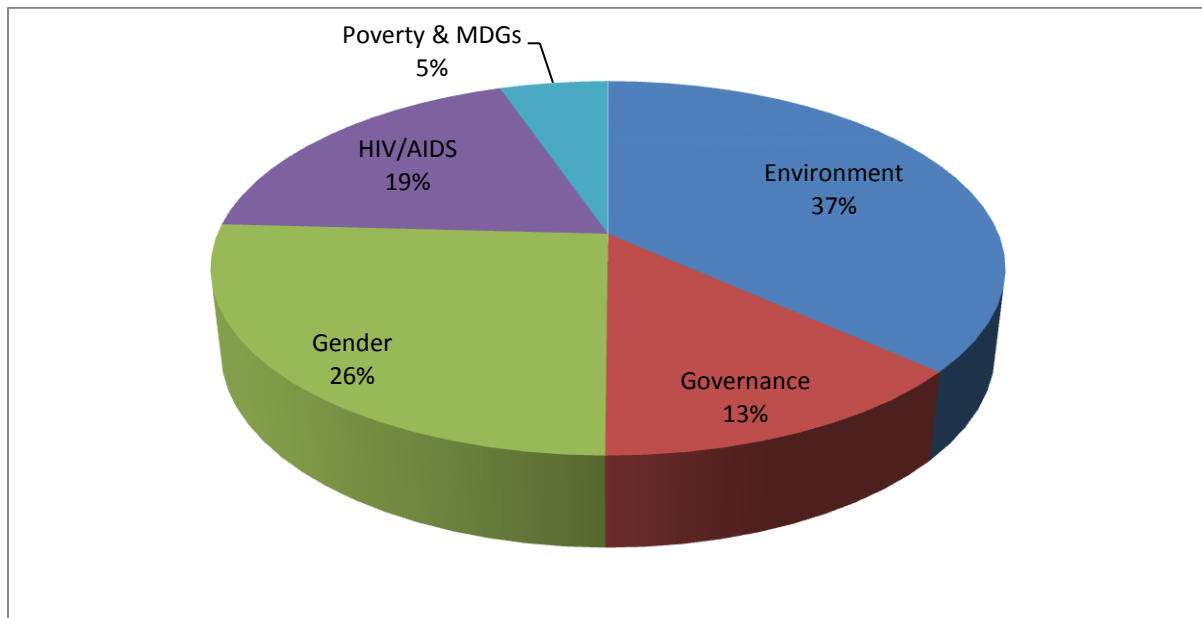
Percentage of total expenditure (US\$) by programme on core resources in 2011



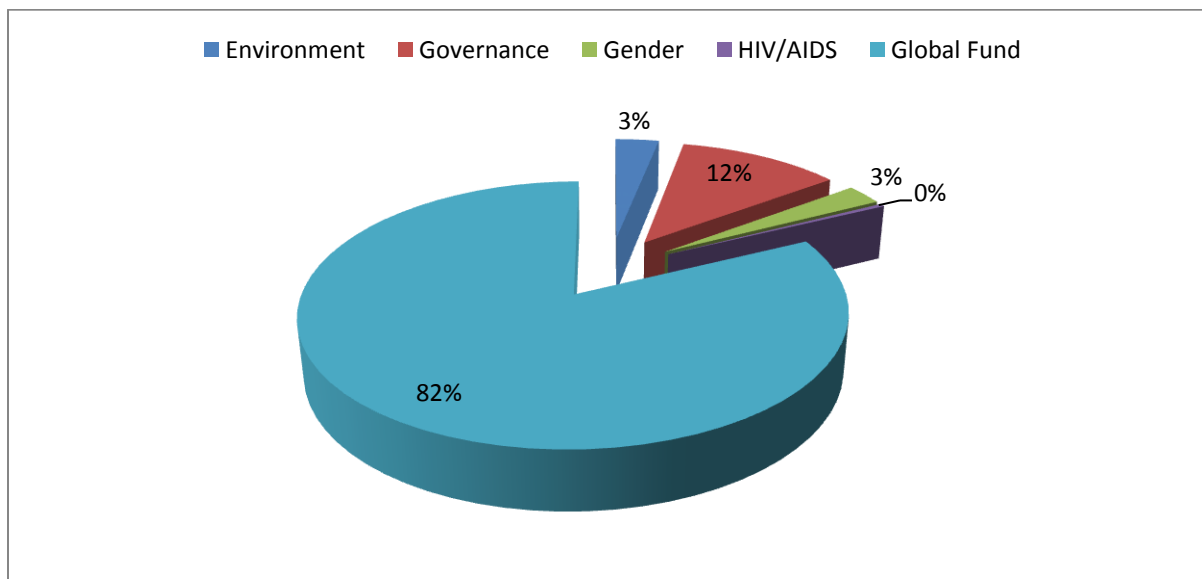
Percentage of total expenditure (US\$) by programme on core resources in 2012



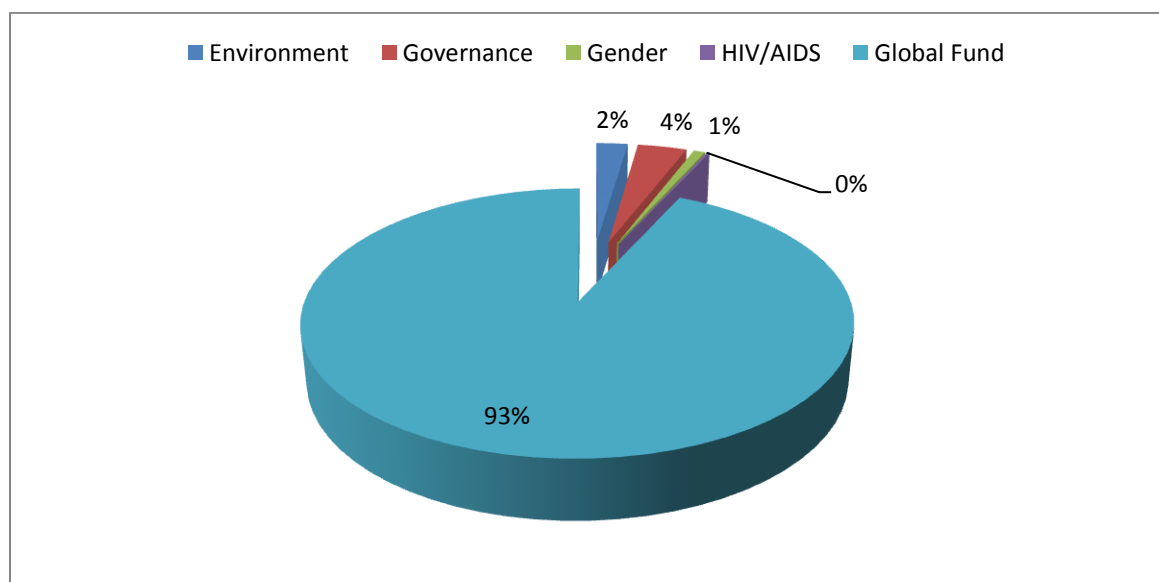
Percentage of total expenditure (US\$) by programme on core resources in 2013 (as at June)



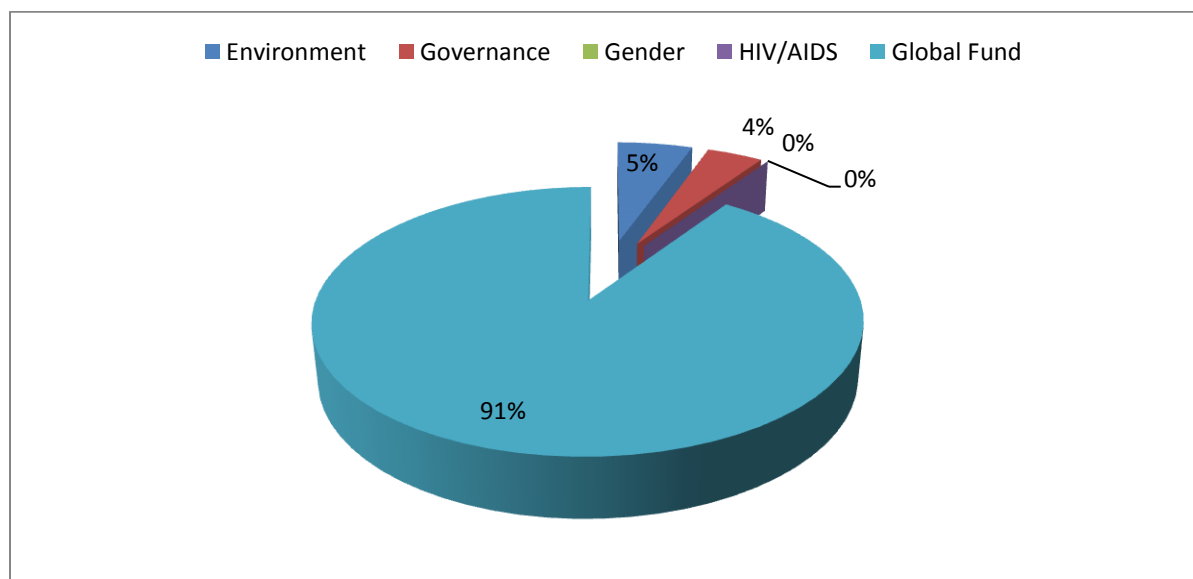
Percentage of total expenditure (US\$) by programme on non-core resources in 2011



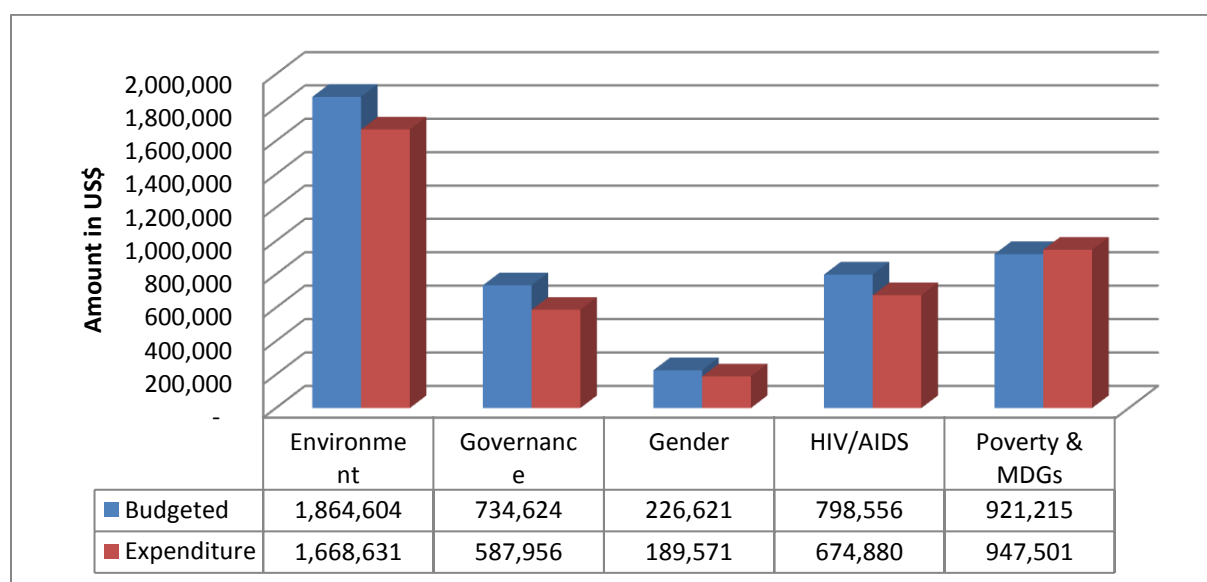
Percentage of total expenditure (US\$) by programme on non-core resources in 2012



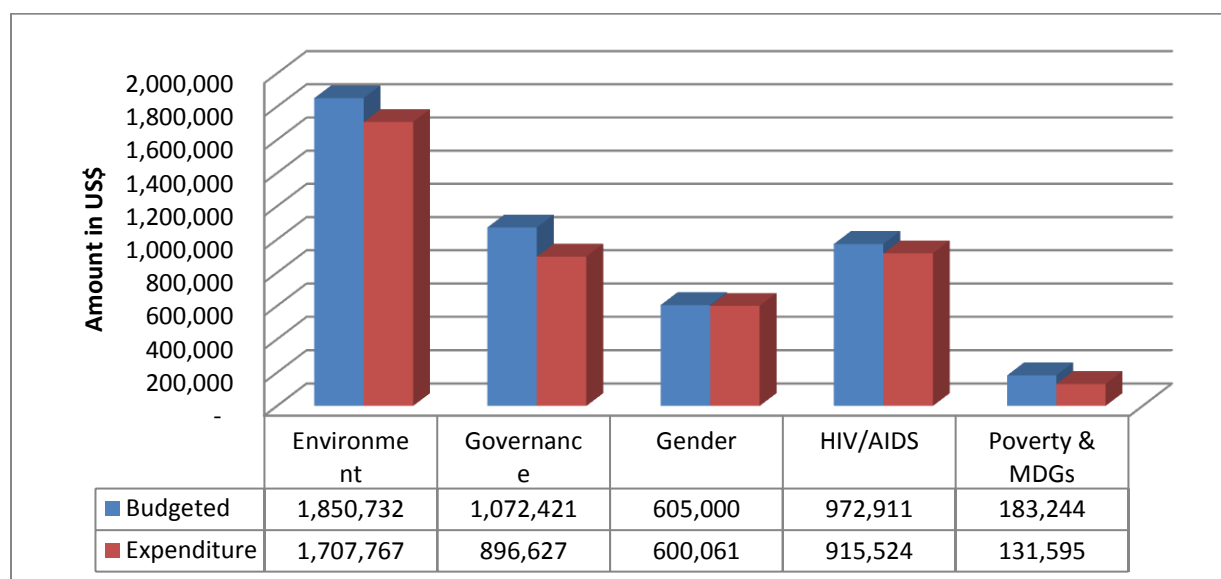
Percentage of total expenditure (US\$) by programme on non-core resources in 2013 (as at June)



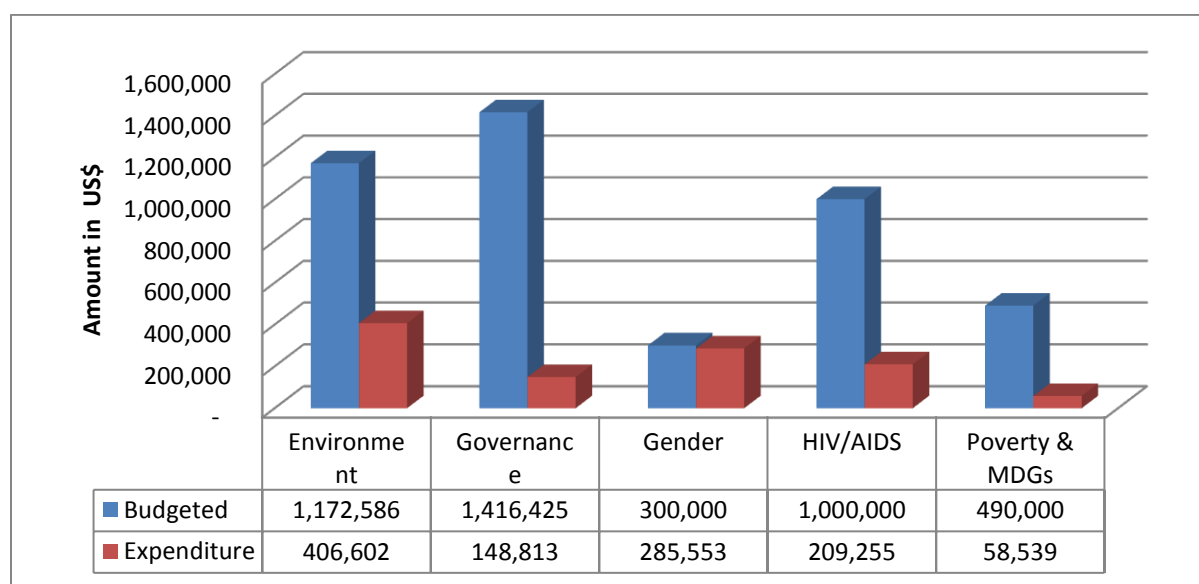
Budgeted VS expenditure on 2011 core resources



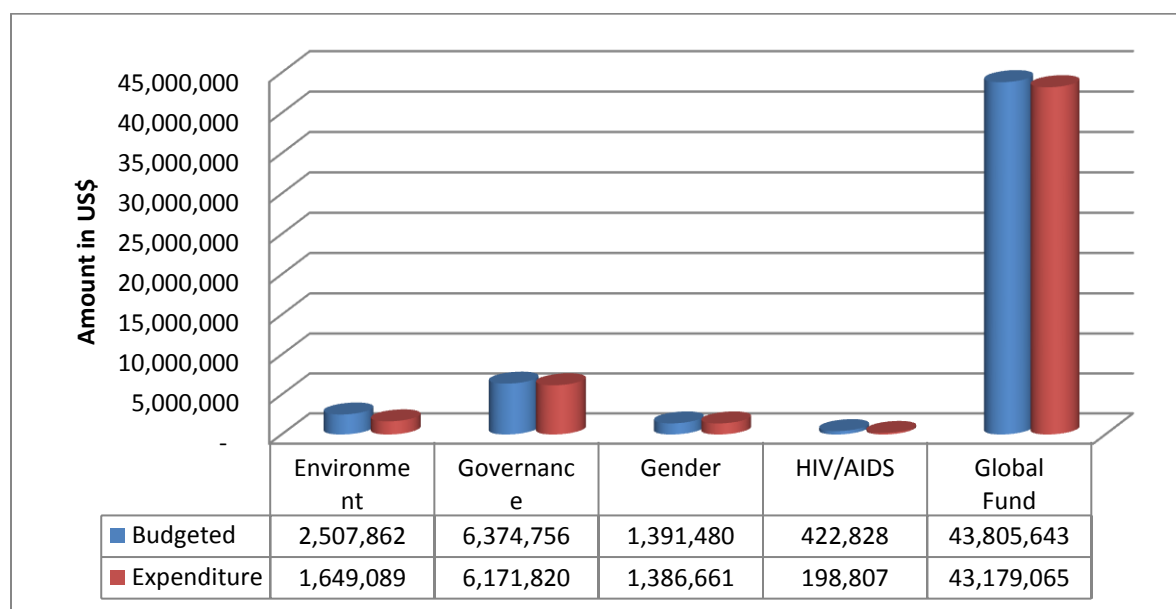
Budgeted VS expenditure in 2012 on core resources



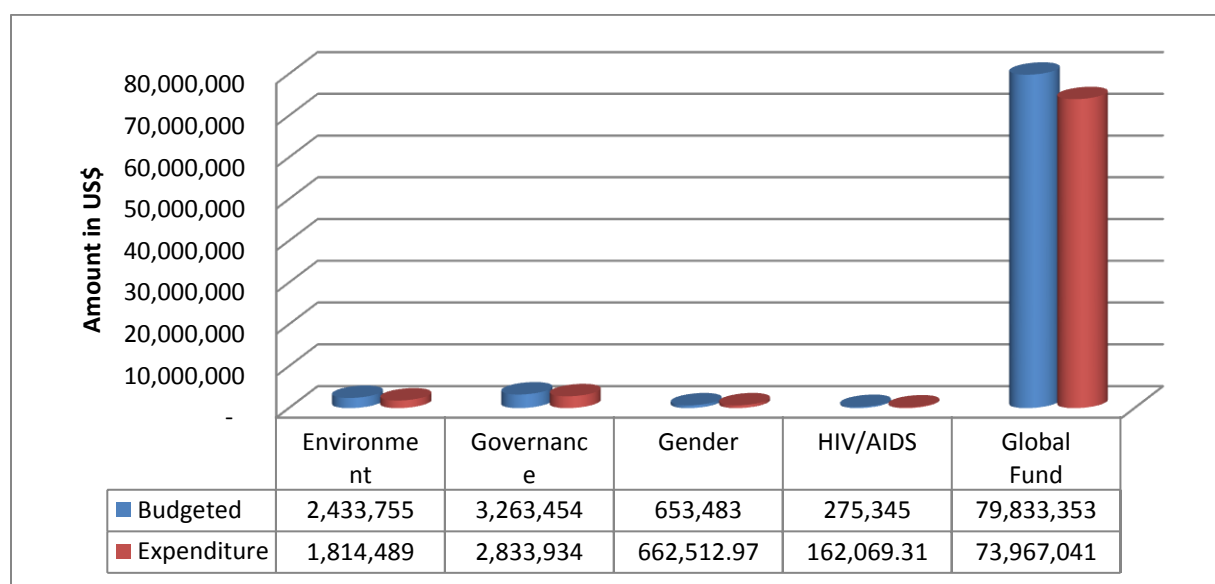
Budgeted VS expenditure in 2013 (as at June) on core resources



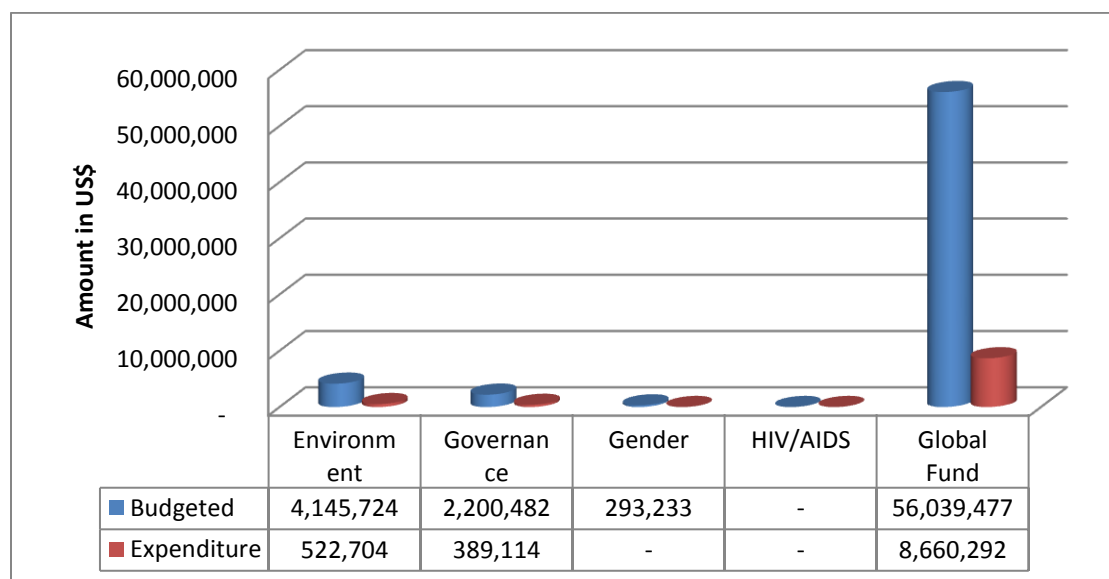
Budgeted VS expenditure in 2011 on non-core resources



Budgeted VS expenditure in 2012 on non-core resources



Budgeted VS expenditure in 2013 (as at June) on core resources



Percentage Execution rate by programme on core resources between 2011 to June 2013

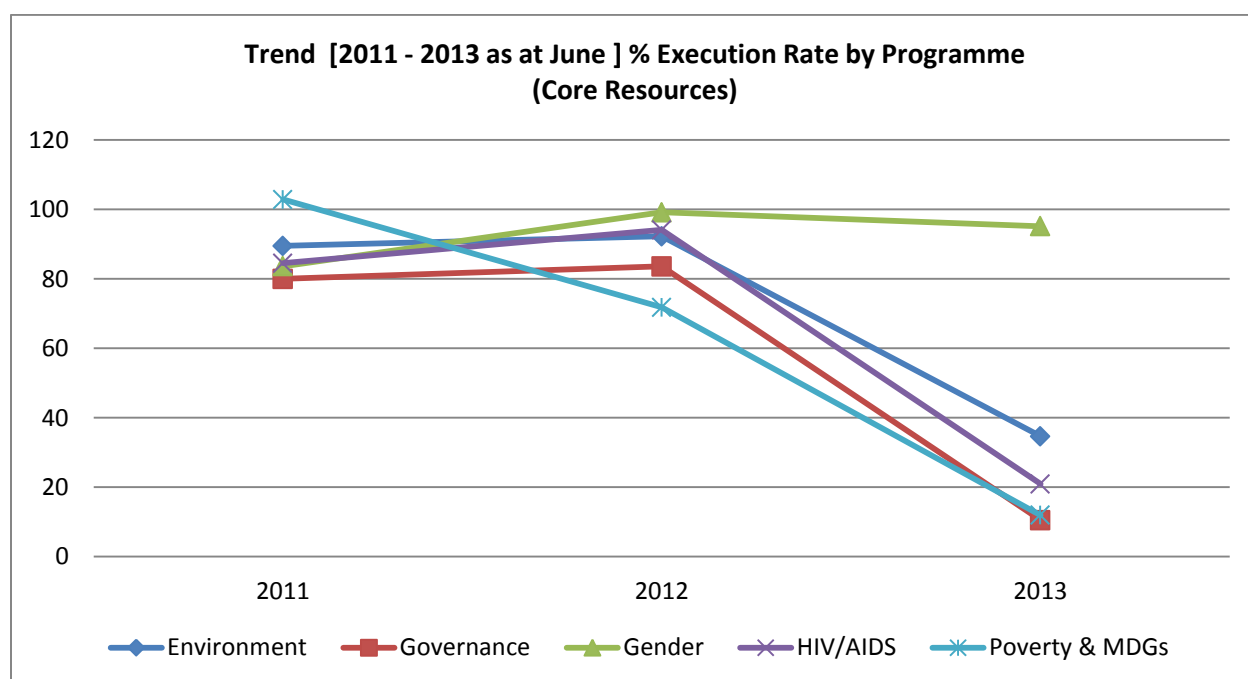
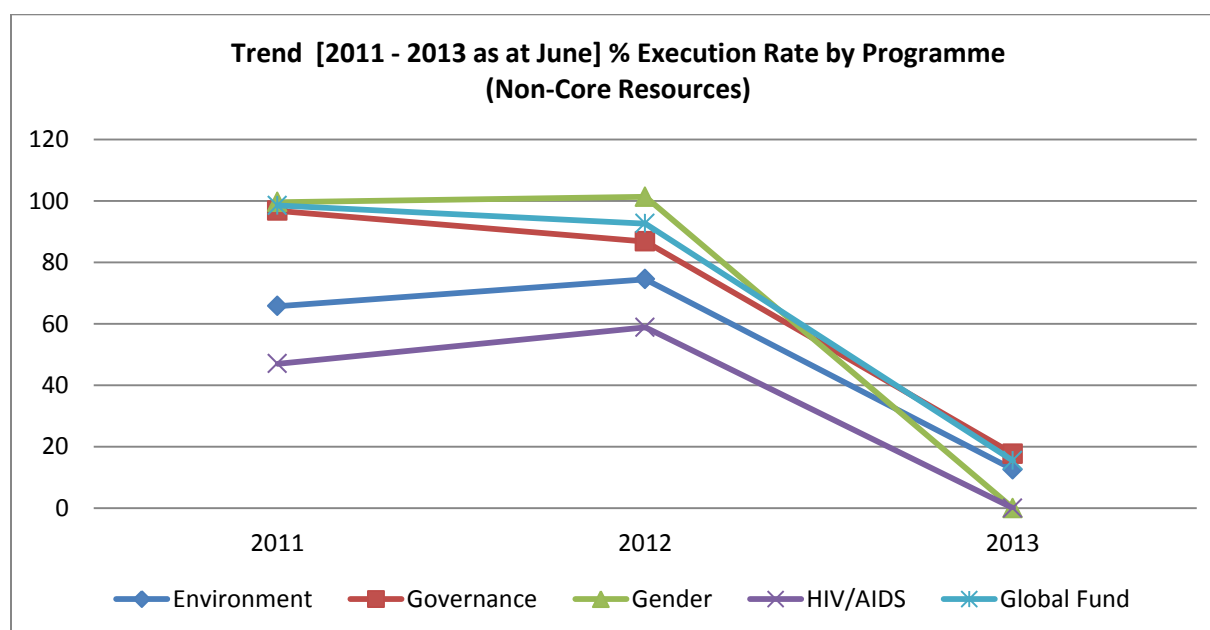


Fig 20: % Execution rate by programme on non-core resources between 2011 to June 2013



Annex6a: UNDP Zambia Country Office Projects

S/N	Project ID	Project Title	Programme Unit	Unit/ Sector	Programme/Project Duration	Budget		
						Trac	Non-Core	In-Kind & Other Contribution
1	ZMB10-00043458	Reclassification and Effective Management of National Protected Areas	Environment & Climate Change	Environment	Jan, 2005- Dec 2011 Extn to Jun 2013	2,000,000	6,000,000	42,830,000
2	ZMB10-00056573	PRO POOR POLICY FORMATION&MDG	Strategy and Policy Unit	SPU/Poverty	Jan, 2007 - Dec, 2011	1,867,244	-	-
3	ZMB10-00058922	Support to the Human Rights Commission	Governance and Gender	Governance	Jan, 2008 - Dec 2012	1,732,292	-	-
4	ZMB10-00060600	Support to Decentralisation	Governance and Gender	Governance	Jan, 2008 - Dec, 2012	1,135,812	-	-
5	ZMB10-00061402	Capacity Development for Real Parliament	Governance and Gender	Governance	Jan, 2008 to Dec 2012	786,068	615,024	-
6	ZMB10-00062256	Sediment Control-Lake Tanganyika Integrated Management Programme	Environment & Climate Change	Environment-NRM	May, 2008 - Dec, 2011 Extn to Jun 2013	400,000	2,440,000	652,000
7	ZMB10-00063077	Joint Gender Support Programme (JGSP)	Governance and Gender	Gender	Jun, 2008 - Dec 2011 Extn to Dec 2012	514,521	4,905,693	5,563,518
8	ZMB10-00063329	Civil Society Index	Governance and Gender	Governance	Jan, 2008 - Dec 2011	221,188	-	-
9	ZMB10-00070266	Climate Change Facilitation Unit	Environment & Climate Change	Environment-Climate Change	Jan, 2009 - Dec, 2010 Extn to Jun 2012	1,503,788	1,822,450	-
10	ZMB10-00070270	UNREDD	Environment & Climate Change	Environment-Climate Change	Sep, 2010 - Aug, 2013	-	1,995,000	-
11	ZMB10-00071651	Support to Electoral Cycle	Governance and Gender	Governance	Jan 2009 - Dec 2012 Extn to Jun 2013	180,000	14,034,030	5,596,386
12	ZMB10-00072197	Adaptation to Climate Change	Environment & Climate Change	Environment-Climate Change	Jan, 2010 - Dec, 2014	175,000	3,795,000	8,804,000

S/N	Project ID	Project Title	Programme Unit	Unit/ Sector	Programme/Project Duration	Budget		
						Trac	Non-Core	In-Kind & Other Contribution
13	ZMB10-00076782	GFATM Round 4 HIV Grant-Zambia	Global Fund	HIV&AIDS	Dec, 2010- Apr, 2011	-	25,196,995	-
14	ZMB10-00077336	HIV Coordination & Management	Poverty & HIV and AIDS	HIV&AIDS	Jan 2011- Dec 2015	2,641,467	-	-
15	ZMB10-00077351	Local acceleration of MDGs	Poverty & HIV and AIDS	Poverty	Jan, 2011 - Dec 2012	787,248	-	-
16	ZMB10-00077862	GFATM Round4 Malaria-Zambia	Global Fund	Health-Malaria	1st to 30th Apr 2011	-	5,200,000	-
17	ZMB10-00078463	Support training of Police	Governance and Gender	Governance	Jan 2011 - Dec 2011	-	1,771,207	-
18	ZMB10-00078575	National Climate Change Capacity (Low Emission Capacity Building)	Environment & Climate Change	Environment-Climate Change	Mar, 2012 to Jun 2014	-	642,000	-
19	ZMB10-00079589	GFATM Round 7 TB Grant-Zambia	Global Fund	Health-TB	Nov 2011- Jun 2013/Jun 2015	-	16,215,671	-
20	ZMB10-00079590	GFATM Round7 Malaria Grant-Zambia	Global Fund	Health-Malaria	Dec 2011- Jun 2013/Jun 2015	-	37,293,242	-
21	ZMB10-00079742	GFATM Round 8 HIV Grant-Zambia	Global Fund	HIV&AIDS	Sep 2011 - Aug 2013	-	66,442,544	-
22	ZMB10-00079743	GFATM Round10 HIV Grant-Zambia	Global Fund	HIV&AIDS	Sep 2011 - Aug 2013	-	76,266,584	-
23	ZMB10-00081176	PIMS4625Generating Multi Environment Benefits	Environment & Climate Change	Environment-NRM	May 2012-May 2013 Extn 2014	132,000	150,000	792,000
24	ZMB10-00083695	Support to Decentralisation	Governance and Gender	Governance	May 2012- Dec 2015	176,000	224,000	-
25	ZMB10-00083696	Support to the Human Rights Commission	Governance and Gender	Governance	May 2012- Dec 2015	154,000	196,000	-
26	ZMB10-00083697	Support to Civil Society and Media	Governance and Gender	Governance	May 2012- Dec 2015	264,000	336,000	-

S/N	Project ID	Project Title	Programme Unit	Unit/ Sector	Programme/Project Duration	Budget		
						Trac	Non-Core	In-Kind & Other Contribution
27	ZMB10-00083698	Support to the National Assembly	Governance and Gender	Governance	May 2012- Dec 2015	607,200	772,800	-
28	ZMB10-00083908	GRZ-UN Joint Programme on GBV	Governance and Gender	Gender	May 2012-Dec 2016	1,000,000	12,977,000	1,593,000
29	ZMB10-00084112	Zambia Technical Facility for Strategic Response to Government of Zambia	Strategy and Policy Unit	Poverty	Jan 2012 to Dec 2015	1,000,000	-	-
30	ZMB10-00084335	Constitution Reform Process	Governance and Gender	Governance	May 2012- Dec 2015	858,000	1,092,000	
31	ZMB10-00084433	Small grants to NGOs for NRM	Environment & Climate Change	Environment-NRM	Aug 2012 - Dec, 2012	100,000	900,000	-
32	ZMB10-00085767	Joint Program on Climate Change	Environment & Climate Change	Environment-Climate Change				
33	ZMB10-00085943	Promotion of Women's and Child	Governance and Gender	Gender	Mar 2013 - Dec 2016	800,000	4,803,545	4,199,629

Notes:

- Round 7 TB and Malaria Grants have supplementary agreements which are scheduled to end in June 2015 while the actual grants are scheduled to end in June 2013
- For GEF Grants, the other contributions include cost sharing contributions that are determined as costs for other existing projects that contribute to the outcomes of the project or actually collaborate in the implementation of the project.
- In-Kind contributions mainly include government contribution to projects costs through provision of office spaces, paying utility bills, costed staff time e.t.c

Annex6b: UNDP Zambia Country Office Projects

S/N	Project ID	Project Title	Funding Modality			
			Nex Advance	RDP	Both Advance and RDP	DEX
1	ZMB10-00043458	Reclassification and Effective Management of National Protected Areas			X	
2	ZMB10-00056573	PRO POOR POLICY FORMATION&MDG		X		
3	ZMB10-00058922	Support to the Human Rights Commission		X		
4	ZMB10-00060600	Support to Decentralisation		X		
5	ZMB10-00061402	Capacity Development for Real Parliament			X	
6	ZMB10-00062256	Sediment Control-Lake Tanganyika Integrated Management Programme			X	
7	ZMB10-00063077	Joint Gender Support Programme (JGSP)		X		
8	ZMB10-00063329	Civil Society Index		X		
9	ZMB10-00070266	Climate Change Facilitation Unit		X		
10	ZMB10-00070270	UNREDD		X		
11	ZMB10-00071651	Support to Electoral Cycle		X		
12	ZMB10-00072197	Adaptation to Climate Change			X	
13	ZMB10-00076782	GFATM Round 4 HIV Grant-Zambia				X
14	ZMB10-00077336	HIV Coordination & Management			X	
15	ZMB10-00077351	Local acceleration of MDGs		X		
16	ZMB10-00077862	GFATM Round4 Malaria-Zambia				X
17	ZMB10-00078463	Support training of Police		X		
18	ZMB10-00078575	National Climate Change Capacity (Low Emmission Capacity Building)		X		
19	ZMB10-00079589	GFATM Round 7 TB Grant-Zambia				X
20	ZMB10-00079590	GFATM Round7 Malaria Grant-Zambia				X
21	ZMB10-00079742	GFATM Round 8 HIV Grant-Zambia				X
22	ZMB10-00079743	GFATM Round10 HIV Grant-Zambia				X
23	ZMB10-00081176	PIMS4625Generating Multi Environment Benefits		X		

S/N	Project ID	Project Title	Funding Modality			
			Nex Advance	RDP	Both Advance and RDP	DEX
24	ZMB10-00083695	Support to Decentralisation		X		
25	ZMB10-00083696	Support to the Human Rights Commission		X		
26	ZMB10-00083697	Support to Civil Society and Media Organisations		X		
27	ZMB10-00083698	Support to the National Assembly		X		
28	ZMB10-00083908	GRZ-UN Joint Programme on GBV		X		
29	ZMB10-00084112	Zambia Technical Facility for Strategic Response to Government of Zambia		X		
30	ZMB10-00084335	Constitution Reform Process		X		
31	ZMB10-00084433	Small grants to NGOs for NRM		X		
32	ZMB10-00085767	Joint Program on Climate Change		X		
33	ZMB10-00085943	Promotion of Women's and Child		X		

Annex7: Income/ Budget/ Expenditure 2011 to 2013

	2011			2012			2013		
	Allocated (ASL/Cash)	Budgeted	Expenditure	Allocated (ASL/Cash)	Budgeted	Expenditure	Allocated (ASL/Cash)	Budgeted	Expenditure
	USD	USD	USD	USD	USD	USD	USD	USD	USD
Core									
Environment	1,867,903	1,864,604	1,668,631	1,808,328	1,850,732	1,707,767	1,172,586	1,172,586	406,602
Governance	734,624	734,624	587,956	1,003,171	1,072,421	896,627	1,406,426	1,416,425	148,813
Gender	226,621	226,621	189,571	606,437	605,000	600,061	300,000	300,000	285,553
HIV and AIDS	798,556	798,556	674,880	976,950	972,911	915,524	1,000,000	1,000,000	209,255
Poverty & MDGs	995,015	921,215	947,501	195,238	183,244	131,595	490,000	490,000	58,539
Global Fund	-	-	-	-	-	-	-	-	-
Total Core	4,622,719	4,545,620	4,068,539	4,590,124	4,684,308	4,251,574	4,369,012	4,379,011	1,108,763
Non-Core									
Environment	4,196,743	2,507,862	1,649,089	2,236,317	2,433,755	1,814,489	2,661,503	4,145,724	522,704
Governance	9,206,252	6,374,756	6,171,820	1,483,846	3,263,454	2,833,934	500,000	2,200,482	389,114
Gender	1,443,504	1,391,480	1,386,661	18,377	653,483	662,512.97	3,298,040	293,233	-
HIV and AIDS	430,000	422,828	198,807	-	275,345	162,069.31	-	-	-
Poverty & MDGs	-	-	-	-	-	-	-	-	-
Global Fund	77,830,352	43,805,643	43,179,065	46,853,951	79,833,353	73,967,041	36,953,830	56,039,477	8,660,292
Total Non-Core	93,106,850	54,502,569	52,585,442	50,592,491	86,459,390	79,440,046	43,413,373	62,678,916	9,572,109
Grand Total (Core & Non-Core)	97,729,569	59,048,188	56,653,981	55,182,614	91,143,698	83,691,620	47,782,385	67,057,926	10,680,873

Sources of Income (Non-Core)	2011			2012			2013		
Environment									
>> GEF	2,841,732			1,518,045			1,783,848		
>> Norway	640,015			-			-		
>> Thematic Trust Fund	50,000			-			-		
>> Multi Trust Fund	664,996			688,273			-		
>> IOC	-			30,000			-		
>> Denmark	-			-			877,655		
	4,196,743			2,236,318			2,661,503		
Governance									
>> Finland	168,750			-			-		
>> Netherlands	700,000			200,000			-		
>> CIDA	254,842			244,141			-		
>> DFID	3,355,993			-			-		
>> USAID	1,500,000			33,095			500,000		
>>European Commission	3,226,667			-			-		
>> SIDA	-			1,006,611			-		
	9,206,252			1,483,846			500,000		
Gender									
>> Norway	655,537			11,242			-		
>> Ireland	292,180			7,136			-		
>> Netherlands	495,787			-			-		
>> SIDA	-			-			3,004,808		
>> DFID	-			-			293,233		
	1,443,504			18,377			3,298,040		

HIV AND AIDS									
PAF grant	430			-			-		
	430			-			-		

- Data Source:**
- Office Resource Overview*
 - Fund Resource Overview*
 - Cost Sharing Reports*
 - Project Budget (CM 124B)*
 - ASL*
 - Global Fund Reports*