



UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP) ZAMBIA

**CONSULTANCY SERVICE FOR MID-TERM REVIEW OF THE
COUNTRY PROGRAMME AND COUNTRY PROGRAMME
ACTION PLAN 2007-2010**

FINAL REPORT

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List of Acronyms and Abbreviations

A2NA-Z	Africa 2000 Network Association –Zambia
CDP	Country Development Programme
CP	Country Programme
CPAP	Country Programme Action Plan
CREAM	Clear, Relevant, Economic, adequate, monitorable
CSOs	Civil Society Organisations
FNDP	Fifth National Development Plan
HDR	Human Development Report
HIV & AIDS	Human Immune Virus and Acquired Immune Deficiency Syndrome
JASZ	Joint Assistance Strategy for Zambia
JGSP	Joint Gender Support Programme
MBT	Micro Bankers Trust
MDG	Millennium Development Goal
M & E	Monitoring and Evaluation
MTR	Mid Term Review
NEX	National Execution Framework (of UNDP)
NGOs	Non Governmental Organisations
PRSP	Poverty Reduction Strategy Paper
SMART	Specific, Measurable, Achievable, Realistic, Time Bound
UN	United Nations
UNDP	United Nations Development Programme
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework

Executive Summary

1.0 Introduction

1.1 A brief description of the UNDP CDP/CPAP

The United Nations Country Team (UNCT) in Zambia formulated the United Nations Development Assistance Framework 2007-2010, (UNDAF) as the United Nations (UN) response to the Fifth National Development Plan (FNDP) of the Republic of Zambia. The UNDAF identifies country programme outcomes and outputs that would contribute to the achievement of Zambia's development goals.

Based on the UNDAF, UNDP Zambia formulated the Country Programme 2007-2010 (CDP) that was approved by the Executive Board in 2007. This was followed by the formulation of the implementation plan: Country Programme Action Plan (CPAP). The CDP and the CPAP provide a mutually agreed framework for the cooperation between Government and UNDP for the period 2007-2010. The documents were prepared as close collaborative effort between stakeholders and UNDP. The CPAP as the implementation tool of the CP also takes into account the roles assigned to the United Nations (UN) under the Joint Assistance Strategy for Zambia (JASZ) to which the UNCT is a signatory. In this regard the CPAP takes into account the Paris Declaration of AID Effectiveness.

1.2 Context and purpose of the Review

This mid-term review is coinciding with the reviews of the FNDP and the UNDAF. It is being undertaken with a view to providing an independent in-depth review of implementation progress, transparency and accountability and for documentation of lessons learnt. Further the review is intended to provide an analysis of how UNDP has positioned itself to add value in the response to the UNDAF and the FNDP and hence identify potential design problems, assess progress towards the achievement of objectives and to make recommendations regarding specific actions that might be taken to improve the programme delivery of results.

The review also provides an opportunity to assess early signs of success or failure and prompt necessary adjustments; as well as to respond to changes in the national development context and UNDP's Strategic Plan (2008-11).

1.3 Objectives of the Review

The overall objectives of the MTR were;

- (i) To identify strengths and weaknesses of the implementation process,
- (ii) Assess progress towards targeted outcomes,
- (iii) To identify measures to reinforce what works well and make corrections to weaknesses, and,
- (iv) Re-align intervention with the emerging priorities if necessary and to the UNDP's Strategic Plan within the overall national priorities.

The review therefore focused, among other areas, on the following:

- (i) assessing progress made towards meeting set targets and indicators in all programme areas including Resident Coordination System response and advocacy role;
- (ii) reviewing institutional and management arrangements of the projects;

- (iii) undertaking a partnership analysis, with a view to recommend appropriate strategies for further engagement;
- (iv) Assessing progress towards the implementation of development drivers e.g. gender equality, capacity development and south to south cooperation, as outlined in the CP. The main stakeholders of this review are the Ministry of Finance and National Planning as the Executing agency of all UNDP support initiatives and all relevant implementing ministries/organizations and UNDP.

2. Findings

2.1 Design Process for CDP/CPAP

- Highly consultative
- Responsive to development challenges and consistent with national policies and FNDP
- Broad sense of national ownership of CP/CPAP
- Institutional capacities of implementing agencies were not rigorously assessed at design stage

2.2 Implementation

- Performance good: all expected outputs likely to be achieved
- Log frame weak due to absence of activity column
- Delays in financial releases tends to compromise implementation
- Institutional arrangements – use of existing structures promotes sustainability
- Partnership strategy effective: UNDP role appreciated by Donors, partners and other UN agencies
- UN inter-agency communications need improvements
- The UNDP interventions in MDGs have appropriately directly targeted the most strategic MDGs

2.3 Monitoring and Review

- Weak mainly due to human resource limitations and inadequate M & E operational resources especially among government agencies. The log frame was also weak due to absence of “Activity” column.

2.4 Stakeholder Participation

- Broad participation through meetings and reports
- Civil society concern at lack of direct engagement with UNDP
- Private sector role could be more pronounced especially in environment

2.5 Financial Planning

- Co financing strategies promote efficient packaging of resources
- Some beneficiaries e.g DATFs and CATFs are already empowered to mobilise own resources from other sources
- UNDP resources appear generally cost effective in terms of achievements
- The exhaustion of total budgeted regular (core) resources at the end of the first 2 years has left no core budget resources for the last 2 years of CPAP. This indicates weaknesses in the linkage of budget and operational plans with serious consequences for programme implementation

- Major risks arise from political pressure to extend project reach widely at risk of impact

3.0 Recommendations

3.1 Design

- The approach to design should continue to be consultative to ensure national ownership, and relevance to national development priorities
- Capacity building should be explicitly articulated in all projects
- Sustainability strategies need to be explicitly articulated in the project design

3.2 Implementation

- The log frame needs to be improved with a specific column for activities, and better articulation of outputs/outcomes and indicators
- Current delays in releases of UNDP funds need to be addressed. Sensitization/training of partners in UNDP financial procedures is one possible strategy
- The partnership strategy needs to be strengthened with more robust coordination and communications systems

3.3 Monitoring and Review

- given the generally weak M & E capacities at implementing agencies, special efforts should be rendered to promote full operationalisation of the M & E Department at the Ministry of Finance and National Planning and strengthening of M & E capabilities at all implementing agencies.

3.5 Stakeholder Participation

- UNDP should examine civil society's concern at inadequate direct engagement with UNDP
- UNDP should design strategies for more pronounced role of private sector especially in the area of sustainable environment

3.5 Financial Planning

- UNDP and government should continue to work together in resource mobilization
- Beneficiary entities should be empowered to mobilize own resources from other sources. The primary strategy would be empowering them with strategic skills and capacity to develop strategic plans that can be used to mobilize resources
- UNDP should resist pressure to spread projects resources thinly at the risk of impact
- All operational plans should be adequately covered by appropriate budgetary provisions.

4.0 Lessons Learned

Several lessons can be extracted from the mid-term evaluation of UNDP CDP/CPAP.

- 4.1 The UNDAF document should contain enough flexibility so that it can be revised and adopted easily to the changing circumstances.
- 4.2 Close cooperation among UN agencies and harmonizing their programmes with the Government's activities enhance the effectiveness of UNDP CDP/CPAP. Broad participation of stakeholders at design stage has helped promote relevance and responsiveness of the programme to national

development priorities. It has also contributed to the national ownership of CDP/CPAP which is absolutely necessary for effective implementation.

4.3 The achievements of CDP appear to be sustainable even after the end of CDP. **The major factors that promote sustainability are:**

- a) **Implementation is premised on existing structures which generally have the capacity to continue with project activities after the project's life**
- b) **The projects usually include capacity enhancement which helps organisation capacity of beneficiaries to continue**

4.4 **Partnerships have been broadly organized resulting in extensive pooling of financial technical and organizational resources for effective implementation of projects. The partnership approach needs to be strengthened with robust coordination and communication strategies.**

4.5 **Programme implementation has been negatively affected by weak M & E. There is need to develop strong M & E capabilities within UNDP and all implementing partners.**

4.6 **Significant variances between budgeted resources and actual expenditure can derail programme implementation. There is need for harmony between financial plans and operational plans.**

1.0. Introduction

1.1 Background

The main objective of this report is to review the progress made in attaining the outcomes and impacts as stipulated in the UNDAF document and assess the efficiency and cost-effectiveness of how the Programme elucidated in the document has moved towards achieving them.

This is a Mid-Term Review (**MTR**) was commissioned to identify the strengths and weaknesses in the Programme design and implementation, the possible sustainability of the results to be achieved, and provide recommendations on sustaining the implementation of the activities initiated within the components for the remaining years of the programming cycle.

For this purpose the report focuses on several specific issues:

- The level of progress made so far towards achieving the outcomes.
- The extent of UNDP's CDP/CPAP contribution to the achievement of the outcomes through related indicators.
- The viability and effectiveness of partnership strategies in relation to the achievement of the outcomes.
- Identification of institutional strengths and weaknesses and areas for the improvement of the
- Country Office's programme strategy that is likely to reduce poverty through sustainable initiatives, contribute to environmental sustainability, mitigated levels of HIV/AIDS, human capital formation and better governance once the cycle is completed.

The review was rights-based and covered all activities supported by CDP/CPAP and also covered activities that other cooperating partners are supporting as long as there was a direct correlation with UNDP support. The focus of this review was on performance as per set targets and indicators.

In doing this, the review required a thorough analysis of the current institutional and management arrangements. The consultants were required to carry out extensive desk reviews of key documents such as FNDP and UNDAF reviews, national economic reports, MDG report, Annual Project Reports etc. In addition, they were expected to interview stakeholders and implementing partners.

1.2. Key issues addressed in the Review

The following key issues have been addressed critically in the review.

- (i) CP formulation process:
- (ii) Implementation
- (iii) Monitoring and Review.
- (iv) Stakeholder Participation:
- (v) Financial Planning

1.3. General Methodology of the Review

Since the MTR was formative in type, it focused on questions of effectiveness and efficiency of UNDP Zambia programmes. It adopted an exploratory/interpretive approach within an action-oriented framework. As such, the study findings are based on a dialogue between the team and the participants. The MTR process itself, emerges from an empowerment perspective in research, and promotes learning and reflection among participants.

Recognizing the vast amount of knowledge, information and experiences to be accounted for in the short span of timing of the MTR, the review team adapted their questioning framework according to the prevalent and relevant issues that were raised by different participants. Although this approach has some drawbacks, it was useful when the issue in review is multidimensional and multifaceted, as is the case here.

To counter the drawbacks however, the review team tried to the best of their capacity, to validate and verify the information acquired through an appropriate quality control mechanism

In addition to reviewing the effectiveness and efficiency of programme interventions, the MTR looked into the extent of relevance of the programme to national priorities, UNDAF, FNDP and MDGs as well the relevance of the projects to the stated programme outcomes. Sustainability matters were reviewed in light of financial, institutional and behavioural aspects.

Consequently, the MTR was conducted at three levels: the macro level (contextual), the meso level (programme and UNDP) and finally the micro level (project centers).

The three levels of the MTR were managed either through a desk review or semi-structured question guide with project managers, UNDP Zambia programme staff and selected operation staff as well as discussions with stakeholders. The field visit interview with project managers was the primary source of information and enabled the team to generate different case studies.

Although the time allocated to visit each project was limited, the consults tried as much as possible for it to be informative enough to formulate both general and specific findings and recommendations for UNDP Zambia programming and the respective projects.

Projects selected for the MTR were chosen in coordination with UNDP Programme team and at least two Programme/ projects were selected from each thematic area. The criteria for selection included:

- Programmes/ Projects that had been ongoing for a while or are an extension for closing projects.
- Programme/ Projects whose date of completion were not less than five months from the date of initiating the MTR;
- One Programme/ project that related to policy advice, the other to capacity building

For the entire above selected programme /project, they must have been under the thematic areas as:

- (i) Environment
- (ii) Governance
- (iii) HIV /AIDS
- (iv) Gender

UNDP staff interviews constitute the meso level review of the study. The interviews included all the programme team members as well as a number of selected operations staff. Although the interviews varied in focus, collectively they helped to piece a coherent point in terms of programme operations,

effectiveness and efficiency

1.3.1 Analysis framework

Due to the formative nature of the review, it focused on questions of effectiveness and efficiency. Nonetheless, and in light of its intended purpose the review also looked at questions of relevance and sustainability.

First, the team verified the relevance of programme themes to national priorities, UNDAF stated goals and achievement of Millennium Development Goals (MDGs).

Second, matching the country development priorities in Zambia to corporate goals (global and regional) and core results. Within that parameter, the team reviewed the relevance of projects to programmes as well as the relevance of project strategies to achieving their intended outcome. To further structure the presentation and subsequently analysis of findings, the review team consolidated the findings under seven categories: project context, project design, project implementation, project results, project reporting, project management and sustainability of programme benefits along the divisions of highly satisfactory, satisfactory, marginally satisfactory, marginally unsatisfactory, unsatisfactory, highly unsatisfactory,

1.3.2. Period to be Reviewed (2007-2010)

This Independent Review has therefore focused on the period from 2007-2008, although in some cases it may look at longer trends.

1.3.3. Scope

The Independent Review of the CAP/CPAP had an appropriately broad scope, similar to that of previous Reviews. It covered the impact, its partnerships, and its governance and management, as set out in the Review's Terms of Reference.

1.3.4. Review Standards and Guidelines

The review was rights-based and covered all activities supported by CDP/ CPAP and included activities that other cooperating partners are supporting as long as there is a direct correlation with UNDP support. The focus of this review was on performance as per set targets and indicators. In doing this, the review required a thorough analysis of the current institutional and management arrangements.

It also paid attention to the UNDP programme review guidelines and procedures throughout the process.

1.3.5. Information Sources and Methods

The Review Team used research methods appropriate to such a review. As with previous independent reviews, the Team relied on existing evidence to a considerable extent and did not conduct or commission direct measurement of the impact of the UNDP programs. The Team gathered information from a wide variety of sources. The sources of information included:

- The extensive literature of reports, previous programmes, progress reports, stakeholders' reports, and other documents relevant to the development impact of CAP/CPAP. This will include pertinent development literature (including independent relevant research on the

CAP/CPAP thematic areas.

- Examination of previous independent reviews, and major evaluations conducted by UNDP, including the independent evaluations.
- Examination of the information collected by the Programmes/project Performance Measurement (PPM) System and other information on the accountability and transparency of the System.
- Examination of financial information in CAP/CPAP programmes and the stakeholders
- Information on programme management of the CAP/CPAP
- Structured questionnaire and ideally facilitated group discussions/workshop with stakeholders
- Visits to the projects, programme administrative and coordinating units,
- Information gathered, as well, through specific technical reports and papers.

Methods of analysis, including syntheses of evidence, were developed by the team. The Final Report of the Team was organized around standard criteria of development effectiveness, including relevance, efficacy, efficiency, sustainability, governance and institutional development, and comparative value prior to discussion.

1.3.6. Visited Centers

The review team visited several selected project Centers during the course of the Review. The visits were not to evaluate some project Centers individually but rather to enable the team to develop an in-depth understanding of the project Centers collectively.

Key topics addressed during project Center visits included: Focus of the Center (strategy, scenarios); Funding (restricted and unrestricted, other resource mobilization), stability profile, and financial performance; Productivity of the project Center (outputs); Impact of the project Center (outcomes); Strength of partnerships (specific links within and outside); Perceptions of the value-added of the CAP (incremental funding, scientific priorities advice, challenge programs, and administrative support); Willingness to embrace possible reforms to the CAP.

The list of project centers visited is attached in the appendix.

1.3.7. Consultations

Consultations with stakeholders focused on both past experiences and future expectations. The stakeholders shared their observations on CDP/CPAP formulation, implementation, monitoring, stakeholder participation modalities, financial planning, results (including impact) and sustainability of CDP achievements. On the basis of their observations on the strengths and achievements, they also shared their future expectations and how the CDP/CPAP impact could be improved.

The Review Team consulted with stakeholders through semi-structured question guides and discussions and in person. Where an in-person discussion is not possible, some brief interviews were held on the telephone and by email. Information collected in these interviews was held completely confidential and no names are linked to specific information reported or to anyone else.

Strong efforts were made to elicit information that is representative of the opinions and observations of respondents. In this regard, two points were important.

First, where there were more persons in a particular category than is practical to interview within the time and resource constraints of the Team, a stratified random sample was drawn. Second, the research team made a strong effort to elicit a high response rate from the sample.

These consultations were facilitated by a question guide appended to this report as appendix F.

1.4. Structure of the Review

The general structure and arrangement of the review report follows strictly the suggested outline by the UNDP as stated in the terms of reference. The report covers the executive summary; brief description of the UNDP CDP/CPAP with an insight into Context and purpose of the Review; Objectives of the Review as well as the Main findings; conclusions and lessons learned.

Chapter 1 presents the Introduction and Key issues addressed in the Review to the General Methodology that was adopted for the exercise.

Chapter 2 highlights the CPAP/CDP and its development context, its start and its duration and the core Problems that CDP/CPAP Seeks to address. It also presents a summary of partners and stakeholders as well as the Expected Results from the CPAP.

Chapter 3 presents the Findings that have been grouped into the core aspects of CP Formulation Process, Implementation, Monitoring and Review, Stakeholder Participation, Financial Planning and the General Conclusions.

Chapter 4 presents the descriptive conclusions.

Chapter 5 presents recommendations

Chapter 6 covers lessons learned. The final segment reflects on the Review of Report annexes.

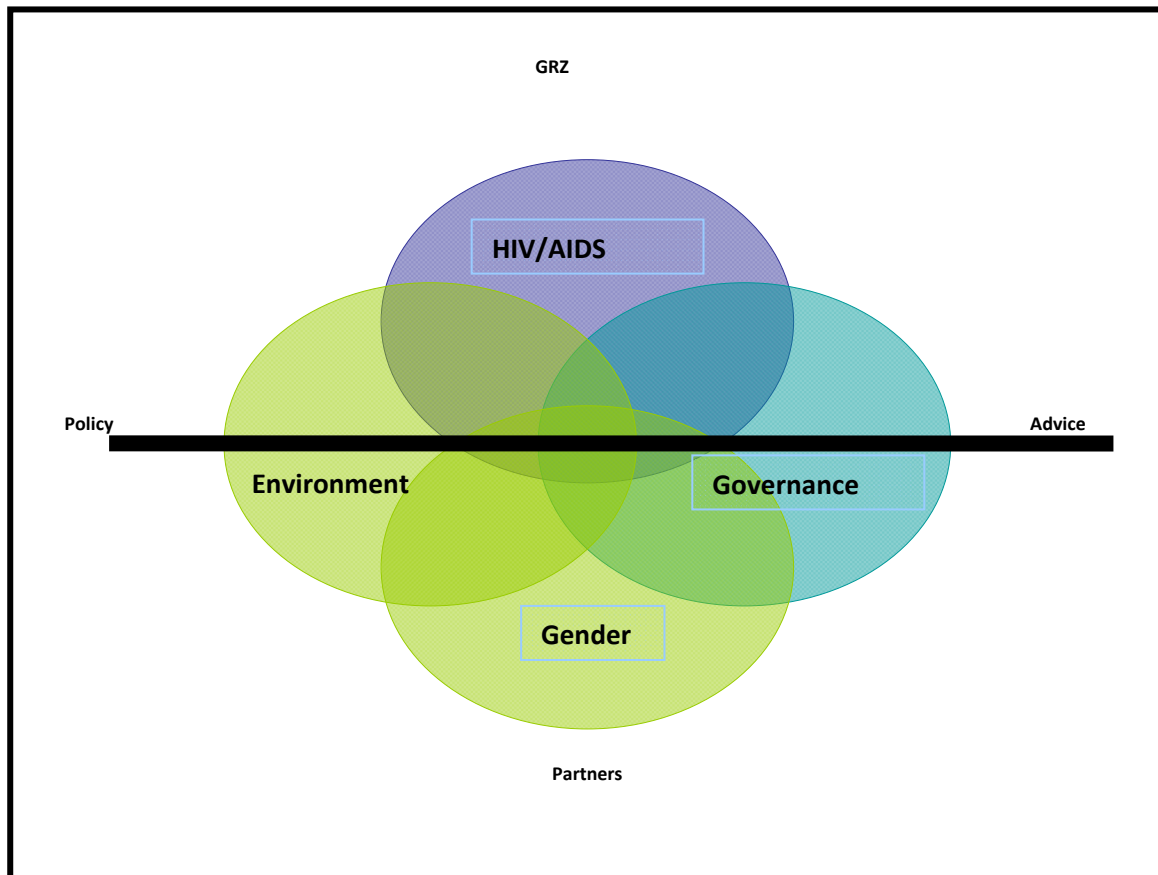
2.0 CDP/CPAP and its development context

2.1 CDP/CPAP

The Zambia Country Development Programme (CDP) for 2007-2010 took account of past cooperation and lessons learned. Experiences of 2002-2006 confirmed that development initiatives work better with the ownership, understanding and leadership of national stakeholders. The CDP was also structured within the conceptual framework and as part of a coherent UN system so as to contribute to the UN development assistance framework (UNDAF). It also took account of the national development priorities as articulated in the Fifth National Development Plan (FNDP) for 2006-2010.

The CDP's areas of interventions are:

- a) Responding to HIV/AIDS,
- b) Fostering strategic governance,
- c) Environmentally sustainable development, and
- d) Catalytic initiatives aimed at promoting innovation



The CPAP was developed as an instrument for the operationalisation of the CDP. It is a four-year framework defining the mutual cooperation between the Government of Zambia and UNDP, covering the period 2007-2010. It is prepared based on the development challenges identified in the Fifth National Development Plan (FNDP) for 2006-2010 and the United Nations response as outlined in the United Nations Development Assistance Framework (UNDAF), which in turn take into account the

United Nations Conventions and the MDGs. The CPAP has been prepared in close consultation with key stakeholders and defines the broad outlines of the goals that the Government and UNDP jointly subscribe to, within agreed financial parameters.

2.2. Problems that CDP/CPAP Seeks to address

2.2.1. HIV and AIDS

The HIV prevalence rate across the country stands at 15.6 per cent among adults aged 15-49. However, at 18 per cent, the prevalence rate for women is higher than the one for men, which stands at 13 per cent. Similarly, girls aged 15-19 years are disproportionately affected as they are nearly 3.5 to four times more likely to be infected than boys of their own age. In addition, among the Zambian women of childbearing age attending antenatal clinic, overall HIV prevalence has remained at 19 per cent, virtually unchanged between 1994 and 2004. The health impact of HIV and AIDS has imposed an extra burden for women and girls as the main caregivers for the sick and other dependents. For instance, only 13 per cent of orphans and vulnerable children receive free basic external support, implying that the bulk of the balance 87 per cent has to be provided in households where women and girls play predominant roles.

Scaling up prevention and control efforts is at the core of Zambia's AIDS strategy, and the responses advocated are those that go beyond the usual public-health parameters of epidemic control and technological interventions – for success in keeping the epidemic in check. Moreover, scaling up the effective responses is critically important also for the achievement of the MDGs in Zambia.

Accordingly, measures being put in place to keep the epidemic in check are wide-ranging and include the following: sustaining a full-scale AIDS response over at least another generation to reduce the number of deaths and off-sick days by ensuring that AIDS becomes part of everyone's agenda (including workers unions, professional association, faith based groups, traditional leaders and the private sector), strengthening linkages between government and civil society and meaningfully engaging with people living with HIV and AIDS, in the planning, implementation and evaluation of HIV related activities; mobilization of resources necessary for effective HIV and AIDS responses (prevention, care and treatment); scaling up the national plans on HIV prevention, treatment and care services to increase access by 2010 and ensuring effective and efficient utilization of resources through better coordination of all activities concerned with HIV and AIDS; tackling sensitive issues (such as: common practice of concurrent sexual partners; transactional and cross-generational sex); gender inequality; poverty; stigma and discrimination around sexuality. This also includes prioritizing the provision of life-protecting services to women and girls, the socially marginalized, the very poor and the most vulnerable members of society.

2.2.2. Democratic governance

Zambia's development challenges cannot be met without the deepening of democratic governance. A democratic polity entails a number of features which include, for example, a strong Parliament, a functioning and responsive public administration, an overall institutional and legal environment that both supports and encourages civil society and private sector engagement, and effective policy debate, and fair and transparent political processes. Against this scenario, the governance system in

Zambia is still characterized by a number of limitations, including weak governance institutions; limited public participation in decision making at national and sub-national levels; and weak mechanism for coordination of Government business. Key among these weaknesses is the limited role of the National

Assembly and other statutory elected bodies in the poverty reduction discourse. For development to be inclusive and responsive, sustained investment in the capacities of such institutions is fundamental.

The system is thus characterized by limited individual and institutional capacities and capacity utilization at sub-national, national and supra-national levels to ensure that Zambia effectively integrates its rights and obligations sub-regional, regional and global domains; delays in the ratification and domestication of international protocols, covenants and other instruments; and limited public awareness of international instruments and their implications that Zambia has acceded to.

The Government's efforts at bringing about a scenario of good governance during the past decade include: the preparation of the *National Capacity Building Programme for Good Governance*; review of the republican constitution; review of the electoral law; commencement of implementation of the new decentralization policy; acceding to the African Union Peer Review mechanisms; and acceding to various human rights conventions and other international protocols. UNDP support, as set out later in this document, prioritizes deepened support to these areas as vital elements of the democratic governance equation.

It therefore stands that much has yet to be done to develop systems of responsive and inclusive governance; facilitate the efficient and effective delivery of basic services; ensure civil society participates in decision making processes; and ultimately maximizes the welfare of Zambian communities and individuals. This challenge must be met not least because the burden of a weak governance system falls on the poor and vulnerable segments of the population since these are often the voiceless and powerless.

2.2.3. Gender equality

The Government of the Republic of Zambia is fully aware of gender imbalances in the country, which produce a *gender development index* ranking Zambia at 130 out of 140 countries. Gender inequalities and disparities are entrenched within society. Weak coordination and monitoring mechanisms continue to hamper the impact of efforts to promote gender equality, as do limited gender analytical skills amongst policy makers, planners, economists and budget analysts. The limited availability of gender disaggregated information and a lack of a well-defined baseline in the sectors compounds the challenge.

As a consequence, a majority of women continue to be discriminated against in the accessing, controlling and owning of resources, opportunities and services. Similarly, their participation in decision-making is still low and the proportion of seats held by women in parliament is still below the SADC target of 30 per cent, which Zambia has adopted as the own national target.

Gender inequalities continue to exist at all levels as evidenced in all sectors of national development and situation analysis of gender issues in Zambia reveals that some challenges still remain critical and fundamental to the country's achievement of its vision and goal on gender and the Millennium Development Goals. These include chronic and increasing poverty; institutionalised gender inequality as reflected in the low status and limited opportunities for women and girls; the multiple impact of HIV and AIDS and other chronic diseases on women and girls; gender based violence; low education achievement; limited employment or income generating opportunities; low levels of representation of women in all spheres of decision-making positions; and negative cultural practices that constrain women's advancement in economic, social, and political arena.

2.2.4. Environmentally Sustainable Development

The Inter-governmental Panel of Climate Change now considers that the causes of climate change can now be attributed—with 90 per cent assurance—to human economic activity. Sub-Saharan Africa is slated to be disproportionately affected by its effects, thus putting into question the sustainability of the objectives of Vision 2030 and the Fifth National Development Plan for 2007-2010. Zambia does not emit significant carbons (reported to be one per cent in Zambia's first national communication report of 2002 on climate change). However, the issues of climate change have now come to the fore, given the evident effects of climate change on the weather patterns that result in frequent floods and agricultural droughts thereby impacting adversely on the sectors of agriculture, water resources, natural resources, energy and health. Zambia's experience of these negative effects has led to a strategy in the FNDP to incorporate climate change issues in the development processes.

Implementing such a strategy faces the following challenges: vulnerability and limited coping capacity of the poorest to the impacts of climate change; various institutions dealing with Climate Change related issues in ad hoc and un-coordinated manner; opportunities offered by Kyoto Protocol (e.g. carbon credits) are not exploited; limited institutional capacity to sufficiently address climate change; lack of knowledge and limited public awareness on the adverse impact of climate change.

The United Nations Convention on Climate Change and its Kyoto Protocol, though ratified, are not yet domesticated; there is limited integration of climate change adaptation into national development strategies, a situation that can exacerbate human poverty. There is currently no policy in place specifically addressing Climate Change issues, although there is a brief reference to climate change management in the National Environment Policy and in the Energy chapter of the Fifth National Development Plan; there is no institutional framework for the management of the opportunities deriving from Kyoto Protocol. For the reasons discussed here, the Government has requested UNDP to play a major role in climate change adaptation efforts, as part of its overall support to the crosscutting environment sector.

Zambia possesses vast wealth in natural resources including renewable and non-renewable energy sources. These resources have contributed significantly to the country's economy. However, in the energy sector the country's focus has largely been on the non-renewable sub-sector of hydro-power, petroleum and coal. This sub-sector has been closely linked with the level of economic activity while renewable energy options (solar, mini-hydro, and wind) have remained relatively neglected. The subsector is growing, albeit from a modest base.

The Government of the Republic of Zambia is increasingly recognizing the potential role of renewable energy in socio-economic development. The promotion of renewable energy options is thus one of the strategies for sustainable energy development under the FNDP. The development of renewable energy sources will afford rural and peri-urban communities real opportunities for accessing energy services that they are normally unable to access from the conventional energy sources for such purposes as heating, lighting, cooking, water pumping, and refrigeration. Without access to such energy services people have to spend a great deal of time and physical energy on basic subsistence activities rather than on earning income.

Moreover, lack of energy correlates closely with many indicators of poverty such as poor education, inadequate health care and other hardships imposed on women and children. Reliance on traditional fuels for cooking and heating and other uses can have serious impacts on the environment and people's health.

As the demand for energy increases, it is necessary that Zambia looks for other energy alternatives to complement the conventional energy sources and to help reduce the costs associated with the importation or production of such energy sources such as petroleum, electricity and coal. Moreover, the current methods of producing and using fuel wood and charcoal is inefficient, unsustainable and detrimental to the environmental health.

2.3. Immediate and developmental objectives of the CPAP

The UNDAF is closely aligned with the priorities of the FNDP and focuses on four inter-related areas of cooperation where the United Nations system can utilize its accumulated experience, technical expertise and financial resources towards achievement of the MDGs: (i) HIV and AIDS; (ii) Basic social services; (iii) Governance and (iv) Food security. Promoting gender equality and integrating environmental sustainability will feature within all support provided by the United Nations country team.

In line with the UNDAF, UNDP will contribute directly to the FNDP through four intended outcomes directly aligned to respective sector priorities within the Fifth National Development Plan. These areas are:

- (i) Responding to HIV and AIDS
- (ii) Fostering democratic governance
- (iii) Environmentally sustainable development
- (iv) Gender responsive development.

Responding to HIV and AIDS

Following the establishment of the Joint UN Team on AIDS in early 2007 by all United Nations Agencies in Zambia established, The UN Programme on AIDS supports the Fifth National Development Plan (FNDP) and the Zambia AIDS Strategic Framework (ZASF, 2006-2010) aims to achieve four outcomes:

- (i) An effective, efficient National AIDS Council that is able to achieve its mandate.
- (ii) Access to an effective and comprehensive package of HIV prevention services, based on approaches that address the underlying drivers of the epidemic, is increased.
- (iii) Access to treatment, support and care is increased.
- (iv) The institutional capacity to mitigate the socio-economic impact for people infected and affected by HIV and AIDS is strengthened.

Within the framework of the Joint UN Programme of Support on HIV&AIDS (2007-2010), UNDP CDP/CPAP is responding to the multi-sectoral challenges induced by the epidemic and contributing to the comprehensive United Nations system action, wherein UNDP is designated as the lead for addressing dimensions of the HIV&AIDS relating to development, governance, mainstreaming, legislation, human rights and gender. In essence, the four priority areas of support are:

- (i) Integrating HIV&AIDS concerns into national development processes;
- (ii) Strengthening the governance component of AIDS response;
- (iii) Promoting human rights and gender equality; and
- (iv) Accelerating implementation of local and global initiatives to tackle HIV&AIDS.

Subsequently, UNDP through its CDP/CPAP has supported the Government in the development of multi-sectoral responses. UNDP's main role in supporting the implementation of the strategy is capacity development and the objective is to provide technical assistance in ways that lead to effective responses to the epidemic while simultaneously strengthening local institutions and human resources.

Fostering democratic governance

UNDP support to related FNDP sectors will develop national capacities to coordinate national efforts and international support. The establishment of a development assistance database is instrumental in facilitating national oversight of the aid discourse and in empowering a broad base of national stakeholders with information on the quantity and content of development assistance to Zambia. In line with the RBA strategy of capacity development for pro-poor growth and accountability, UNDP support will help to develop capacity at the Ministry of Finance and National Planning for pro-poor policy formulation, implementation, monitoring and evaluation.

In this regard capacity development support to the Ministry will be in two phases; developing the capacity of Ministry staff to undertake strategic studies through training as well as support the production of high quality policy studies that are of direct policy relevance to the Ministry. The main areas will include, support to the:

- (i) Coordination of governance issues between Government and the international community
- (ii) National Assembly
- (iii) Electoral Commission
- (iv) Africa Peer Review Mechanism process
- (v) Constituent Assembly
- (vi) Access to justice and the institutionalization of human rights

Energy and environment for sustainable development

The Government recognizes that the quality of human development is symbiotically linked to the state of the natural environment. UNDP will therefore support interventions that are crosscutting imperatives for achieving sustainable development in general and UNDAF outcomes in particular. UNDP will play a key role in environmental support, including capacity development for the localization of international commitments. Support for interventions that will ensure the availability and accessibility to adequate and reliable supply of energy services from various sources at the lowest total economic, social and environmental cost consistent with development goals of sustained growth, employment generation and poverty reduction.

UNDP will work with GEF and draw on the experiences of other countries, especially those in the global south that have progressed in work on areas such as biodiversity conservation and land management.

UNDP will support the strengthening of national capacity to address climate change issues by promoting comparative policy options for creating fiscal space and fiscal incentives for growth with conservation, and adaptation to climate change. Interventions will aim at reducing the adverse impact in the most affected sectors indicated in the first national communication, namely: agriculture, natural resources, public health, water and energy. Support will also be provided for the preparation of the national communication(s). This will contribute to the fulfillment of the requirement of Parties to provide to the Conference of Parties (COP) information on the implementation of the Convention.

Gender Responsive Development

The United Nations country team has been assigned the role of lead cooperating partner for gender in the JGSP. In response to this, UNDP has been requested to provide specific support on gender-related issues. As part of harmonized support to the sector, UNDP will support the fundamental shift in thinking and action towards reducing gender inequalities.

The programme strategy will be to increase the human resource capacity for GIDD to effectively coordinate and provide technical assistance as well as skills enhancement throughout the institutional framework. Specifically, the programme strategy for capacity enhancement will include;

(i) Dialogue with the Management Development Division and the Public Service Management Division, on the structure/establishment of GIDD and Gender Focal Point System.

(ii) Use of short term and long term technical assistance. GIDD will require support in the execution of the programme and, therefore, additional staff will be recruited as long term technical assistance focusing on legal matters; information and communication; programme management; and monitoring and evaluation¹. This TA will be for the duration of the programme and will be recruited based on GRZ Personnel Conditions of Service. This support will allow time for reviewing and effecting the GIDD establishment in line with its capacity requirements. Short term assistance will also be obtained on need basis in identified areas requiring technical support in GIDD or sector level. The provision of Technical Assistance will be undertaken within the framework of the National Aid Policy as well as guidelines on technical assistance. In addition to TA, GIDD will require institutional capacity strengthening which will include vehicles. At the moment GIDD has three vehicles to service 10 technical staff that cover all the nine provinces and seventy two districts for coordination and monitoring of gender mainstreaming activities. The current vehicles are over five years old and have covered over 100,000 kilometres and hence, require replacement.

(iii) Sector specific training in gender analysis, gender mainstreaming and gender responsive budgeting and financial management. A number of training modalities will be used such as on-job training for new entrants in the system; twinning to facilitate transfer of specialised skills such as gender budgeting, gender statistics and development of gender equality indices; Learner Directed Training (LDT) for self-paced training and online training on gender mainstreaming in specific sectors including emerging issues such as climate change. For workshop modality and institutional based training, conceptual and theoretical aspects of gender mainstreaming, human rights and gender budgeting using the identified training institutions such as NIPA; ESAMI; UNZA Gender Unit; and ISTT. For twinning GIDD will engage institutions such as the South African Gender Equality Commission to arrange for exchange programmes.

2.4. Main stakeholders

Working together is critical to the stretch to reach the Millennium Development Goals. Therefore, the UNDP continues to expand efforts to build strategic partnerships. The major challenge is to be seen as a trusted partner to all our partners through offering unbiased, well-researched advice on strategic development challenges facing the country. Key partners include:

- (i) The Government of the Republic of Zambia
- (ii) Zambian civil society and international civil society
- (iii) Bilateral donors
- (iv) Private sector

¹ The meeting with the Management Development Division and the Public Service Management Division will facilitate the identification of actual skills gaps, and development of Job Descriptions and Key Result Areas for the proposed additional staff as well as review the GIDD Structure.

- (v) Academia
- (vi) UN agencies and International financing institutions

UNDP also works closely with civil society organizations (CSOs) to promote the Millennium Development Goals and to help people to build a better life. It encourages policy dialogue between government, CSOs and donors and advocate for legal and regulatory environments that enable CSOs to contribute to the development process. UNDP also helps CSOs to develop their own capacity by connecting them to knowledge, experience and resources.

2.5. Expected Results

UNDP support will have a dual function throughout the period 2007-2010. The first is to provide the support within the sector as stipulated by the priorities, objectives and strategies of these 'sectors'. The second is to extend the reach and positive impact of sector priorities across *other* identified sectors of the FNDP. The Government believes that UNDP's multisectoral development profile makes it well suited to deliver in this respect, provided the country office has the capacity to deliver

The new CDP/CPAP envisaged will enable UNDP to:

- (i) deepen investments in national capacity development based on the 'integrated package of services' and support to national coordination under the fifth national development plan;
- (ii) play a more prominent role in aid coordination and in policy analytical work, drawing proactively on global good practices, including those emerging from South-South knowledge transfer;
- (iii) make an effective contribution to the United Nations joint programme on HIV and AIDS, Human Rights and Gender; and the Promotion of the MDGs;
- (iv) provide cross support on the capacity development requirements of all of the intended outcomes of the UNDAF and crosscutting issues; and
- (v) strengthen internal controls, management of risks, accountabilities, and the evaluability of UNDP support, including through professional certification of core functions. The UNDP country office will further invest in updating staff skills and profiles in the above areas. UNDP will seek to build partnerships with its regional service centres for expertise and information when needed.

3.0 Findings

3.1 CP Formulation Process

The design of CPAP was responsive to the national and sectoral development challenges and opportunities, and consistent with the national development priorities as contained in the FNDDP. In the design phase, all stakeholders were fully involved, and there is a strong feeling of ownership among the stakeholders. The UNDP interventions at the National Assembly for instance responded to a specific component of the National Assembly's internally developed strategy.

The consultative approach should be replicated in future programme design. This can be facilitated by provision of adequate planning horizon for UNDAF.

However, addressing gender in most of the programmes is considered only in terms of parity in participation and meeting their needs. Although it is necessary to ensure that women needs are met and that women participate and benefit equally from projects, it is equally important to recognize and take into consideration the difference of conditions, needs and interests of women and men in realizing their rights and opportunities during programme design and formulation.

More rigorousness is needed at the design stage in assessing the capacities and commitment of the selected implementing agencies. The majority of UNDP implementing agencies are Ministries or government departments. Even though the capacity assessment and level of commitment of the implementing agency is not rigorously reviewed, to determine the needs of the organization, UNDP projects are generally set up within the appropriate departments. For example, the Reclassification project is managed by the Ministry of environment under the Zambia wildlife authority renowned for its reserve parks management in Zambia; the National Capacity Self Assessment is placed in Ministry of Environment; and implementation under ZAWA.

By placing such projects in prominent institutions, UNDP succeeds in promoting national ownership of projects as well as access expertise, set up networks for policy advocacy and accessing policy makers. Regrettably though, the limited institutional capacity of some of the organizations detracts from optimizing on the potential of the projects.

3.2 Implementation

i) Use of Logical Framework

The logical framework was weak as a management tool mainly because of the absence of activities. The specification of outputs and outcomes was also not consistent with standard SMART principles. The outputs were generalised and needed to be more specific as intended primary (initial) results of activities to be undertaken.

Apparently the omission of activities in the log frame was justified on the fact that the activities would appear in the annual work plans. For effective implementation, the annualised activities must be premised on the CDP/CPAP activities that need to be clearly outlined in the log frame.

There is need to recast the log frame with column provisions for better specification of outputs/outcomes, activities, indicators, and responsibility centres for each activity. The indicator column should reflect both output and outcome indicators.

ii) Performance

The general picture is that UNDP interventions have made significant impact on targeted beneficiaries.

The framework of UNDP CPAP programme goals and the national priorities encompass a wide range of activities and the likelihood for a project to be in line with the programme framework and national priorities is strong. The Challenge though is the capacity (Human Resource) both of UNDP and the implementing partners to successfully implement these programmes. It is necessary to assess capacities of implementing agencies before projects are started.

Case Study

The UNDP supported introduction of Bangladesh model of micro finance has enabled the Micro Bankers Trust (MBT) significant results in Chongwe.

- By end of 2007, 1700 members reached against a target of 1200
- 100% repayment compared to 36% nation wide before project
- Financial sustainability of branch operations
- Reach distant vulnerable groups within 50km radius
- Community leadership developed as a result of MBT procedures
- Community voluntary spirit and work enhanced
- At household level, better access to food, school, shelter
- Gender development since project targets women
- HIV/AIDS linkage
- Linkage to other development organs e.g DATF

Strategies and capacity building efforts to promote access to HIV/AIDS assistances and initiatives, and justice by the poor & vulnerable have improved, with several innovations especially on in HIV/AIDS governance, empowered legal mandates of the DATFs underway to broaden channels of operationalisation.

The National Executive Framework (NEX) modality is based on transferring the implementation and administration of the project to the implementing agency. But some partners and collaborating donors have observed delays in UNDP releases of funds.

These delays have negatively impacted on project implementation. On most the implementing partners, such delays were attributed to the following factors that have had considerable impacted on the CPAP;

- Much of the delay on project delivery is attributed to delays in hiring procurement, approval, financial procedures and or cumbersome bureaucracy within government system. On occasions delays have been caused by UNDP system requirements as well.
- Limited flexibility within the procedures sometimes delay processes;
- Limited knowledge of procedures and requirements also delays progress.

It may be necessary to ensure adequate sensitisation/training of partners on UNDP financial procedures.

iii) Institutional Arrangements

The basic approach of working with partners within their existing organisation structures helps to build capacity and promote sustainability of achievements after end of a project. It is noted, however, that institutional capacities in many partner institutions are weak. Capacity building should therefore be encouraged as an integral part of project design.

One other challenge noted was the poor communication between staff in the UNDP and some partners particularly government. UN staff noted that it was usually difficult to relay important programme messages to staff in government. This is both through phones, which do not normally work or if they work, messages are not relayed to the intended staff, while internet usability is still way behind.

It is further evident from the overall findings that many of the projects contained capacity building components either implicitly or explicitly. There are evidences of training seminars, workshops and the like. Yet the indicators to verify the results of capacity building per se are lacking. The end results of these capacity building efforts, in more cases than not, remain either unknown or, at best, are simply assumed.

iv) Partnership Strategy and Synergies

The partnership approach appears appropriate and effective in pooling resources. Many partners and Donors recognise UNDP's technical capacities as necessary to complement their own interventions. The implementing partners have a high regard for UNDP as a UN agency. They frequently cited responsiveness, neutrality, administrative efficiency and flexibility, as well as UN's understanding of the realities of Zambia. The donor agencies also expressed satisfaction with UN and the UNDP in particular appears to be perceived very positively, although, they still regard UNDP as a donor. There is need to continue and strengthen the partnership approach through robust coordination arrangements.

UNDP CPAP responds well to requests where the UN system has a comparative advantage or can offer an alternative partnership approach; that is explored through networking, both formally and informally, with potential partners. This however requires regular contact and the participation of a wide cross-section of the development network, including CSOs and the small but growing Zambian private sector.

The Zambian government administration is generally under-resourced in skills and finances. A key issue is to design programmes and projects that are sufficiently simple and straightforward that the government and the UNDP can readily coordinate and administer activities while sufficiently well designed that they can deliver the planned services effectively. Another issue is developing strategic partnerships for the delivery and management of programmes and projects. The possibility of more joint programming and evaluations among UN agencies and with other development partners should be further investigated.

Strategic support may be needed in helping Government to finalize national policies and planning frameworks. For example, the meteorological department is meant to have moved away from the current ministry of Transport to the Ministry of Environment, but such recommendations have since been passive. Similarly, the long term FNDP is critical to laying out the long-term vision for pro-poor human development in Zambia. The UNDP has extensive experience in ensuring that national plans are comprehensive and grounded in human rights, evidence, and results. Further, due to activity and project inertia, the UNDP can help to mainstream the National Contingency Response Plan into the overall national development agenda.

3.3 Monitoring and Review

Monitoring appears to be generally weak especially at government ministries where there appear both human resource limitations and financial resources limitations for monitoring. The Ministry of Finance and National Planning has established the M & E Department to improve monitoring of all government projects. The department is still in its formative stages and rather weak. There is need for full operationalisation of this department to improve the government's overall M & E framework. There is also need to strengthen M & E capabilities at all implementing agencies. The UNDP's M & E framework should be premised on the generally weak M & E capacities at implementing agencies. The on going establishment of a dedicated M & E unit at UNDP will help improve the overall M & E arrangements.

3.4 Stakeholder Participation

Stakeholders have generally participated in the CPAP implementation and decision making through meetings and reports. However, there is a feeling among civil society that they tend to be marginalised in decisions regarding programmes where government agencies tend to dominate. There also appears to be substantial scope for raising the profile of private sector in partnership arrangements especially in the environment component where the private sector is a major stakeholder.

Participation in programme/ projects and processes at both the National and Local levels have improved, with active civil society organizations networking with community-based groups to promote improved participation in planning and holding government accountable. However, the capacity of the private sector, NGOs & CSO to actively engage in budget and expenditure reviews and for holding government accountable remains weak .

3.5 Financial Planning

Given the resource limitations, the co-financing strategy helps to promote adequate packaging of resources. The UNDP technical skills are generally appreciated by Donors who may have financial resources, but need complementary technical assistance to make meaningful interventions.

With Government agencies, UNDP interventions help fill gaps in Government financing. This helps maintain overall programme responsibility within government agencies. The government also has responsibility for further resource mobilisation.

UNDP interventions at community level such as Participatory Development Management Project or the micro finance project may be the only significant project resource inputs. Both projects appear successful at pilot phase. Replication or scaling up of these two projects will require effective operational synergies and partnerships that can promote pooling of financial and organisational resources.

The use of UNDP resources appears to be generally cost effective in terms of achievements. A major risk to cost effectiveness will arise from pressure to spread widely projects that target communities directly. Already there was pressure in Chibombo for the Participatory Development Management Project to spread to other areas beyond the project geographical boundaries. It is important that the project coverage is maintained within practical, achievable limits that are consistent with high impact. In future replication or scaling up of successful pilot projects, there is need to resist pressure for spreading the reach of community projects too thinly at the expense of project impact.

The CPAP total expenditure for the first two years (2007 and 2008) is given in table 3.1 below. The regular (core) budget for the entire 4 year period was \$10m. But the actual expenditure in 2008 alone

was \$12m i.e 20% above the 4 year budget. The total expenditure for the initial 2 years was \$15.9 i.e 60% above the total budget for the total CPAP period. The high variance between budgeted and actual expenditure may have been aggravated by factors such as cost escalation and large foreign exchange variations, but the magnitude of the variance indicates serious under budgeting that leaves no regular budgeted resources for the last two years of the CPAP.

Table 3.1: Resources Framework (Amounts in US\$ Thousands)

	Indicative Programme Budget for CPAP period (2007-2010)	Programme budget 2007	Expenditure 2007	Programme budget 2008	Expenditure 2008
Regular (Core)	10,000	5,700	3,689	5,880	12,189
Other (Non-Core)	24,058	5,571	5,009	12,757	6,030
Total	34,058				

Source: UNDP, Lusaka

In the light of this MTR, the budget and activities will need to be revised for the remaining CPAP period. It is also important to be as realistic as possible in the budget and planning process. Assumptions on which plans and budgets are based should be realistic and should reflect both historical data as well as rational expectations that include other realistic sources of expectations. Among factors to be considered in the assumptions are the recent escalation of food prices, the global financial crisis, and exchange rate fluctuations.

The non-core expenditure of \$11m for the initial 2 years is just below 50% of total budget. This leaves just over 50% for the remaining period. This may indicate a smooth spread of non-core resources over the CPAP period. It is noted, however, that for 2008 the expenditure of \$6m was just 47% of the budgeted amount for that year. It is possible the budget surplus on this item may have gone to mitigate the deficit for that year on the regular (core) budget. Whatever may have happened, a large surplus means unacceptable levels of variance with implications for project implementation. Budget surpluses of that magnitude could usually mean significant project activities were not performed.

3.6 Millennium Development Goals (MDGs)

The Millennium Development Goals (MDGs) together with other national development priorities are the key elements on which the FNDP is premised. Through its conformity with the FNDP and indeed specific reference to MDGs, the CPAP draws on MDGs. Three of the four CPAP's intended outcomes have directly targeted MDGs. These are:

- Responding to HIV and AIDS,
- Environmentally sustainable development, and
- Gender Responsive Development

The 4th outcome i.e Fostering Democratic Governance has an indirect link to practically all MDGs.

According to the 2008 MDG Progress report as shown in table 3.2, Zambia has made good progress. The supportive environment is generally good and encouraging.

Table 3.2: Summary Glance on MDGs 2008 Report

MDG Focus	Will Target Be Met?	State of Supportive Environment
MDG 1: Extreme Poverty	Potentially	Strong
MDG 2: Primary Education	Likely	Strong
MDG 3: Gender Balance	Likely	Fair
MDG 4: Child Mortality	Potentially	Strong
MDG 5: Maternal Health	Potentially	Strong
MDG 6: HIV/AIDS, Malaria, Other Diseases	Likely	Good
MDG 7: Environment	Unlikely	Fair
MDG 8: Global Partnership		

Source: Ministry of Finance and National Planning, 2008 MDG Progress Report

It is generally recognised that HIV and AIDS are among factors that limit the achievements of other MDG goals. Environmental sustainability is the only MDG considered unlikely to be achieved while Environment and Gender are the two MDGs with the relatively weakest supportive environment. It is thus observed that UNDP's thematic areas have directly targeted the relatively most challenging MDGs in Zambia. These MDGs are also associated with high strategic propensities for sustainable development.

Performance Specific Programme Outlook

In the tables below, we summarise the performance of CPAP under the main thematic areas. The tables show that all the CPAP outcomes are likely to be achieved during the planned period.

Table 3.3: Thematic Area 1: Responding to HIV and AIDS

Intended Outcome: An effective, efficient NAC that is able to achieve its mandate

Intended Outputs	Achieved	observations	Probability of Achieving outcome
HIV and AIDS mainstreaming capacity developed	Mainstreaming toolkit and handbook institutional capacity frameworks and external mainstreaming strategies in place	Mainstreaming has been a fairly good attempt especially with gender and human rights in the country	Likely
Capacity of the Cabinet Committee of Ministers on AIDS, the NAC board, NAC secretariat at national and sub-national levels (PATFs, DATFs and CATFs) to lead, plan, coordinate, monitor and evaluate the gender sensitive and rights based national multisectoral response is strengthened	<p>2006-2010 NASF developed Annual action plans developed Annual action plans costed</p> <p>Guidelines for the roles and functions of Cabinet committee, NAC board, NAC secretariat, PATFs, DATFs and CATFs developed</p> <p>Cabinet committee, NAC, PATFs, DATFs and CATFs members trained in HIV/AIDS & development leadership</p> <p>Partnership forum, cabinet committee and Board meetings held TRIPS strategy established and influencing policy and practice</p>	<p>This has largely been a success so far but less input in advocacy for policy and action on accepted policy instruments</p> <p>The platform looks firm and feasible while Many of these activities are still on going in this section</p>	Highly Probable
HIV and AIDS mainstreaming capacity developed	<p>Mainstreaming toolkit and handbook Institutional capacity frameworks and external mainstreaming strategies in place</p> <p>Policies and guidelines on coordination in place Gender analytical tools in place Human rights strategy developed</p> <p>Sustainable human resource strategy for mainstreaming developed and implemented</p>	<p>Main streaming has been a fairly good attempt especially , with gender and human rights in the country</p> <p>built capacity for the mainstreaming process, and identifying priority areas for the immediate implementation on going</p>	Probable

<p>The NAC and sub-national (provincial, district and community levels) institutional capacity for M&E, database and information systems) in place and linked to the Central Statistical Office</p>	<p>National M&E systems developed Sub-national M&E systems developed</p> <p>Resource tracking systems in place M & E information system in place</p>	<p>District M & E systems are in place but the entire log frame challenges it.</p> <p>There is Evidence of link to CSO and other national systems.</p>	<p>Probable</p>
<p>A national framework to support capacity development within key institutions addressing the impacts of HIV and AIDS, involving people living with HIV, operationalized by 2010</p>	<p>Framework for capacity development developed and implemented</p> <p>key government officials trained on gender, HIV and AIDS mainstreaming</p>	<p>This area has been largely a success.</p> <p>Civic participation and at national and local level in all programme was supported and achieved</p>	<p>Probable</p>
<p>The capacity of microfinance institutions to provide sustainable microfinance services to PLWA and the most vulnerable strengthened by 2010</p>	<p>Selected branches set up and operational establishment of seed capital arrangements</p> <p>Overview of legal framework for microfinance conducted operational guidelines finalized solidarity groups formed</p> <p>Most vulnerable client capacities enhanced in business development and group dynamics</p> <p>Solidarity funds established at sub national level s</p> <p>Reporting/accounting system s established in the MFIs</p> <p>Disbursement of micro loans to PLWA not done</p>	<p>With the release of the pooled funding guidelines in May 2009, this likely to be boosted, but still UNDP has continued to provide financial advances to NAC.</p> <p>On going</p> <p>Delays in disbursements can demoralize PLWA</p>	<p>Probable</p>

Challenges

- *Capacity constraints at national, district and community levels:* The most critical capacity gap at all levels is the shortage of human resources which affects the delivery of quality services to the communities. This is worsened by the fact that most of the services are provided by community volunteers who mostly are not properly qualified (although some training has been done) and conduct business at their own pace.

- *Weak inter-sect collaboration:* limited collaboration of key Ministries and partners working in HIV and AIDS programmes and projects poses a challenge of non convergence of services thereby affecting the quality of care the public are receiving.
- *Incentives for community volunteers/caregivers:* Attrition among volunteer caregivers is high. Because of this, the UN continues to train more people in order to ensure that a core group will remain operational. Providing incentives to volunteers is crucial. These incentives should be government-based (payroll) or community-based if they are to be sustainable.
- *Monitoring constraints:* Although the district M &E systems have been developed, absence of an appropriate national M&E system poses a challenge of data collection and information flow between stakeholders. As such, quality of services being delivered is often compromised and it is difficult to measure impact of the investments made.
- *Definitions:* Some key concepts need to be defined in order to crystallise the focus of the outcome. For instance HIV/AIDS impact mitigation is a broad concept and almost everything could qualify. On the other hand, it can also be too narrowly defined as support to OVC, neglecting the impact of HIV and AIDS on adults. Clarification is needed on these definitions within the context of the UNDAF.
- *Cross-cluster activities:* HIV/AIDS is a cross-cutting issue and, as such, interventions tend to cut across all areas. Decisions should be made as to where these cross-cluster activities belong, whether they can be reflected in more than one outcome, and if so, how to make sure they are not double-reported and double-budgeted.
- Deciding on annual targets in some areas is challenging since our targets are aligned to the national targets. In other areas such as PMTCT and Paediatric HIV care the national targets have been adjusted and targets have been adjusted and aligned.
- Delayed Implementation of certain activities by government institutions and the consequent liquidation of expenditure in line with the payment procedures have slowed down expenditure.

Opportunities

- Inter-agency collaboration in HIV and AIDS represents a significant opportunity to synergise and optimize the UN's support to the government.
- Having more than one UN agency working together provided wider coverage and better coordination of the technical expertise (within the UN division of labour) that the UN provided to the national response. This also removed incidences of duplication of efforts
- The UNDP is intensifying its efforts to mobilise funding for complementary interventions in the sector –pooled funding guild lines.
- It is encouraging to note that a number of civil society organizations which are already working in HIV and AIDS and with children are interested in scaling up care and support. Strengthening collaboration between Ministries of education and such partners and any other stakeholders provides an opportunity to leverage resources towards.

Lessons Learnt

- Delivering as one is slowly and surely becoming a reality as the UN agencies are increasingly working together. (UNAIDS, USAID, UNDP in particular)
- Capacity is critical for improved service delivery and to have the programmes successfully implemented.
- Need to do more on resource mobilisation.
- Team work among the UN agencies as well as with our Implementing Partners is vital
- There is need for advocacy in order for the Implementing Partners and also the nation to be fully informed.

A CDP/CPAP monitoring and reporting system has to be developed within the agencies and with partners to ensure that reporting is done according to the indicators and in a gender disaggregated manner, if UNDP is to be in the position to monitor and evaluate impact

Table 3.4: Thematic Area 2. Fostering Democratic Governance

Intended Outcome: Institutions strengthened to execute, coordinate and implement national development priorities based on principles of democratic governance

Intended Outputs	Achieved	Observations	Probability of achieving outcome
<p>State and non-State capacities enhanced to protect and promote fundamental freedoms and civil, political social economic and cultural rights</p>	<p>South-South solutions sourced to promote civil service efficiency and effectiveness</p> <p>Policy processes informed by scenario-mapping, governance, inventory database functional documentation of human rights collated and indexed</p> <p>Information mapping for the design of human rights programme conducted government, civil, society, and judiciary representatives trained in human rights</p> <p>Curriculum for human rights training developed and mainstreamed into training programmes for parliament, police, judiciary, media and teachers civil society organisations identified and engaged for sensitizations programmes provincial</p> <p>On-demand policy</p>	<p>On going efforts</p> <p>This has been hugely well done and the ECZ especially has been capacitated to handle all elements as required with a high degree of sustainability NHDR published</p> <p>On going</p> <p>The training in legislative analysis was effectively conducted</p> <p>Institute of economic and social research (INESOR) has been greatly supported</p>	<p>Probable</p>
<p>Analytical work s issues papers prepared</p>	<p>No. of studies undertaken based on demand, incl. rapid response policy positions and evaluations of pro-poor policies MDG reports published</p>	<p>Ministry staff undertook strategic studies as well as supporting production of high-quality policy studies that are of direct policy relevance to the government</p> <p>Institute of Economic and Social Research (INESOR)</p>	<p>probable</p>

		and the University of Zambia (UNZA) have supported to formulate home-grown pro-poor economic policies	
Capacity for strategic forecasting and scenario building established capacities enhanced to protect and promote fundamental freedoms and civil, political, and cultural rights	Frameworks for strategic planning developed with particular emphasis on the involvement of Parliament Implementation of the strategic framework	On going	Probable
Communication, advocacy and resource mobilization strategy developed for relevant governance sectors	Strategy document produced Guidelines developed National governance entities with capacities developed for communications, advocacy and campaigns undertaken Volume of resources mobilized for FNDP governance sector results	Done with cooperating partners	Probable
Analytical, coordination, monitoring and evaluation capacities developed for effective implementation of national development plans and policies	Comprehensive FNDP-based strategy and implementation plan in place, action plans for the implementation of FNDP priorities, including those related to the MDGs National development strategies MDG-based Sectoral needs assessments, impact assessments Evidence-based advocacy on NHDR findings influencing relevant sector responses	Community projects implemented in provinces (mostly completed, high probability of full completion) Decentralisation Road map underway NHDR have been published and indication of progress impressive	Probable
	Some studies undertaken based on demand, incl. rapid response policy positions and evaluations of pro-poor policies MDG reports published	Ministry staff undertook strategic studies as well as supporting production of high-quality policy studies that are of direct policy relevance to the	Probable

		government. Institute of Economic and Social Research (INESOR) and the University of Zambia (UNZA) have supported to formulate home-grown pro-poor economic policies	
Capacity for strategic forecasting and scenario building established Capacities enhanced to protect and promote fundamental freedoms, and civil, political, social, economic, and cultural rights	Frameworks for strategic planning developed with particular emphasis on the involvement of Parliament Implementation of the strategic framework	On going	Probable
Communication, advocacy and resource mobilization strategy developed for relevant governance sectors	Strategy document produced Guidelines developed National governance entities with capacities developed for communications, advocacy and campaigns undertaken Volume of resources mobilized for FNDP governance sector results	Done with cooperating partners(DFID/IRISHAID) Additionally, modern Information Communication Technologies are installed within the Ministry of Finance and National Planning	probable

Challenges

- The implementation of the AWP faced some challenges in the first months of the year that are typical in the early phase of programme Cycle and further exacerbated by the death of the former republican president resulting into consequent late start of some activities
- One major challenge experienced relates to resource mobilisation needed to implement the activities foreseen in the AWP. While considerable resources were mobilised in support of key activities such as the Bi-elections, programmes such as the decentralisation and the capacity development programme remain substantially under funded.
- The capacity of implementing partners at both local and central level is another serious common challenge. Further, Inadequate capacity of implementing partners to fulfill general requirements for funding access has also slowed down fund disbursement and delivery.
- Poor communication between the project centers and UNDP as well as poor co-ordination among development partners pose additional challenges and is cause of some delays. An

example of such problems is the cash flow management of the electoral support programme that led to delays in disbursement from both Government and donors.

- The devolution process requires attention. Traditionally communities are radically and rationally resistant to change and therefore the approach to decentralisation should be taken with a critical ear to the ground and eye in the sky up other wise, the concept of speedy country role out may be disastrous.

Opportunities

The challenges above also represent important opportunities. The CDP/CPAP structure is One in avoidance of duplication among the UN agencies and further efforts and resources will be invested in strengthening the co-ordination and working relationship and co-ordination among development partners and the UN. The former UNDAF structure also offered an important occasion for a joint resource mobilisation strategy for the advancement of good governance, human rights and gender equality, as well as for a robust advocacy communication strategy.

Lessons learned

A general lesson that can be drawn is that it is very important to have adequate staff at the government implementing agent working on the projects.

In addition, there is a need to finalize institutional and implementation arrangements, and support implementing partners in complying with the procedure to submit projects and proposals/ access funds and timely report on expenditures

Table 3.5: Thematic Area 3. Energy and environment for sustainable development

Intended Outcome: Sustainable management of environment and natural resources incorporated into national development frameworks and sector strategies

Intended Outputs	Achieved	Observations	Probability of achieving outcome
Capacity developed for domestication of global environment conventions that position environment protection biodiversity and land management as a central target of attaining MDGs	Ratification of CITES convention absorbed in at least two provinces ZAWA staff confidence in CITES processes especially with regards to meeting the commitments enhanced Interagency communication on CITES related issues enhanced	Z AWA, Environmental council of Zambia supported by the MTENR is on-going with this project and have been hugely a success	Probable
Systems processes and scenario planning for climate change adaptation and mitigation strengthened	Strategy for climate change adaptation completed and National awareness on climate change issues enhanced Meteorological Act reviewed and gaps for integration of climate change concerns assessed	On going and huge potential seemingly observed Policy documents have been developed and have been helpful Training has equally been done, strategic plans developed	Probable
Policy framework for effective management, production, and use of renewable energy systems developed / strengthened	Low emissions energy technologies including renewable energy, energy efficiency and/or advanced fossil fuel technologies introduced	Mainstreaming environment and energy and related activities are on going	Probable
Communication, advocacy and sector resource mobilization strategy developed	Strategy document produced for environment and renewable energy Guidelines developed Ministry and DoE staff Trained campaigns undertaken	Environment benefits secured through community- based initiatives and actions- small grants, reclassification has been largely a success	Probable

Challenges

The problem of overlapping activities that leads to duplication resulting into less positive impact needs to be addressed. Coordination and collaboration among sister and similar institutions should be improved. The meteorological department for instance can not work independently from the environmental council, and from WWF. Similarly fragmented activities were very common among sister projects.

The long term lack of national environmental policy had been hugely asset back and now that anew policy is in place, leadership and advocacy responses should be driven to get it out of the shelves.

Apparent issues of policy overall at district and local level that affect the practicability of the programme while there is also need to strengthen national policy on forest, wetland and fisheries.

Decentralisation would come and go along way to strengthening capacities of district councils to be environmentally responsive. District basic environmental officers in a very district would advise, lead, and provide oversight guidance to environmental issues.

Additional support to environmental programmes while integrating gender and cross cutting issues

Capacity development of staff is very important more so that there has been an apparent high level of staff turn over.

The policy at the meteorological department to belong to the Transport sector ministry has rendered the UNDP support fruitless. Effort to advocate for policy change should be hugely supported for it to be transferred to the MTENR.

Opportunities and lessons learnt

The government policy on information and communication Technology is an opportunity in the case of information management

The reclassification project is one of those community initiatives that have been successful and should be replicated

The democracy and local governance at local, levels should be effectively utilised to spread the positive impact of environmental programmes.

Table 3.6: Thematic Area 4: Promoting Gender Equality and Empowerment of Women
Intended Outcome: GIDD capacity for mainstreaming gender in policies, programmes and implementation of priority sectors of FNDP developed

Intended Output	Achieved	Observation	Probability of achieving outcome
Capacities for GIDD staff in gender analysis & techniques enhanced	Training in gender analysis and Techniques Training in negotiations& management conducted	With a dedicated GIDD ministry, gender issues likely to receive priority attention	Probable
Baseline & gender Selected indicators for the implementation of the priority sectors of the FNDP developed	Baseline survey conducted Gender Selected indicators document	There is need to enhance gender segregated analysis	probable
Capacity for Parliamentary Committee on Legal Affairs, Governance, Human Rights and Gender for surveillance reporting on gender developed	Rapporteur mechanism established Training modules parliamentary committee trained	Parliamentary leadership on gender issues is likely to enhance overall political commitment to gender development	Probable
Communication, advocacy and sector resource mobilization strategy developed	Strategy document produced Guidelines developed GIDD and NGOCC staff trained campaigns undertaken Volume of resources mobilized for FNDP gender sector results	Communication strategies will need to vary according to times and target audience	Probable
Legal and regulatory framework for ensuring gender equality and the protection of the rights of women, strengthened	Article 23(4)(d) of the Republican Constitution amended International, regional and sub-regional conventions and instruments for promotion of gender equality incorporated into national Legislation and policies. Gender based violence bill		

	enacted Discriminatory laws identified, reviewed, amended and repealed Laws simplified and translated		
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Challenges

Mainstreaming gender into the UNDP CDP/CPAP is a challenge that needs to be addressed as a matter of urgency. Of immediate concern is the currently aggregated M&E matrix, which would have to be revised to allow for the disaggregation of all indicators, baselines and targets by sex or gender of household head, where appropriate. Ultimately, it is expected that once gender is explicitly counted, it will meaningfully start to count in programming and implementation.

In addition to gender-disaggregated M&E data, it is strongly recommended that all new programmes/projects within the UNDAF include a gender analysis in their situation analyses and that all programme/project evaluations include the evaluation of the impact on gender equality. Moreover, once the UN consistently reports its achievements in a gender-disaggregated manner, it will become more feasible to conduct benefit incidence analyses to determine how women and men are benefiting from UN support and to further build robust gender budgeting mechanisms into the UNDAF.

In addition to a descriptive assessment, the CPAP/CDP has been rated in conformity with the following divisions;

Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)

Table 3.7: Thematic Area 1: HIV/AIDS- Responding to HIV/AIDS

Programme	Assessment	Division	Comments/Remarks
The multi-sectoral response to HIV/AIDS at national provincial and district level scaled up by 2010	Formulation Process/Design	HS	Alignment with national development processes. The finalization of the UNDAF focused in four areas that are also identified in the Fifth National Development Plan (FNDP) as priority areas. One of which are HIV and AIDS. All requisite documents had been reviewed before its design.
	Implementation	MS	Challenge lies at the sub-national levels: effective HIV&AIDS response requires a grassroots approach. The Community level, districts and the provinces need to take the epidemic into consideration in all their strategies and plans. Operational resources from NAC erratic. The engagement and capacity of civil society, and private sector in the implementation is still low.
	Monitoring and Evaluation	U	The use of the LFW has been a setback especially that there are so many unclear output, no indicators vs activities and base line, therefore rendering it short.
	Stakeholder participation	MS	Leadership and capacity development to address HIV/AIDS, Development planning, implementation and HIV/AIDS responses and Advocacy and communication to address HIV/AIDS has not been well initiated. Mainstreaming has continue to be a problem
	Financial planning	U	Consolidate funding would be more impactive Overall financial planning weak

Table 3.8: Thematic Area 2: Governance

Programme	Assessment	Division	Comments/Remarks
Fostering Democratic Governance	Formulation Process/Design	HS	Developed with the Government of the Republic of Zambia to lead to a national long-term vision that outlines development targets for the year 2030 and serves as the foundation for the 5th National Development Plan.
	Implementation	S	Modality is based on transferring the implementation and administration of the project to the implementing agency and this has been well done. Unclear output especially on decentralisation has been a setback. Indeed, a good number of the projects visited had incurred delays in their operations.
	Monitoring and Evaluation	U	Long periods of reviews and feedback renders the LFW un effective M & E should be done on activity basis Reports are submitted late or in some cases not submitted until the end of the project, follow up is disrupted and further delays occur, The quality and in-depth of reporting varies from one project to the other – from the visited projects – many fall short from reporting on the affects and impact of their projects (positive or negative it may be
	Stakeholder participation	S	Communities, COS, NGOs Private sector marginally engaged throughout the electoral cycle. Little knowledge about the governance activities going on in the country. Little power given to constituency offices to link sister projects
	Financial planning	U	Budgets need to be activity based for simplicity Harmonise procurement procedures. Prominent levels of tied funding. Joint funding would be more effective Overall financial planning weak

Table 3.9: Thematic Area 3: Environment

Programme	Assessment	Division	Comments/Remarks
Energy, environment for sustainable development	Formulation Process/Design	HS	<p>Part of the programs and initiatives aimed at integrating environmental resources management and poverty reduction efforts in a sustainable</p> <p>All poverty reduction strategies, poverty reduction have to be taken into account in all environmental strategies and the strategies have to be put in place at all levels – at national and regional level as well as in the communities</p>
	Implementation	MS	<p>Need training manuals Limited time allocated to the AWP and, UNDP need to spear head the exercise. Overlapping and duplication of activities along many fragmented ones.</p> <p>Limited capacity across all areas. Issues of policy overall at district level bring conflicts to affect results.</p> <p>Environmental information management still lagging</p>
	Monitoring and Evaluation	U	<p>Little use of LFW and inadequate occasional programme monitoring especially at programme centers</p>
	Stakeholder participation	MS	<p>Little understanding of UNDP operational policies and procedures. So many adhoc meetings with delayed feedback. Sensitization highly required but not done.</p>
	Financial planning	U	<p>UNDP aid conceptualization lacking Conflicting planning cycle. Design an integrated financial strategy. Overall financial planning weak</p>

Table 3.10: Thematic Area 4: Promotion of Gender Equality and Empowerment of Women

Programme	Assessment	Division	Comments/Remarks
GIDD capacity for mainstreaming gender policies, programmes and implementation of priority sectors of FNDP development	Formulation Process	S	The other thematic areas were designed with gender as a cross cutting issue, but gender was not that well articulated. The formulation process was reasonably consultative and premised on national policies
	Implementation	U	A joint gender support programme is at advanced stage of plan, but not yet implemented
	Monitoring and Evaluation	U	A Ministry of Gender has been established, but monitoring systems for gender development not yet well developed Gender disaggregate data not available
	Stakeholder Participation	S	There is reasonable flow of information to stakeholders
	Financial Planning	MS	Co funding mechanism for joint gender support programme is yet to be finalized Overall financial planning weak

4.0. Concluding Observations

4.1 UNDP'S CDP/CPAP is a well-prepared document. There is a clear concordance between UNDP and the Government's developmental goals as articulated in FNDP and MDGs.

4.2 It appears that practically all UNDP programmes will succeed in reaching the expected results, thereby making CDP/CPAP a successful document.

4.3 Mainstreaming gender into the UNDP CDP/CPAP is still a challenge that needs to be addressed as a matter of urgency. Of immediate concern is the currently aggregated log frame matrix, which needs to be revised to allow for the disaggregation of all indicators, baselines and targets by sex or gender of household head, where appropriate. Ultimately, it is expected that once gender is explicitly counted, it will meaningfully start to count in programming and implementation.

4.4 Communication channels are weak. The type and frequency of communication between UNDP programme staff and project managers as well as project managers with implementing partners has caused delays on administrative issues and/or has fallen short from optimizing on the partnership and support different stakeholders can provide.

4.5 Sustainability plans and strategies are important to define from the outset of the projects since they may affect the design. Sustainability plans of projects are not always defined as part of the project design, document and agreement. Accordingly, some projects emerge to be as short term interventions even though they are not intended to be so.

4.6 While financial and institutional sustainability are both important to ensure the lasting impact of UNDP contribution, it is equally important to consider behavioural sustainability when needed.

4.7 Two emerging issues, namely escalation of food prices(high cost household index) and the current financial crisis will, undoubtedly impact on both the economy on the one hand, and financing UNDP CDP/CPAP remaining activities through contributions of other assistance agencies on the other. It is strongly recommended that any revision of UNDP CDP/CPAP should take these emerging issues into consideration.

4.8 The large variances between both annualized and total CPAP budgeted figures and actual expenditures indicate lack of harmony between planned activities and financial plans. There is need for harmony between operational plans and budgets based on realistic assumptions.

5. Recommendations

5.1 General Recommendations

The general recommendations are premised on the following precepts:

- (i) Long-term growth must focus on human development and realisation of MDGs.
- (ii) Advocacy efforts must increase awareness in meeting development goals.
- (iii) Good governance must be aligned with helping to transform the poor.
- (iv) Capacity development must guide the overall interventions.
- (v) Promotion of gender equality is the key-integrating theme of interventions.

5.1.1 The UNDP CDP/CPAP be viewed as a road map towards sustainable human development, rather than a process document or a rigid mandate. It should have sufficient flexibility to lead to closer interagency collaboration and cooperation, rather than striving to fill the appropriate boxes with different specific projects. This is one way through which the issues of pro-poor initiatives in poverty reduction can be enhanced.

5.1.2 Whenever appropriate, capacity-building components of projects/programmes should be very clearly spelt out, and worked from the former UNDAF. The UNDP CDP/CPAP should continue to contain a systemic approach to capacity building/training, assuring the participation of local educational institutions, which are mostly of high quality.

In order to stimulate beneficiary sub national entities' internal capacity for mobilizing resources, the UNDP's capacity development interventions should empower them with strategic principles and capacity to develop strategic plans that can facilitate resource mobilization.

5.1.3 Resource mobilization efforts should be intensified at all cost, if the original estimates of noncore financing are to be realised. In that vein, a strong collaboration between the Government and UNDP is called for. In addition to the traditional partners, non-traditional partners, who as yet are not associated with the development efforts of Zambia, may also be sought.

It is imperative that government and the UNDP engage in a stronger resource mobilisation drive to raise funds for programmes that do not easily attract funds. The former UNDAF should be used as a resource mobilisation tool for such programmes.

5.1.4 All new programmes/projects within the UNDP CPAP should include a gender analysis in their situation analyses and that all programme/project evaluations include the evaluation of the impact on gender equality.

5.1.5 In order for decentralization to yield optimal benefits, the UNDP together with other partners could assist Government to increase Districts' capacity to deliver services and analyze the decentralization policy. The most fruitful points of intervention would be the implementation of the decentralisation road map as a consultative framework and consensus. Local structures and communities have a key role to play in their own development, and the cooperation between the UN agencies and Government should empower them to reach this goal.

5.2 Recommendations

The specific recommendations are based on the five areas that were specifically targeted for MTR analysis

5.2.1 Design

- The approach to design should continue to be consultative to ensure national ownership and sensitivity to national development priorities
- Capacity building should be explicitly articulated in all projects
- Sustainability strategies need to be explicitly articulated in the project design

5.2.2 Implementation

- The log frame needs to be improved with a specific column for activities, and better articulation of outputs/outcomes and indicators
- Current delays in releases of UNDP funds need to be addressed. Sensitization/training of partners in UNDP financial procedures is one possible strategy
- The partnership strategy needs to be strengthened with more robust coordination and communications systems

5.2.3 Monitoring and Review

- Given the generally weak M & E capacities at implementing agencies, special efforts should be rendered to promote full operationalisation of the M & E department at the Ministry of Finance and National Planning and strengthening of M & E capabilities at implementing agencies.

5.2.4 Stakeholder Participation

- UNDP should examine civil society's concern at inadequate direct engagement with UNDP
- UNDP should design strategies for more pronounced role of private sector especially in the area of sustainable environment.

5.2.5 Financial Planning

- UNDP and government should continue to work together in resource mobilization
- Beneficiary entities should be empowered to mobilize own resources from other sources. The primary strategy would be empowering them with strategic skills and capacity to develop strategic plans that can be used to mobilize resources.
- Financial plans should be closely harmonized with operational plans to avoid large variances between budget and actual expenditure.

6.0 Lessons Learned

Several lessons can be extracted from the mid-term evaluation of UNDP CDP/CPAP.

- 6.1 The UNDAF document should contain enough flexibility so that it can be revised and adopted easily to the changing circumstances.
- 6.2 Close cooperation among UN agencies and harmonizing their programmes with the Government's activities enhance the effectiveness of UNDP CDP/CPAP. Broad participation of stakeholders at design stage has helped promote relevance and responsiveness of the programme to national development priorities. It has also contributed to the national ownership of CDP/CPAP which is absolutely necessary for effective implementation.
- 6.3 The achievements of CDP appear to be sustainable even after the end of CDP. The major factors that promote sustainability are:
 - c) Implementation is premised on existing structures which generally have the capacity to continue with project activities after the project's life
 - d) The projects usually include capacity enhancement which helps organization capacity of beneficiaries to continue
- 6.4 Partnerships have been broadly organized resulting in extensive pooling of financial technical and organizational resources for effective implementation of projects. The partnership approach needs to be strengthened with robust coordination and communication strategies.
- 6.5 Programme implementation has been negatively affected by weak M & E. There is need to develop strong M & E capabilities within UNDP and all implementing partners.
- 6.6 Significant variances between budgeted resources and actual expenditure can derail programme implementation. There is need for harmony between financial plans and operational plans.

7. MTR Annexes

Appendix (A) -Terms of reference

1.2.1 UNDP Monitoring and Evaluation (M & E) Policy

The Monitoring and Evaluation (M&E) policy at the programme level is aligned to the Fifth National Development Plan monitoring and UNDP cooperate evaluation framework as well as United Nations Development Assistance Framework which have the following objectives: i) to monitor and evaluate results and impacts; ii) to provide a basis for decision making on necessary amendments and improvements; iii) to promote accountability for resource use; and iv) to document, provide feedback on, and disseminate lessons learned.

Accordingly this mid-term review is coinciding with the reviews of the FNDP and the UNDAF. It is being undertaken with a view to providing an independent in-depth review of implementation progress, transparency and accountability and for documentation of lessons learnt. Further the review is intended to provide an analysis of how UNDP has positioned itself to add value in the response to the UNDAF and the FNDP and hence identify potential design problems, assess progress towards the achievement of objectives and to make recommendations regarding specific actions that might be taken to improve the programme delivery of results. It is expected to serve as a means of validating or filling the gaps in the initial assessment of relevance, effectiveness, coherence and efficiency obtained from monitoring. The review will also provide an opportunity to assess early signs of success or failure and prompt necessary adjustments; as well as to respond to changes in the national development context and UNDP's Strategic Plan (2008-11).

1.2.2 Objectives of the Review

The overall objectives of the MTR are;

- (i) to identify strengths and weaknesses of the implementation process,
- (ii) assess progress towards targeted outcomes,
- (iii) to identify measures to reinforce what works well and make corrections to weaknesses, and,
- (iv) realign intervention with the emerging priorities if necessary and to the UNDP's Strategic Plan within the overall national priorities.

The review will therefore focus, among other areas, on the following:

- assessing progress made towards meeting set targets and indicators in all programme areas including Resident Coordination System response and advocacy role;
- reviewing institutional and management arrangements of the projects;
- undertaking a partnership analysis, with a view to recommend appropriate strategies for further engagement;
- Assessing progress towards the implementation of development drivers e.g. gender equality, capacity development and south to south cooperation, as outlined in the CP. The main stakeholders of this review are the Ministry of Finance and National Planning as the Executing agency of all UNDP support initiatives and all relevant implementing ministries/organizations and UNDP. They include: Human Rights Commission, National AIDS Council, National Assembly of Zambia, Ministry of Environment, Tourism and Natural resources, Ministry of Energy and water development, Gender in Development Division, Human Rights Commission, and Electoral Commission of Zambia, Environment Council of Zambia, Zambia Wild Authority, Departments of Energy and Meteorology, among others

1.2.3 Scope of the Review

The review will be rights-based and cover all activities supported by CPAP and may also cover activities that other cooperating partners are supporting as long as there is a direct correlation with UNDP support. The focus of this review will be on performance as per set targets and indicators. In doing this, the review will require a thorough analysis of the current institutional and management arrangements. The consultants will be required to carry out desk reviews of key documents such as FNDP and UNDAF reviews, national economic reports, MDG report, Annual Project Reports etc. In addition, the consultants will be expected to interview stakeholders and implementing partners.

1.2.4 Specific Terms of Reference

The review will assess the following:

1.2.4.1 CP formulation process:

Conceptualization/Design: This should assess the approach used in design and an appreciation of the appropriateness of problem(s) conceptualization and whether the selected intervention strategy addresses the root causes and principal threats in the targeted area.

Country Ownership: Assess the extent to which the CP idea/conceptualization had its origin within national, sectoral and development plans and focuses on national environmental and development interests.

Stakeholder Participation: Assess information dissemination, consultation and stakeholder participation in design stages.

Replication Approach: Determine the ways in which lessons and experiences coming out of the CPAP can be replicated or scaled up in the design and implementation of UNDAF.

Linkages between the CPAP and other interventions of the UNDAF and appropriate management arrangements at the design stage.

Implementation:

(i) Use of logical framework

The use of the logical framework as a management tool during implementation and any changes made to this as a response to changing conditions and/or feedback from monitoring and evaluation (M and E) activities if required.

(ii) Performance

Review the progress made towards achievement of national development goals based on reports such as economic reports, MDG reports, human development report, ZDHS; state of the environment reports;

Assess and analyse of the outcomes: whether these are being achieved; reason for any shortfalls and whether there are any unexpected results.

Assess and analyse of the outputs: whether these are being achieved as per schedule and/or whether there is a need to be modified or changed; reason for any shortfalls and whether there are any unexpected results.

Assess of whether the CPAP's interventions can be credibly linked to achievement of the outcome, including the key outputs and assistance provided, both soft and hard (whether the CPAP is contextually relevant);

An analysis of factors within and beyond Ministry of Finance and National Planning's and UNDP's control that are influencing performance and success of the CPAP (including the strengths, weaknesses, opportunities and threats) in contributing to the realization of the outputs and outcomes

(iii) Coherence

Analyse of whether CP outcomes are aligned with the priorities of Zambia as outlined in the FNDP, UNDAF and UNDP strategic plan

(iv) Integration of cross cutting issues

Assess whether crosscutting issues of UNDAF: gender and environment are being adequately addressed in the interventions (as per scope) and have contributed to the achievement of the UNDAF outcomes; and if not, establish the reasons for not addressing the cross-cutting issues and suggest the appropriate remedial measures. Further the UNDAF was designed from a human rights approach and this has permeated through the CP/CPAP. In this regard the review has also to take stock the use of right based approach by assessing :

the extent to which human rights mainstreaming and advocacy in the CDP is influencing government programming the extent to which CP outcomes have contributed to empower rights holder in claiming their rights and duty bearers in promoting and respecting human rights

(v) Institutional arrangements

Assess the adequacy of the institutional and management arrangements within the context of the individual projects (Annual Work Plans (AWP)) that make-up the CPAP.

An assessment of the adequacy of the CPAP institutional and management arrangements within the context of the UNDAF and the FNDP.

Determine factors within and beyond the implementing and executing institutions' control that are influencing performance and success of the CPAP (including the strengths, weaknesses, opportunities and threats) in contributing to the realization of the outputs and outcomes;

(vi) Partnership strategy

Assess whether the CP's partnership strategy has been appropriate and effective including the range and quality of partnerships and collaboration developed with government, civil society, donors, and the private sector and whether these have contributed to improved delivery. The degree of stakeholder and partner involvement in the various processes related to the outputs and outcome. How can synergies be built with other country programmes of the UNDAF

(vii) Synergies

Assess synergies within the three main areas of UNDP's support and with other agencies within the context of the UNDAF.

Propose adjustment to management and implementing arrangements to enhance programme synergies and facilitation of the implementation of the UNDAF

(viii) *Efficiency*: assess the efficiency in the delivery of outputs

1.2.4.3 Monitoring and Review: Including an assessment as to whether there has been adequate periodic oversight of activities during implementation to establish the extent to which inputs (projects/AWPs), work schedules, other required actions and outputs are proceeding according to plan; whether annual project reviews including UN Joint reviews, have been held and whether action has been taken on the results of the monitoring oversight and review reports.

1.2.4.4 Stakeholder Participation: This should include assessments of the mechanisms for information dissemination in the CPAP implementation and the extent of stakeholder participation in management, emphasizing the following:

- The production and dissemination of information generated by the CPAP.
- Partner participation in CPAP implementation and decision-making and an analysis of the strengths and weaknesses of the approach adopted by the CPAP in this arena.
- Involvement of other UN agencies, CSO and CPs in the CPAP implementation, the extent of their support.

1.2.4.5 Financial Planning: Including an assessment of:

The actual cost by objectives, outputs, activities

The cost-effectiveness of achievements

Co-financing (tracking and verifying the level of actual co-financing)

Resource mobilization

Results

Attainment of Outcomes / Achievements of Objectives: The extent to which the CPAP objectives were achieved using Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory ratings (U) and Highly Unsatisfactory (HS).

1.2.4.7 Sustainability: Including an appreciation/assessment of the extent to which outputs/benefits will continue, within or outside the CPAP's domain after the CP has come to an end.

1.2.5. Outputs Expected from the Review

The MTR consultants will be expected to produce:-

A review report, of approximately 40 – 50 pages, structured along the components outlined in the Annex 1. If there are any significant discrepancies between the impressions and findings of the review team and stakeholders these should be explained in an Annex and attached to the final report.

A Power Point Presentation (circa 20 – 25 slides) covering the key points of the MTR

A draft of both of these should be submitted within one week of the end of data collection and meetings, and a final copy within a week of receiving written comments on the drafts.

The drafts and final versions of the products should be submitted to UNDP who will be responsible for circulating it to key stakeholders.

1.2.6.. Methodology: The methodology to be used is presented below:

Documentation Review including, inter alia:

FNDP, UNDAF, UNDP Strategic Plan 2008-2011, CPD, CPAP, Project Documents/AWPs; Progress/ annual review reports

Interviews with UNDP, UN agencies, relevant government departments, cooperating partners, civil society organizations and other stakeholders as well as meetings with teams currently reviewing FNDP and UNDAF respectively.

Field Visits_ to be determined with consultants

Presentation of the Findings in a workshop with identified stakeholders

Appendix (B): List of Institutions Visited

UNDP

Ms. Viola Morgan	Country Director
Dancilla Mukarubayiza	Deputy Residence Representative (Operations)
Mr. Michael Soko	Assistant Resident Representative (Governance)
Ms. Winnie Musonda	Assistant Resident Representative (Environment)
Dr. Rosemary Kumwenda	Assistant Resident Representative (HIV/AIDS)
Mr. John Wayeni	Economic Advisor
Ms. Elda Chirwa	National Economist
Amos Muchanga	Programme Analyst (Environment)

Government Ministries and Institutions

Gender in Development Division

Mr. Joe Kapembwa, Director-Economics and Finance

Ministry of Finance and National Planning

Ms. Agnes Musinga, Director, Monitoring and Evaluation Department

Mr. Edward Simukoko, M & E Specialist, Monitoring and Evaluation Department

Ministry of Tourism, Environment and Natural Resources

Mr. Godwin Gondwe, Chief Environmental Management Officer

Mr. Ignatius Musopelo, Project Administrative Assistant

Mr. Emmanuel Tibaïre, UN Volunteer

ZAWA

Dr. Lewis Saiwan, Director General

Mr. Sitali Liwena, Projects Coordinator

National Assembly

Mrs. D. Mwinga	Clerk of National Assembly
Ms. H. Kazela	Head (Admin & HRM & Dev)
Mr. Happy Phiri	Parliamentary Reform Programme)
Mr. Mazuba	Deputy Chief Accountant (PRP)

Electoral Commission of Zambia

Mr. Stanley Mathotho	Acting Director
Mr. Mwelwa Chibichabo	Deputy Director Finance
Ms. Bwalya Ntambo	Head-Procurement
Mr. Duncan Banda	Audit Manger
Mr. John Mwanza	Systems Manager
Mr. Jason B. Zulu	Financial Accountant

Environmental Council of Zambia

Mr. Julius Daka, Manager, Planning and information management

NAC

Joseph Ngulube

INESOR, UNZA

Dr. Jolly Kamwanga, Research Fellow

Meteorological Department

Mukinda Maurice, Director

NGOs**Disability Initiatives Foundation**

Mr. Lango Sinkamba, Chairperson

Africa 2000 Network

Dr. Joseph Temba, National Coordinator

Micro Bankers Trust

Ms. Grace Nkhuwa, Chief Executive

Mr. David Musona, Capacity Development Advisor

Zambia National Women Lobby

Ms. Rollen Mukanda, Executive Director

Ms. Aselly Mwanza, Head of Programmes

Women for Change

Ms. Emily Sikazwe, Executive Director

FODEP

Mr. Elijah Rubruta, Executive Director

SACCORD

Theresa Chewe, Manager, Administration and Finance

WWF Zambia

Mr. George Muwowo, Project Manager

Dr. Nyambe Nyambe, Wetlands Officer

Cooperating Partners

UNICEF

Gabriel N. Fernandez

Elsbeth Erickson, Deputy Country Representative

SNV

Ms. Sibongile Manye, Economic Development Senior Advisor (East and Southern Africa)

JICA

Ms. Hiroko Yahiki, Local Government Advisor

Embassy of Finland

Ms. Anu Ala-Rantala, Programme Officer

World Bank

Mr. Jean-Michel Pavy, Environment

Kabwe**DATF**

Mr. John Yamba, Chairperson

Mr. Andrew Loloji, Treasurer

Mr. Birthwell Chikota, Publicity Secretary

Mrs. Kelly Chanika, DATF UNV and Acting Provincial Aids Coordinator

Kasavasa CATF

Mrs. Melody Mwanza, Chair

Constituency Officers

Ms. Daisy Siame, Professional Assistant, Kabwe Central Constituency Office

Mr. Friday Nyanga, Chairperson, Kabwe Central Constituency Liaison Committee on HIV/AIDS

Ms. Anne Mutenga, Administrative Assistant, Bwacha Constituency Office

Tubombeshe (PLWHIV) Small Business Pilot Project

Ms. Matilda Chanda, Chairperson

Ms. Priscilla Mwanza, Treasurer

Ms. Jennifer Kangwa, Member

Ms. Stanley Mambwe, Member

Micro Bankers Trust (MBT)

Mr. Cephas Suluma, Branch Manager/UNV Micro Finance Specialist

Chongwe District**Chongwe District Council**

Mr. Foster Nasilele, Deputy Secretary

Mr. Christopher Chikwasha, Planning Officer

DATF

Mrs. Lucia Banda, District Aids Coordination Advisor (DACA)

Sabitha Chibuto, Youth Representative

Chongwe Constituency Office

Rabson Nyendwa, Proff. Assistant

MBT

Austin Kaposhi, Branch Manager (UNV)

Maluba Wakunguma, Financial Services Programme Coordinator (H/Q)

MBT Beneficiaries Focus Group

Lilian Njomwa, Restaurant

Isable Kaitisha, Restaurant

Elizabeth Tembo, Restaurant

Susan Mpundu, Kapenta, Beans and Cooking Oil

Charity Mpande, Kapenta, Beans and Cooking Oil

Joyce Kandandu, Dry Fish

Evelyn Tembo, Vegetables

Joyce Sakala, Vegetables

Joyce Chulu, Beans

Angela Mwale, Fish

Getrude Mumba, Dry Fish, Beans Etc

Rhoda Daka, Kapenta

Juliet Banda, Kapenta

Emeldah Museke, Vegetables

Matildah Mwale, Kapenta

Joyce Kandolo, Vegetables

Mary Kasofu, Chicken

Noria Mpande, Vegetables

Chibombo District**District Administration**

Col. Phillip Chabakale, District Commissioner

Mr. Joseph Kawangu, District Administration Office

Africa 2000 Network Association – Zambia (A2NA-Z)

Mr. Lovemore Sipuka, Chair, Facilitator, Kembe-Mashili Association

Mr. Ebby Kafunga, Facilitator, Kembe- Mashili Association

Miss Esther Kapikanya, Youth, Child/Female Head of household

Mr. Stephen Shamukwele, Youth, Child Head of Household

Mrs. Juliet Kofu, Female Head of Household

Focus Group

Mrs Charity Mainza Kalimina

Mrs Frida Kapopo

Mrs. Mary Musonda

Mrs. Beauty Hadebe

Mrs Marvis Katipa

Appendix (C)

CPPA MID TERM REVIEW ITINERARY

DATE	institutions/persons visited
21-04-2009	UNDP Country Director UNDP Programme Managers
23-04-2009	UNDP Deputy Resident Representative UNDP Programme Managers
27-04-2009	Ministry of Finance and National Planning Electoral Commission National Assembly Decentralisation Secretariat
28-04-2009	Meteorological Department ZAWA Ministry of Tourism, Environment and Natural Resources Environmental Council of Zambia
29-04-2009	NAC Gender and Development Division, Cabinet Office Micro Bankers Trust Africa 2000 Network
30-04-2009	INESOR Disability Initiative Foundation WWF
04-05-2009	FODEP SACCORD National Women's Lobby Women for Change
05-05-2009	JICA SNV World Bank Embassy of Finland
06-05-2009	FAO ILO UNAIDS
07-05-2009	UNICEF WFP

WHO

12-05-2009	Kabwe DATF Kasavasa CATF Kabwe Central Constituency Office Bwacha Constituency Office Tubombeshe (PLWHIV) Small Business Pilot Project Micro Bankers Trust
13-05-2009	UNDP Internal Debriefing meeting with Regional M & E Advisor
15-05-2009	Chongwe Chongwe District Council DATF Chongwe Constituency Office Micro Bankers Trust MBT Beneficiary Focus Group
18-05-2009	Chibombo District Commissioner Africa 2000 Network (Kembe-Mashili Association) A2NA-ZBeneficiary Focus Group

Appendix (D)

MTR TIMEFRAME/WORK SCHEDULE

Activities	Week 1	Week 2	Week 3	Week 4	Week 5
1. Desk Review and consultations within Lusaka, Preparation and submission of a short inception report.	xxx				
2. Stakeholder consultations including field visits as necessary.		xxx			
3. Preparation and presentation of findings of the zero draft MTR report to UNDP and government partners			xxx		
4. Circulation of the first draft MTR Report to key stakeholders, a week before the meeting.				xxx	
5. Finalization and submission of the report					xxx

Appendix (E)

List of Documents Reviewed

Central Statistical Office(CSO), Ministry of Health(MOH), Tropical Disease Research Center(TDRC), University of Zambia and Macro international Inc(2009) Zambia Demographic and Health Survey 2007. Calverton, Maryland, USA: CSO and Macro International Inc.

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NAC, 2008, “Annual Work Plan: Capacity Development for Effective Coordination of National Response and Mainstreaming HIV/AIDS in Zambia”

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NAC, 2005/6, “National AIDS Spending Assessment for 2005 and 2006, Lusaka

NAC, 2006 “National HIV & AIDS Strategic Framework 2006-2010”

NAC, 2009 “Supplement to NASF 2006-2010 Based on Joint Mid-Term Review held in 2008” Lusaka

NAC, 2009 “The 2009 National Multisectoral AIDS Programme Work Plan” Lusaka

NAC, 2006, “Third Joint Programme Review of the National HIV/AIDS/STI/TB intervention strategic plan (2002-2005) and operations of NAC 2002-2005”

NAC, 2008 “Zambia Country Report: Multi-Sectoral AIDS Response Monitoring and Evaluation Biennial Report 2006-2007” Lusaka

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UNDP and NAC, 2002 “HIV/AIDS Outcome Evaluation of UNDP’s Support to Decentralised HIV/AIDS Multisectoral Response, 2002-2006”

UNDP, 2006 “Draft Country Programme Document for Zambia (2007-2010), Lusaka

UNDP, 2007 “UNDP Strategic Plan, 2008-2011 Accelerating Global Progress on Human Development, Lusaka

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Appendix(F)

Question Guide

This question guide is to assist the consultants in ensuring comprehensive coverage of issues during consultations with stakeholders. It is designed to facilitate open ended discussions that can generate mainly qualitative information and occasional quantitative data.

1. CP Formulation

1.1 Design

- How relevant was the CP design to Zambia's development challenges?
- Is the CP still relevant/responsive to the development challenges
- Did the CP activities target priority areas?
- How could the CP design been more responsive to the situation on the ground

1.2 Country Ownership

- Does the CP reflect national/sectoral development plans?
- Are there significant gaps between national development plans and CP

1.3 Stakeholder Participation

- During the CP design was your institution consulted on the CP design and content?
- What modalities were used to share ideas on CP architecture
- How effective was your institution's participation in CP design
- What institutions or special individuals do you feel deserved participation, but were not part of the CP formulation

1.4 Replication Approach

Was there a deliberate strategy in the Cp formulation for replicating lessons and experiences

How could an appropriate strategy have been designed/improved to facilitate lessons in the design of similar programmes.

1.5 Linkages Between CPAP and UNDAF

Did the design of CPAP articulate linkages with other UNDAF interventions? What UNDAF interventions appear disjoint with CPAP?

2. Implementation

2.1 Use of Logical Framework

- Was the log frame regularly used to guide implementation?
- What changes were made (or seen as necessary) in response to changing circumstances?

2.2 Performance

- List specific results, outputs, outcomes and impact
- Factors that positively or negatively affected results

2.3 Coherence

- Are CP results aligned with national priorities as outline in FNDP, UNDAF and UNDP corporate strategy
- Identify significant variances

2.4 Cross Cutting Issues

- Is there adequate focus on cross cutting issues gender, environment
- Are human rights mainstreaming and advocacy impacting on government programmes
- Have CP outcomes affected attitudes of rights holders and duty bearers towards human rights?

2.5 Institutional Arrangements

- Are institutional arrangements satisfactory? Focus on project governance and management
- What are the internal and external factors that impact on effective management?

2.6 Partnership Strategy

- Has CP's partnership strategy been effective?
- Examine contributions of government, civil society, donors and private sector
- Examine opportunity space for synergies with other UNDAF programmes

2.7 Synergies

- What are the practical synergies between UNDP's thematic areas and other agencies within UNDAF?
- What management arrangements promote or discourage synergies in the implementation of CP?

2.8 Efficiency

- What factors impinge on efficiency in delivery of outputs? Focus on project management systems, institutional capacity and external environment.

3. Monitoring and Review

- What are the M & E systems?
- Are the M & E systems actively used to monitor work plans, outputs, impact and actual processes?
- What remedial measures have been taken as a result of M & E?

4. Stakeholder Participation

4.1 Information Flow

- How is information generated by CPAP disseminated?
- What are the major constraints in information flow to stakeholders?

4.2 Partner Participation in CPAP

- What modalities exist for partner participation in CPAP implementation and critical decision processes?
- What are the major barriers to effective participation of the partners

4.3 Involvement of other UN agencies and others in CPAP

- What is the role of other UN agencies and other institutions in CPAP implementation? Special focus on CSO and CPs

5. Financial Planning

- What are the actual costs by objectives/activities?
- How cost effective are the interventions?
- Who are the co-financiers?
- How are co-financing arrangements managed?

What are the variations between budgeted and actual resources?

- What are the major causes for variance between budgeted and actual resources?
- What strategies are in place for resource mobilization

6. Results

- To what extent were outputs, outcomes and impact achieved? Using highly satisfactory (HS), satisfactory (s) and marginally satisfactory (MS), marginally unsatisfactory (MU), unsatisfactory (U) and highly unsatisfactory (HS).

7. Sustainability

- What factors will facilitate continuation of outputs/benefits after the end of CP? Focus on capacities for internal self substance, partnerships with permanent institutional structures, special facilities within or outside the CPAP's.