



**United Nations**  
**Z A M B I A**

**EVALUATION OF UN-ZAMBIA DEVELOPMENT ASSISTANCE FRAMEWORK**

**UNDAF 2011 – 2015**

**And**

**DELIVERING as ONE**

**DRAFT EVALUATION REPORT**

**(5 December 2014)**

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## **DISCLAIMER**

The author is grateful for the support provided by the UNRCO, management and staff of the UN agencies in Zambia. The author is also thankful for the useful information and insights provided by officials of the Government of the Republic of Zambia and its cooperating partners, including civil society representatives.

Although efforts were made to crosscheck the accuracy of the data and information that is contained in this report, the author takes full responsibility for any errors, whether by omission or commission. This report therefore represents the independent views and opinions of the author, which may not necessarily be the views and opinions of the UN in Zambia or its partners.

## A. EXECUTIVE SUMMARY

The Zambia - United Nations Development Assistance Framework (UNDAF) 2011-2015 was signed in 2010 by the Government of the Republic of Zambia (GRZ) and the UN system agencies in Zambia after a consultative Strategic Prioritization Retreat involving representatives of the Government, Cooperating Partners and Civil Society. This evaluation of the Zambia UNDAF 2011-2015 was commissioned by the United Nations Resident Coordinator (UNRC) and the United Nations Country Team (UNCT) in Zambia in accordance with the General Assembly resolution 67/226, which 'requested the funds and programmes, and encouraged the specialized agencies and other relevant United Nations entities, to intensify the use and the evaluation of the United Nations Development Assistance Framework and the evaluations of the United Nations system-wide contribution to national development results'.

The evaluation was undertaken by an independent consultant over a period of 30 working days starting on 1 October to 5 December 2014. The purpose of the evaluation was to inform the decision makers in Zambia on how to enhance the role and contribution of the UN System in support of national policies and strategies to achieve national development results to achieve national development results in the context of National Long-term Vision 2030. Within this context, the evaluation assessed the progress made against the UNDAF results and provided evidence on the relevance, effectiveness, efficiency and sustainability of the UNDAF and Delivering as One (DaO) in Zambia.

Overall the evaluation found that there were significant changes in Zambia's development context, and the UN in Zambia needed to rethink its strategy in the light of these changes, which include: (i) the country's graduation to a lower medium middle income country which could precipitate increasing difficulty to mobilise resources from donors, and (ii) the transition in the development paradigm of the MDGs, which will be replaced by Sustainable Development Goals (SDGs).

Based on analysis of the information collected from review of documents and interviews with key stakeholders, including UN agency senior management and programme staff, national counterparts, including government officials and civil society representatives, as well as cooperating partners, the evaluation made the following findings.

### *Evaluation findings*

- o The results chain lacks a clear causal association between outcomes and outputs.
- o UN agencies have no shared understanding about levels of contribution.
- o Weak formulation of UNDAF results (all levels) and their associated indicators.
- o The UNDAF does not fully reflect the UN's collective comparative advantages.
- o UN programming principles are reflected as crosscutting in the outcomes...but some of them may not have been effectively mainstreamed.

- o UNDAF focus areas are aligned to national priorities and international treaties.
- o Progress on UNDAF results was not monitored or reported upon.
- o UN support contributed to strengthen national response to HIV and AIDS, particularly in areas of knowledge generation and improving service quality.
- o UN support was most visible in its normative work...but there was no immediate impact at household level.
- o The UN contributed to strengthen national systems and scaling up equitable access services and social protection.
- o UN support contributed to strengthen national systems for climate resilience and disaster risk preparedness.
- o While contributing to key areas of good governance, UN support was not strategic to enhance citizen participation.
- o The UN funded its planned budget, but the allocations did not go to planned UNDAF priority outcomes.
- o There was overall low rate of delivery in all UNDAF outcomes.
- o Progress on 'delivering as one' was limited.
- o The present structures do not facilitate effective UNDAF coordination and 'delivering as one'.
- o The UNRCO lacks adequate capacity to support effective DaO in Zambia.
- o Despite UN-government coordination at sector level, national ownership of the UNDAF as a whole was lacking.
- o There was lack of balance in UN capacity-building of duty-bearers and rights-holders.

The UN in Zambia was not particularly seen to be 'delivering as one', including even by most of its staff members. However, the transition was probably challenging because the decision to become a DaO was made after the UNDAF had already been developed. Thus, while the UNDAF 2011 – 2015 was not developed on the basis of 'delivering as one', the UNCT had to make some adjustments to adopt to a DaO framework after the fact. This presented a learning opportunity for the UN in Zambia and other countries that may decide to take that route.

### **Lessons learned**

Among the key lessons identified included the following three relating to the design of the UNDAF.

- The UN is collectively accountable for the achievement of UNDAF outcomes, and therefore should formulate realistic and achievable outcomes, and also establish appropriate and adequate indicators to enable it to clearly demonstrate its contribution towards national goals.

- The UNDAF requires a clear and coherent programme pathway to change with only one level of outcomes.
- The UN requires a comprehensive inventory of its collective comparative advantage in Zambia; not just listing of agency mandates; but a realistic assessment of expertise and value added, relative to the country context.

With respect to UNDAF implementation and ‘delivering as one’, the following key lessons were generated.

- While a mid-term review of the UNDAF is not a mandatory requirement, it has formative value and helps the UN to identify problems and make timely adjustments.
- As a strategic framework, the UNDAF covers a broad spectrum of development sectors with multiple stakeholders, and therefore requires broader partnerships with multiple stakeholders.
- The notion of national ownership should not be seen only from the perspective of the Government. The UN should also develop strategic partnerships with other national stakeholders, including civil society in order to ensure sustainability of programme processes and results.
- The following three pillars are critical for effective ‘delivering as one’, and none of them can work well if any of the others do not work well:
  - An empowered UNRC to represent the whole UN development system and ensure UN accountability to both the government and cooperating partners,
  - An effective UNCT to lead joint UN planning and coordinate the implementation and reporting for effective development results, and
  - Adequate technical capacity within the UNRCO to support joint UN processes and functions of the UNRC and UNCT.

While these ‘three pillars’ constitute the institutional mechanisms required for DaO, it is equally important to recognise that ‘delivering as one’ is an approach to work, which entails changing the way that business is done; and UN ‘business’ is done by all staff members. It is therefore critical that all staff members are fully informed of the changes taking place and how they affect them at individual level.

### **Recommendations**

The evaluation made ten recommendations to strengthen UN system delivery and coherence in the context of ‘delivering as one’.

#### **1. The UNCT should undertake a comprehensive assessment (SWOT analysis) to reposition itself strategically in order to enhance its relevance and effectiveness.**

As noted in 2012 by the General Assembly “...the UN system will always be part of the solution, but it may need to reinvent itself, in order to stand up to today’s challenges.” Most stakeholders were of the view that the UN’s comparative advantages placed it in a good position to influence policies and national systems in the areas of: (i) Empowerment of disadvantaged groups to participate in the mainstream economy to reduce poverty, (ii) Good governance towards inclusive access to improved quality services, and (iii) Adaptation and mitigating the vulnerabilities caused by natural disasters and climate change.

**2. The UNRC and UNCT should formulate UNDAF outcomes that are capable of achievement through the collective efforts of UN agencies; and ensure that there is only one level of outcomes driving its programme of work.**

The UNCT should agree on the set of UNDAF outcomes to support the national development priorities; bearing in mind that the UN is collectively accountable for delivering the outcomes.

**3. The UNRCO should develop a simplified monitoring and evaluation framework to track and report on progress towards UNDAF outcomes.**

For the UN to be unable to specifically articulate its results, or measure its contribution on the basis of its indicators four years into the UNDAF cycle should be worrisome to the UNCT. There was no mid-term review for the UNDAF itself, which although not mandatory, is usually a useful formative evaluation that enables the UNCT to assess progress and make necessary adjustments.

**4. UN agencies should strengthen the mainstreaming of UN principles and crosscutting issues, including developing appropriate indicators for cross-cutting themes**

Mainstreaming is a strategy to ensure that concerns related to a specific issue or theme are considered within this central decision-making arena. Some development issues are more effectively addressed through mainstreaming rather than as stand-alone UNDAF outcomes.

**5. The UNRC and UNCT should establish the joint National/UN Steering Committee jointly with government to exercise strategic governance and oversight**

That the UNDAF should be aligned to the government’s national priorities is never in doubt, but what seems to have been challenging is how to ensure greater national ownership and leadership in UNDAF processes and results.

**6. The UNRC and UNCT should establish a common budgetary framework and ‘One UN Fund’, as well as strengthening joint resource mobilisation**

The estimated resources framework in the UNDAF 2011 – 2015 (pages 21 – 22) falls short of being a common budgetary framework because it does not further split the resources by activity and timeframe. The UNCT should strengthen the common budgetary framework as a tool to further enhancing delivering as one, also as a platform for joint resource mobilisation.

**7. The UNCT should review the UNDAF coordination structures, ensuring that it assumes full responsibility and accountability for delivering UNDAF outcomes**

The UNCT should redefine the structure, roles and composition of the UNDAF outcome groups. In particular, the UNCT should ensure that whatever structure is adopted, it enables the UNCT to assume full responsibility and accountability for delivering UNDAF outcomes. In this regard, the role and responsibilities of Heads of Agencies should be re-examined with a view to redirecting full responsibility for delivery of outcomes vested within the UNCT.

**8. The UNCT should strengthen capacity of the UNRCO in core functions, including strategic planning, policy analysis and operations analysis**

The UNRCO has the critical role to support coordination of UN programming and operations as well as secretariat of the UNCT and its other committees. The UNCT should ensure that the UNRCO is adequately staffed, including by exploring possibilities to increase resource allocations or staff secondments to support the RCO.

**9. The UNRC and UNCT should strengthen coordination between the programming and operations, including by implementing the Business Operations Strategy**

In a practical sense, it is hard to envisage a situation in which the UN could effectively ‘deliver as one’ if it does not ‘operate as one’. In essence therefore, the quality of programme delivery is inseparable from the quality of operations support. The UNCT should establish appropriate measures to ensure that there is sufficient interface between the PMT and the OMT.

**10. The UNRC and UNCT should develop a common brand for the UN**

The UNCT should strengthen its messaging around a brand, which both rights-holders and duty-bearers can identify with.

**B. CONTENTS**

A.	<b>Executive Summary</b>	<b>iii</b>
B.	Contents	viii
C.	Acronyms	x
Chapter 1.	Introduction	1
1.1.	Evaluation Context	1
1.2.	Evaluation Purpose and Objectives	1
1.3.	Scope of the Evaluation	2
1.4.	Evaluation Methodology	2
1.5.	Limitations	3
Chapter 2.	Country Context	3
2.1.	Development Context	4
2.2.	Government Strategies and Priorities	5
Chapter 3.	The UN in Zambia	6
3.1.	UNDAF 2011 - 2015	7
3.2.	Delivering as One	9
Chapter 4.	Evaluation Findings	10
4.1.	Design of the UNDAF 2011 - 2015	10
4.2.	Relevance	13
4.3.	Effectiveness Towards Achieving UNDAF Outcomes	17
4.4.	Efficiency of the UNDAF	26
4.5.	UNDAF Coordination and Delivering as One	28
4.6.	Sustainability	32
Chapter 5.	Conclusions and Lessons Learned	33
Chapter 6.	Recommendations	35
	<b>LIST OF FIGURES AND TABLES</b>	
Fig 1.	UNDAF Coordination Mechanism	9
Fig 2.	UN Zambia Management Structure	10
Fig 3.	UNDAF Results Chain	11
Fig 4.	Application of UN's Comparative Advantages	14
Fig 5.	UN Staff Survey Responses on Relevance	16
Fig 6.	UN Staff Survey Responses on Effectiveness	18
Fig 7.	UNDAF Funding Performance	27
Fig 8.	UNDAF Delivery Rate	27

Fig 9.	UN Staff Survey Responses on Efficiency	28
Fig 10.	UN DAO Project Results Framework	28
Fig 11.	UN Staff Survey Responses on DaO	29
Fig 12.	JP's Design Impact on Coordination	30
Table 1.	Highlights from MDG Progress Report 2013	5
Table 2.	UNDAF Results Framework	7
Table 3.	Extracts of UNDAF Outcomes and Indicators	12
Table 4.	Progress on UNDAF Outcome 1 Indicators	18
Table 5.	Progress on UNDAF Outcome 2 Indicators	20
Table 6.	UN Outputs Towards UNDAF Outcome 2	21
Table 7.	Progress on UNDAF Outcome 3 Indicators	22
Table 8.	Progress on UNDAF Outcome 4 Indicators	24
Table 9.	Progress on UNDAF Outcome 9 Indicators	25
Box 1.	Map of Zambia	3
Box 2.	Output/Outcome Linkages	11
Box 3.	Attribution versus Contribution	11
Box 4.	Formulating Results	12
Box 5.	UN's Collective Contribution to Results	13
Box 6.	Management and Accountability for DAO	31
Box 7.	Outcomes Should be Specific	36
Box 8.	SOP Note on the Business Operations Strategy	39
Box 9.	UN Communications	40
	<b>LIST OF ANNEXES</b>	
Annex 1.	Documents Reviewed	41
Annex 2.	Individuals Interviewed	42
Annex 3.	Country Programme Outcome Indicators	43
Annex 4.	UNDAF Financial Data	48
Annex 5.	Evaluation Terms of Reference	49

## C. ACRONYMS

ACHPR	African Charter on Human and Peoples Rights
ADB	Africa Development Bank
ART	Anti-Retroviral Therapy
BDS	Business Development Services
BOS	Business Operating Strategy
CEDAW	Convention on the Elimination of All Forms of Discrimination Against Women
CP	Country Programme
CRC	Convention on the Rights of the Child
CITES	Convention on the International Trade of Endangered Species of Fauna and Flora
CSO(s)	Civil Society Organisation(s)
DAO	Delivering as One
DMMU	Disaster Mitigation Management Unit
DMT	Disaster Management Team
DRR	Disaster Risk Reduction
FAO	Food and Agriculture Organisation
GBV	Gender Based Violence
GDP	Gross Domestic Product
GHG	Greenhouse gasses
GIDD	Gender in Development Division
GRM	Government of the Republic of Zambia
HACT	Harmonised Approach to Cash Transfers
HDI	Human Development Index
HoA	Head of Agency
HRBA	Human Rights-Based Approach
IAEA	International Atomic Energy Agency
ICCPR	International Covenant on Civil and Political Rights
ICESCR	International Covenant on Economic, Social and Cultural Rights
IFAD	International Fund for Agriculture Development
ILO	International Labour Organisation
IMF	International Monetary Fund
IOM	International Organisation for Migration
JASZ	Joint Assistance Strategy for Zambia
JP	Joint Programme
MAL	Ministry of Agriculture and Livestock
MCDMCH	Ministry of Community Development, Mother and Child Health
MDG(s)	Millennium Development Goal(s)
MMR	Maternal Mortality Rate
MOU	Memorandum of Understanding
MSME(s)	Micro, Small and Medium Enterprise(s)
MTEF	Mid-term Expenditure Framework
NAC	National AIDS Council
NASF	National HIV and AIDS Strategy Framework

NRA(s)	Non-resident Agency (s)
ODA	Official Development Assistance
OHCHR	Office of High Commission for Human Rights
OMT	Operations Management Team
OVC	Orphans and Vulnerable Children
PMT	Programme Management Team
RBM	Results Based Management
REDD+	Reducing Emissions from Deforestation and Forest Degradation
SAG(s)	Sector Advisory Group(s)
SME(s)	Small and Medium Enterprise(s)
SNDP	Sixth National Development Plan
SWTS	School to Work Transition Survey
TBD	To be Developed
TOR	Terms of Reference
UNAIDS	United Nations Joint Team on HIV and AIDS
UNCT	United Nations Country Team
UNCTAD	United Nations Conference on Trade and Development
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDG	United Nations Development Group
UNDOCO	United Nations Development Operation Coordination Office
UNECA	United Nations Economic Commission for Africa
UNESCO	United Nations Education, Scientific and Cultural Organisation
UNFPA	United Nations Population Fund
UOG	UNDAF Outcome Group
UN Habitat	United Nations Human Settlements Programme
UNHCR	United Nations High Commission for Refugees
UNICEF	United Nations Children’s Fund
UNIDO	United Nations Industrial Development Organisation
UNJSC	United Nations – Joint Steering Committee
UNODC	United Nations Office on Drugs and Crime
UNRC	United Nations Resident Coordinator
UNRCO	United Nations Resident Coordinator’s Office
UN Women	United Nations Entity for Gender Equality and Empowerment of Women
WB	World Bank
WFP	World Food Programme
WMO	World Meteorological Organisation
WHO	World Health Organisation
ZCTU	Zambia Congress of Trade Unions
ZDA	Zambia Development Agency
ZVAC	Zambia Vulnerability Assessment Committee

## I. INTRODUCTION

### 1.1. Evaluation Context

1. The Zambia - United Nations Development Assistance Framework (UNDAF) 2011-2015 was signed in 2010 by the Government of the Republic of Zambia (GRZ) and the UN system agencies in Zambia after a consultative Strategic Prioritization Retreat involving representatives of the Government, Cooperating Partners and Civil Society.<sup>1</sup> The United Nations Country Team (UNCT) commissioned a final evaluation of the UNDAF 2011-2015 and Delivering as One (DAO), in accordance with the General Assembly resolution 67/226, which 'requested the funds and programmes, and encouraged the specialized agencies and other relevant United Nations entities, to intensify the use and the evaluation of the United Nations Development Assistance Framework and the evaluations of the United Nations system-wide contribution to national development results'.<sup>2</sup> The day-to-day management and support of the evaluation was provided by the United Nations Resident Coordinator's Office (UNRCO).

2. The final evaluation was undertaken by an independent consultant over a period of 30 working days during the period 1 October to 5 December 2014, with an overall objective of documenting the UN's contribution or lack thereof towards expected outcomes, record lessons learned and make recommendations to inform future programming.

3. This report presents the findings, conclusions and recommendations of the Zambia UNDAF 2011 – 2015. In order to address the questions that were outlined in the Terms of Reference (TOR) and inception report, the report is presented in six chapters.

- Chapter 1 introduces the report including a description of the evaluation methodology.
- Chapter 2 presents the country context and describes the development challenge in Zambia as well as government policies and strategies.
- Chapter 3 describes the Zambia UNDAF and DaO including the results framework.
- Chapter 4 contains the evaluation findings.
- Chapter 5 presents the conclusions and emerging lessons to inform future programming.
- Chapters 6 contain the evaluation recommendations to improve delivery of results and strengthening DaO in Zambia.

### 1.2. Purpose and Objectives

4. The purpose of the evaluation is to inform the decision makers in Zambia on how to enhance the role and contribution of the UN System in support of national policies and

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<sup>1</sup> The UNDAF 2011-2015 was signed by the following UN agencies: FAO, ILO, IOM, UNAIDS, UNDP, UNECA, UNFPA, UNHCR, UNICEF, WFP, WHO AND THE UNRC also representing Non-Resident Agencies (NRAs).

<sup>2</sup> General Assembly resolution 67/226 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system (A/Res/67/226) of 21 December 2012, para 182.

strategies to achieve national development results in the context of National Long-term Vision 2030. Within this context, the evaluation assessed the progress made against the stated results and provides evidence on the relevance, effectiveness, efficiency and sustainability of the UNDAF and DAO in Zambia.

5. As stated in the evaluation terms of reference (TOR) and further articulated in the inception report, the specific objectives of the evaluation are:

- To assess the design and focus of the UNDAF i.e. the quality of the formulation of results at different levels of the results chain.
- To assess the relevance of the UNDAF in relation to the national development priorities and international treaties and conventions.
- To assess the effectiveness of the UNDAF in terms of progress towards agreed UNDAF outcomes.
- To assess the efficiency of the UNDAF in terms of implementation and management of processes and coordination mechanisms.
- To assess, to the extent possible, the impact of UNDAF on the lives of the poor, vulnerable and marginalized persons.
- To assess to what extent results achieved and strategies used in the frame of the UNDAF are sustainable.
- To assess to what extent the “One UN Initiative” in Zambia is on track to achieve the expected results against the strategic intent, focusing specifically on the mechanisms, processes and structures established to implement change and improve delivery as one.

### **1.3. Scope of the Evaluation**

6. The evaluation covered the period 2011 to June 2014, focusing specifically on providing evidence on four main areas:

- a. The UN’s response to the national development objectives, including the extent to which the UNDAF responded to changes in national needs and priorities,
- b. The value-added of the UNDAF and individual UN Agencies,
- c. UN coherence and joint programming processes, focusing on the extent of inter-agency collaboration and synergies across participating agencies, and
- d. National ownership, both operationally as well as programmatically in terms of government and other national stakeholders.

### **1.4. Evaluation Methodology**

#### **1.4.1. Approach**

7. The evaluation was participatory, with key stakeholders having opportunity to provide inputs and comments to the inception report, preliminary findings and draft report. The final version of this report incorporates comments from these processes.

8. The evaluation was based on an evaluation matrix, which was developed as part of the inception report and later endorsed by the Monitoring and Evaluation Group (M&E Group). The evaluation process consisted of six stages.

- Document review.
- Three-week data collection mission to Zambia.
- UN staff survey.
- Data analysis.
- Presentation of draft report to UNCT.
- Final report incorporating UNCT comments.

#### 1.4.2. Data collection

9. Data collection involved review of periodic reports (Annex 1), including UNCT annual reports, joint UNDAF Outcome Group (UOG) annual reports, UNDAF annual reviews and joint programme (JP) reports. The secondary information from documents was further triangulated individual interviews and a survey. The specific data collection tools used included:

- a) Individual interviews of key stakeholders (Annex 2) including UOGs, UN heads of agencies, government officials, Cooperating partners, and representatives of constitutional bodies and civil society.
- b) Staff survey administered to programme staff of UN resident and non-resident agencies. The survey had 19% response rate, with 11 responses from possible total of 58.

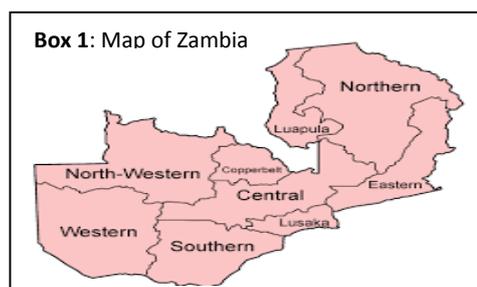
#### 1.5. Limitations

10. There was general lack of up-to-date national data on development indicators. The key reference documents such as the Millennium Development Goals (MDGs) Progress Report 2013, for example still referred to 2010 data as the most current. For the UNDAF, there were cases where progress on some indicators was measured against a 2007 baseline and 2010 current data; which actually relates to a period before the implementation of the UNDAF.

11. The scheduling of meetings was very difficult and characterised with low responsiveness, both among UN staff and government officials. The evaluation was therefore unable to meet the planned numbers of interviews. In addition, the response rate obtained for the UN staff survey (19%) was not sufficiently representative.

## II. COUNTRY CONTEXT

12. Zambia is a landlocked country with a population of 13,092,666 (2010)<sup>3</sup>; bordering Democratic Republic of the Congo to the north, Tanzania to the north-east, Malawi to the east, Mozambique, Zimbabwe, Botswana and Namibia to the south, and Angola to the west (Box 1). With regards to natural resources, the



<sup>3</sup> Zambia 2010 Census of Population and Housing

country has abundant wildlife, rivers, and lakes. It is also the fourth largest copper producing nation in the world, and holds 6% of the world's copper reserves. Zambia is also internationally recognised as a major producer of high quality emeralds, aquamarines, amethyst and tourmalines.<sup>4</sup>

13. In terms of governance, the Government consists of the President who presides the Cabinet appointed from the 158-seat national assembly. Elections are held every five years and the presidency is limited to two, five year terms. There is also a traditional chieftaincy with no powers in public service provision, but have control over land distribution in rural areas.

## 2.1. Development Context

14. Although the economy is dependent on copper, which contributes about 75% of the country's Gross Domestic Product (GDP), 70% of the population depend on agriculture for their livelihoods (UNECA, 2012). In 2013, Zambia finalized the rebasing of the national accounts to 2010 (from 1994), putting the economy at 25% larger than it was in the old accounts. Mining, construction and trade gained more prominence as agriculture declined. The country was also reclassified by the World Bank as a lower middle income country in 2011. However, it ranked 163 out of 186 countries on the 2012 Human Development Index (HDI),<sup>5</sup> which, at 0.448, positioned it as a low human development country.

15. According to the Millennium Development Goals (MDGs) Progress Report 2013, many targets have seen movement in the right direction, including in HIV and TB prevalence, underweight children, and gender parity in primary school. However, the pace has been slow in some areas, while there has been a regression in other targets, including improved sanitation, some areas of environmental sustainability, and gender equality in political representation. The report noted that "...in a country endowed with natural resources, the outlook for MDG 7 (environmental sustainability) is worrying due to the degradation of land, forests, water and wildlife. Similarly, for MDG 1 (reducing poverty and hunger); Zambia has grown economically at an average of 6.5 percent for the past six years, yet cannot show a significant reduction in poverty, inequality and malnutrition in rural and peri-urban areas (Table 1).

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<sup>4</sup> <http://www.zm.undp.org/content/zambia/en/home/countryinfo/>

<sup>5</sup> <https://www.wfp.org/countries/zambia/overview>

**Table 1: Highlights from MDG Progress Report 2013**

Goal	Report highlights
MDG 1: Eradicate Extreme Poverty and Hunger	Extreme poverty reduced from 58 percent in 1991 to 42.3 percent in 2010. However, Zambia is still far from reaching the MDG goal of 29 percent by 2015. Copperbelt Province has already reached its MDG target, and Lusaka Province is very close to doing the same. In contrast, the rural provinces of Luapula, Western, Eastern and Northern remain very distant from their goals. Zambia has a Gini coefficient of 0.65, making it among the most unequal countries in the world.
MDG 2: Achieve Universal Primary Education	Zambia made steady progress on primary school enrolment, which increased from 80 percent in 1990 to 93.7 percent in 2010. The proportion of pupils reaching Grade 7 also increased from 64 percent in 1990 to 90.9 percent in 2010. However, concerns remain on the quality of education received, as well as the enrolment and completion rates in secondary school subsequently.
MDG 3: Promote Gender Equality	Zambia is on track to achieve gender parity in primary school enrolment as well as in literacy among 15-24-year-olds. But the country has moved backwards on women's participation in government in both local councils (6%) and parliament (11%).
MDG 4: Reduce Child Mortality	Child mortality has declined by almost 30 percent since 1992, but is still unacceptable high. The mortality rate of children under five dropped from 190.7 deaths per 1,000 live births in 1992 to 137.6 per 1000 live births in 2010. Similarly, the mortality rate for infants (death before first birthday) reduced from 107.2 deaths per 1,000 live births in 1992 to 76.2 deaths per 1,000 live births in 2010.
MDG 5: Improve Maternal Health	Thirty-eight mothers die each month due to complications of pregnancy or childbirth. Although maternal mortality in Zambia has been falling, the decline is insufficient to reach the 2015 target of 162.3 deaths per 100,000 live births.
MDG 6: Combat HIV&AIDS, Malaria and other Diseases	The number of Zambians infected with HIV has dropped to 14.3 percent of the population. Zambia has therefore already achieved and surpassed the MDG target for HIV prevalence of 15.6 percent. However, prevalence rates in Lusaka, Copperbelt, Southern and Western Provinces remain higher than 14.3 percent.
MDG 7: Ensure Environmental Sustainability	Land covered by forests in Zambia reduced from 59.8 percent in 1990 to 49.9 percent in 2010. This decline stems from over-exploitation through logging for wood fuel and encroachment for agriculture and settlements. The proportion of the population without access to an improved water source has decreased from 51 percent in 1990 to 36.9 percent in 2010. However, the proportion of the population without access to improved sanitation facilities worsened from 26 percent in 1991 to 67.3 percent in 2010.
MDG 8: Develop a Global Partnership for Development	Zambia graduated from a low-income to a lower middle-income country, which means the country now has less access to concessional lending and overseas development assistance. Although the country has succeeded in attracting increasing inflows of foreign direct investment (FDI), peaking at \$1.73 billion in 2010, inflows have been declining since then.

Source: Zambia MDG Progress Report 2013

## 2.2. Government Strategies and Priorities

16. The long-term national development goal of Zambia is defined by the Zambia National Long-term Vision 2030. The vision is for Zambia “to become a prosperous middle income country by the year 2030”. The National Long-term Vision 2030 is pursued through successive medium-term national planning frameworks, of which the current is the Sixth National Development Plan. The Sixth National Development Plan (SNDP) covers the same five-year programming period 2011 – 2015 as the UNDAF.

17. In developing the SNDP, the GRZ built on the successes and attempted to address the challenges identified during the Fifth National Development Plan (FNDP) period, seeking to attain the following overarching objectives:

- (i) To accelerate infrastructure development, economic growth and diversification;
- (ii) To promote rural investment and accelerate poverty reduction; and
- (iii) To enhance human development.

18. However, following the elections in 2013, the GRZ revised the SNDP and extended its timeframe by one year, into what is now known as the Revised-SNDP 2013 – 2016 (R-SNDP). While many of the strategic priorities remained the same, the R-SNDP shifts the government's focus and emphasis towards inclusive growth, rural development and job creation.

*“Revised SNDP focuses on public capital investments that have a bias to rural development and job creation so as to achieve inclusive growth. The main investment areas are in Skills Development, Science and Technology, Agriculture, Livestock and Fisheries, Energy and Infrastructure Development particularly transport infrastructure while enhancing human development related Sectors of Water and Sanitation, Education and Health”.*

19. In addition, there are also other sector-specific national frameworks that support the National Long-term Vision 2030 and the R-SNDP including:

- a) Medium Term Expenditure Framework (MTEF) (2010-2012)
- b) National HIV and AIDS Strategic Framework (NASF) (2011-2015),
- c) National Medium Term Priority Framework (2009-2013) for Agriculture and Natural Resources,
- d) Broad Based Wealth and Job Creation Programme,
- e) Private Sector Development Reform Programme II (2009-2013), and
- f) National Health Strategic Plan (2011-2015).

### III. THE UN IN ZAMBIA

20. The UN system in Zambia comprises of 21 UN agencies of which 12 have resident presence<sup>6</sup> and 9 are Non-Resident Agencies (NRAs).<sup>7</sup> Although not strictly a part of the UN system agencies, the World Bank (WB) and the International Monetary Fund (IMF) also have resident presence in Zambia.

21. The Heads of Agencies under the leadership of the United Nations Resident Coordinator (UNRC) constitute the UNCT, which is the highest decision-making body with governance and oversight responsibilities for programmes and operations.

<sup>6</sup> Resident agencies: FAO, IFAD, ILO, IOM, UNAIDS, UNICEF, UNDP, UNECA, UNHCR, UNFPA, WFP and WHO

<sup>7</sup> NRAs: IAEA, OHCHR, UN Habitat, UN Women, UNCTAD, UNIDO, UNODC and WMO.

### 3.1. UNDAF 2011 – 2015

22. The UN in Zambia, supports the GRZ to achieve its development objectives through the UNDAF – the strategic programme framework that describes the collective response of the UN system to national development priorities.

23. In 2010, the UN in Zambia participated in the process to develop the SNDP, and during that process, jointly with government partners, decided that the UNDAF should focus on five Priority Clusters. The UNCT developed the UNDAF 2011 – 2015 to contribute to 5 Outcomes that are aligned to the priority clusters and the SNDP goals (Table 2).

**Table 2: UNDAF Results Framework**

UNDAF Outcome	Related MDGs	Relevant international treaties	Relevant SNDP goals
Outcome 1. New HIV infections are reduced by 50 percent by 2015, while scaling up treatment, care and support	3, 4, 5, 6 and 8	<ul style="list-style-type: none"> <li>- International Covenant on Civil and Political Rights (ICCPR)</li> <li>- International Covenant on Economic, Social and Cultural Rights (ICESCR)</li> <li>- African Charter on Human and Peoples Rights (ACHPR)</li> </ul>	SNDP goal on HIV/AIDS: to prevent and continue to reverse the spread and impact of HIV and AIDS by 2015.
Outcome 2. Targeted populations in rural and urban areas attain sustainable livelihoods by 2015	1, 3, 7 and 8	<ul style="list-style-type: none"> <li>- ICESCR</li> <li>- ACHPR</li> <li>- ILO Conventions no. 29 (Forced Labour), 138 and 182 (child labour)</li> </ul>	<p>SNDP goal on Agriculture: to promote private sector-led increased and sustainable agricultural production, productivity and competitiveness in order to ensure food security; income generation; creation of employment opportunities; and reduction in poverty levels.</p> <p>Overall SNDP goal on Employment and Labour is to provide the policy and legal framework on employment creation, labour administration and social protection in order to contribute to the enhancement of decent work, productivity and poverty reduction in the country.</p>
Outcome 3. Vulnerable people living in Zambia have improved quality of life and well-being by 2015	2, 3, 4, 5, 6 and 8	<ul style="list-style-type: none"> <li>- ICESCR</li> <li>- Convention on the Rights of the Child (CRC)</li> <li>- Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW)</li> <li>- ACHPR</li> <li>- Protocol to ACHPR</li> <li>- African Charter on the Rights and Welfare of the Child</li> </ul>	<p>SNDP goal on Health: to attain significant reductions in maternal and child mortality rates in line with health related MDGs.</p> <p>Specific SNDP goals on Education include, among others: to provide access for every girl and boy to nine years of free, basic education of good quality; and improve efficiency in the management of education.</p> <p>SNDP goal on Social protection: to protect and promote the rights of all vulnerable Zambians by ensuring that incapacitated and low capacity</p>

UNDAF Outcome	Related MDGs	Relevant international treaties	Relevant SNDP goals
		<ul style="list-style-type: none"> <li>- Palermo Protocol</li> <li>- ILO Conventions no. 29, 138 and 182</li> </ul>	households have sufficient knowledge and capacity to demand and utilize basic services, and are protected from the impact of risk, shocks and shifting vulnerabilities.
Outcome 4. People's vulnerability reduced from the risk of climate change, natural and man-made disasters <sup>9</sup> and environmental degradation by 2015	1, 3, 7 and 8	<ul style="list-style-type: none"> <li>- ICESCR</li> <li>- Convention of Biological Diversity</li> <li>- Convention to Combat Desertification</li> <li>- United Nation's Convention on the International Trade of Endangered Species of Fauna and Flora (CITES)</li> </ul>	SNDP goal on Environment: to reduce environmental damage, maintain essential environmental and biological processes and ensure sustainable use of natural resources for the benefit of the current and future generation. The related SNDP goal on natural resources also aims at ensuring sustainable use of natural resources.
Outcome 5. Targeted Government institutions ensure human rights-based and gender responsive policies, frameworks and services by 2015	3 and all other MDGs	<ul style="list-style-type: none"> <li>- International Covenant on Civil and Political Rights (ICCPR)</li> <li>- ICESCR</li> <li>- ACHPR and its Protocols</li> </ul>	The SNDP sets out thematic governance areas, including administration of justice, democratization, human rights, accountability and transparency and facilitation of governance initiatives. The protection of human rights is to be mainstreamed in all national development programmes. SNDP goal on Gender: to ensure the implementation of gender responsive policies and legal frameworks in order to attain gender equity and equality at all levels of socio-economic development in the country.

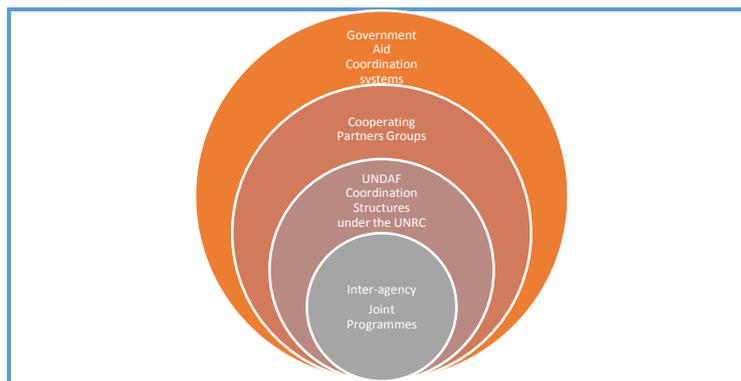
Source: UNDAF 2011 - 2015

24. The UNDAF has planned resources of \$335.7 million allocated towards the five outcomes as follows:

- \* Outcome 1: HIV and AIDS - \$45.9 million (13.6%),
- \* Outcome 2: Sustainable Livelihoods - \$60.1 million (17.9%),
- \* Outcome 3: Improved public services - \$163.9 million (48.8%)
- \* Outcome 4: Environment and climate change - \$37.9 million (11.3%), and
- \* Outcome 5: Good governance and gender equality - \$27.9 million (8.4%).

25. The UNCT further decided to coordinate its work by adapting to and using Government coordination mechanisms that were already in place. In this context, the UNDAF is coordinated at different operational levels through a range of mechanisms at Government level, within Cooperating Partners (CP) groups, and within the UN System (Figure 1).

**Figure 1: UNDAF Coordination mechanism**



### 3.2. Delivering as One

26. The UN in Zambia coordinates its development assistance within the wider context of the Joint Assistance Strategy for Zambia (JASZ). Now in its second cycle, the JASZ II is a national medium-term framework which was developed by Cooperating Partners to manage development cooperation with the Government in alignment with the SNDP.

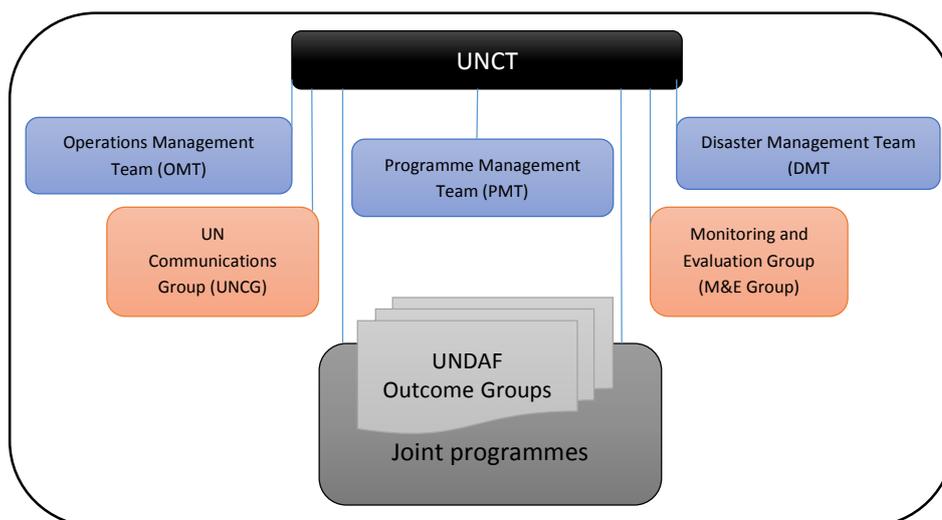
27. In the context of the JASZ, Cooperating Partners aim to strengthen local ownership of the development process and enhance official development assistance (ODA) effectiveness and mutual accountability by linking the international arrangements endorsed under the Paris Declaration and the effectiveness criteria in Zambia's Aid Policy and Strategy. The concept was first initiated in 2003 when the Government signed a Harmonization in Practice Memorandum of Understanding (HiP MoU) with the Nordic Plus group, which later expanded to become the Wider Harmonization in Practice (WHIP) as additional Cooperating Partners signed up.<sup>8</sup>

28. In this broader context of the JASZ and UN reforms on harmonization, in 2010, the UNCT decided to become a Delivering as One (DaO) and embarked on a process to review its structures in line with the DaO approach. In 2011, the Government formally requested that the UN system in Zambia commences as a Delivering as One 'self-starter' under UNDAF 2011-2015, and in January that same year key donors that support different UN agencies in Zambia informally organized themselves as a "Friends of UN DaO" group of twelve to support this effort.

29. The UNCT established management structures for implementation and coordination of the UNDAF (Figure 2). In addition, a Management and Accountability Framework for DaO in Zambia was also developed to outline the agreed roles and responsibilities of the management structures.

<sup>8</sup> The Cooperating Partners under the JASZ are: Canada, Denmark, Finland, Germany, Ireland, Italy, Japan, Netherlands, Norway, Sweden, United Kingdom, United States of America, Africa Development Bank, European Union, World Bank and the UN.

**Figure 2: UN Zambia management structure**



Source: Management and Accountability Framework for DaO

#### IV. EVALUATION FINDINGS

30. This chapter contains the main findings and issues arising from analysis of the information collected through document review, UN staff survey and stakeholder interviews. The findings are structured in a manner so as to provide a logical response to the questions posed in the evaluation TOR: UNDAF design (section 4.1), Relevance (Section 4.2), Effectiveness of contribution to outcomes (Section 4.3), Efficiency (Section 4.4), Sustainability (Section 4.5), and Delivering as One (Section 4.6).

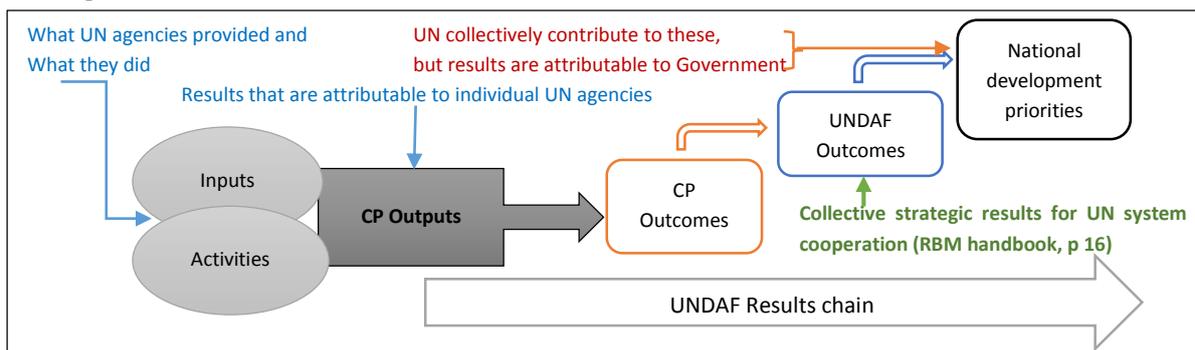
##### 4.1. Design of the UNDAF 2011 - 2015

31. This section is in response to the requirement ‘to assess the design and focus of the UNDAF in terms of the quality of the formulation of results at different levels of the results chain. Due process was undertaken in the formulation of the UNDAF, including strategic prioritisation retreat with participation of the Government and civil society partners.

##### **Finding 1. The results chain lacks a clear causal association between outcomes and outputs**

32. The current design has 5 UNDAF outcomes, each one of which has accompanying Country Programme (CP) Outcomes. The outputs are directly linked to the CP outcomes and not directly to UNDAF outcomes (Figure 3).

**Figure 3: UNDAF results chain**



33. A critical look at Figure 3 above suggests that the UN outputs contribute directly to the CP outcomes, thus establishing a causal association between UN agency outputs and CP outcomes. However, there are no outputs that are directly linked to the UNDAF outcomes, and therefore the causal linkage presumed by the theory of change approach is broken (Box 2). A key lesson that seems to be emerging is that an UNDAF with a clear and coherent programme pathway to change requires only one level of outcomes.

**Box 2: Outputs/outcome linkages**

“UNDAF outcomes must be linked to, and supported by programme or project outputs”.  
RBM Handbook, page 16

**Finding 2. UN agencies have no shared understanding about levels of contribution**

34. Based on results-based management (RBM) principles, the UN is collectively accountable for UNDAF outcomes, which also means that UN can claim complete attribution for the outcomes that it delivers as a result of its interventions. By definition, outcomes are *‘the intended or achieved short-term and medium-term effects of an intervention’s outputs’*.

35. Some of the UN agencies argued that UNDAF outcomes are ‘higher level goals’ that will be achieved from the contribution of many actors. This is correct, but only from the perspective of individual UN agencies, but not as the UNCT (Box 3)<sup>9</sup>. In addition, the ‘higher-level goals’ that all actors contribute towards are the national priorities. UNDAF outcomes are developed by the UN and as such are attributable to the UN.

**Box 3: Attribution versus Contribution**

“UNCT members are accountable to partner governments for their overall contribution to national development objectives, including the achievement of UNDAF-level outcomes. Since UNDAF outcomes are the contributions of the UN to national development objectives, UNDAF outcomes should be primarily attributable to the UNCT.”

RBM Handbook, p 8 (2010 version, relevant at the time of drafting the UNDAF)

36. The key emerging lesson, is about formulating realistic and achievable outcomes. The UN is collectively accountable for the achievement of UNDAF outcomes, and

<sup>9</sup> Updated guidelines state “UNCTs are accountable to the government for overall contribution to national development priorities, through contribution to achievement of specific UNDAF level outcomes” page 4.

therefore should formulate realistic and achievable outcomes, and also establish appropriate and adequate indicators to enable it to clearly demonstrate its contribution towards national goals.

### Finding 3. Weak formulation of UNDAF results (all levels) and their associated indicators

37. A general observation is that the UNDAF outcomes appear to be too ambitious, and probably could not be reasonably expected to be achieved by the UN alone in a space of five years. Perhaps only UNDAF outcomes 2 and 5 have any semblance of realism in that they relate to **‘targeted’** populations and government institutions’. All the other outcomes are way too ambitious for the UN to achieve by itself. Similarly, the indicators developed for measuring progress on UNDAF outcomes were mainly at national scale. While this may seemingly position the UN as a contributor towards national goals, it also creates a challenge whereby the UN contribution is not directly measured.

38. Although the point has already been made (Box 3), a general conception exists that there is no attribution on UNDAF outcomes. However, UNDAF outcomes are developed by the UN and it is quite illogical to expect that other entities outside the UN system will contribute to these outcomes. The question of attribution and contribution vis-à-vis UNDAF outcomes should be understood in the context of UN agencies. Individual UN agencies are accountable for their outputs, and they only contribute to UNDAF outcomes; but the UN is collectively accountable for UNDAF outcomes, which should contribute to national priorities.

39. There are two distinguishing factors between results and their indicators. On one hand, results represent development changes (Box 4), either in institutional capacity or behavioural practices (outcomes); or changes in the skills and abilities of individuals, or change in

**Box 4. Formulating results.**

Results are about change. It is important to use ‘change language’ rather than the customary ‘action language’.

[RBM Handbook, page 12](#)

availability of products or services (outputs). On the other hand, indicators are the observable phenomenon that signify the occurrence of results. This distinction is not always apparent in the design of the UNDAF. In some cases, outcomes were formulated

as outputs or vice versa; while some of the results were formulated as indicators, or vice versa. An analysis of the UNDAF reveals several such instances as illustrated in the following examples (Table 3).

**Table 3:** Extracts of UNDAF outcomes and indicators

<p><b>UNDAF Outcome 1:</b> <i>New HIV infections are reduced by 50% by 2015....</i></p> <p><b>Indicator:</b> <i>50% reduction in new HIV infections – by age and sex</i></p>	<p><i>There is no difference between the outcome and indicator statements. This may also be too ambitious as an UNDAF outcome.</i></p>
<p><b>CP Outcome 1:</b> <i>Government and partners scale up prevention services to enable the reduction of new infections... {Other CP outcomes also use different action verbs such as develop, coordinate or provide}.</i></p>	<p><i>These are ‘action-oriented’ statements, which do not define an expected development change. In fact, they sound more like assumptions.</i></p>

40. As the above examples illustrate, the main challenge when expected results and their indicators are not appropriately formulated is on the difficulty of monitoring performance and assessing the effectiveness of interventions. The logic that is normally embedded in a ‘theory of change’ programming approach is based on – *if we do this, then that will happen*. But in the case of the second example above, clearly that logic is missing; decisions by the government and partners may be influenced by other considerations that are beyond the UN’s sphere of influence. UN interventions could therefore fail to lead to desired outcomes, thereby causing frustration. Clearly, the statement is a critical ‘assumption’ for success.

41. As the UNDAF covers a broad spectrum of development sectors with multiple stakeholders, its management and coordination requires a clear roadmap that is articulated in standard terms and definitions for outcomes, outputs and indicators. Any gaps on the definition of terms should be addressed through comprehensive results-based management training for staff and partners.

## 4.2. Relevance

42. The relevance of the UNDAF is assessed in terms of (i) its internal relevance as a programming and coordination framework, and (ii) its strategic relevance in addressing key issues in the context of national priorities and international treaties.

### Finding 4. The UNDAF does not fully reflect the UN’s collective comparative advantages

43. The UNDAF represents the collective UN response to national priorities, and should therefore be strategic in the sense that it identifies the key gaps in national systems where the UN could apply its comparative advantages to support the government priorities.

44. As a strategic framework therefore, the UNDAF should clearly reflect the UN’s collective contribution (Box 5). However, it would appear that the UNDAF outcomes were primarily driven by a desire to reflect individual UN agency mandates. Many UN staff members noted that the UNDAF formulation process was kind of done in reverse – starting first with UN agencies developing their CP outcomes, then compiling them into a consolidated UNDAF outcome.

**Box 5:** “The UNDAF reflects the comparative advantage of the UN by emphasizing the thematic competence of the agencies involved, without necessarily highlighting their specific mandates”.

**How to prepare an UNDAF: Part 1; page 11**

45. Majority of the national partners that were consulted also felt that the UN did not strategically leverage its comparative advantage. On one hand, government partners observed that the UN had primarily positioned itself as a donor organisations to fill the funding gap for government programmes; which they said the UN could not effectively fulfil and therefore tended to become a conduit through which other cooperating partners delivered their funding. Government counterparts observed that UN agencies frequently visited their offices to say ‘*we have obtained these funds, what project can we develop*’. They said this did

not give a sense that UN interventions were based on a clear ‘game plan’ with long-term objective, but were somehow sporadic, and reacted to opportunities as and when they became available.

46. On the other hand, civil society partners noted that the UN’s key comparative advantage was its *‘special position as the government’s trusted partner’*, which positioned it favourably to raise issues into the national dialogue that other partners may not be able to raise. However, they observed that the UN would need to develop strategic partnership with civil society, and not just as implementing partners. They also questioned the UNDAF’s strategic nature; for example, why HIV and AIDS was addressed as a separate UNDAF outcome outside the health sector but not maternal mortality?<sup>10</sup> Similarly for gender, they asked if the same outputs could not be more effectively delivered if gender was mainstreamed as a cross-cutting issue rather than as a standalone outcome.

47. Many stakeholders were of the opinion that the UN needed to reposition itself and define its contribution in the context of long-term strategic objectives on the major national challenges. In the current development context of Zambia’s graduation to middle income status, the UN may target those groups that are likely to be left in the margins, by either direct interventions (service delivery) or normative (pro-poor policies). The aim should be to fill the cracks that will enable the government’s long term goal to be achieved with equity and is sustainable (Figure 4). A key lesson that is emerging here is on the need for a comprehensive inventory of the UN’s comparative advantage in Zambia; not just listing of agency mandates; but a realistic assessment of expertise and value added, relative to the country context.

**Figure 4: Application of the UN’s comparative advantages**



<sup>10</sup> The UN noted that Zambia faced a high HIV and gender challenges at the time, but these could be mainstreamed in future programming

**Finding 5. UN programming principles are reflected as crosscutting in the outcomes...but some of them may not have been effectively mainstreamed**

48. UN programming guidelines require application of five principles – human rights-based approach (HRBA), gender equality, environmental sustainability, results-based management (RBM), and capacity development – in order to strengthen the quality and focus of the UN’s response to national priorities based on the UN system’s common values and standards.

49. **HRBA.** Human rights issues are addressed under UNDAF outcome 5 specifically in response to the constraints identified in relation to weak national governance systems. UNDAF outcomes also reflect a good balance between duty bearers and rights holders. Under each UNDAF outcome, there are also UN outputs specifically targeting issues from the perspective of vulnerable groups and communities. However, the formulation of the country programme outcomes appears to focus mainly on institutional capacity of government as service providers. More could have been done to reflect the HRBA in the country programme outcomes by formulating them in language that describes development change for duty bearers (institutional capacity) and rights holders (access to services).

50. **Gender equality.** Gender equality and women’s empowerment is also addressed directly under UNDAF outcome 5. There is also a joint programme (JP), but it focuses mainly on Gender-Based Violence (GBV). Gender issues were also mainstreamed within individual UNDAF outcomes, including for example, the development and roll out of a gender score card for HIV and AIDS. Analysis of the UNDAF also indicates a clear attempt to disaggregate performance results by gender, although it appears formal mechanisms to disaggregate the data were either not established or were not functional.

51. **Environmental sustainability.** This is also addressed directly through a dedicated UNDAF outcome, and a JP on Green Jobs was established. However, in light of lack of progress on MDG 1( extreme poverty) and MDG 7 (environmental sustainability) and the close linkages between them, there is much scope for further mainstreaming environment across all sectors.

52. **RBM.** On the face of it, one would say that RBM was generally applied, given that the UNDAF has a Results and M&E framework with outputs, outcomes and indicators, including baselines and targets, as well as risks and assumptions. However, a closer examination of the formulation of the results and indicators reveals a rather weak application of RBM principles. For example, while there are indicators specified for outputs and outcomes, the UNDAF reports did not report on the indicators, partly because there is no mechanism that was put in place to track and monitor the indicators (see also Finding 2 above). The UNDAF measures its progress on national indicators, and the most recent data that is available is for 2010; but then that was before its implementation.

53. **Capacity development.** The main theme underlying the UN’s interventions was about building institutional capacities and catalysing change in behavioural practices. This seems to have been consistently applied across all outcomes, but the evidence does not illustrate comprehensive application of capacity development models. Some studies and surveys were

undertaken to inform development policies and strategies, but some of the interventions and JPs do not include targeted capacity needs assessments.

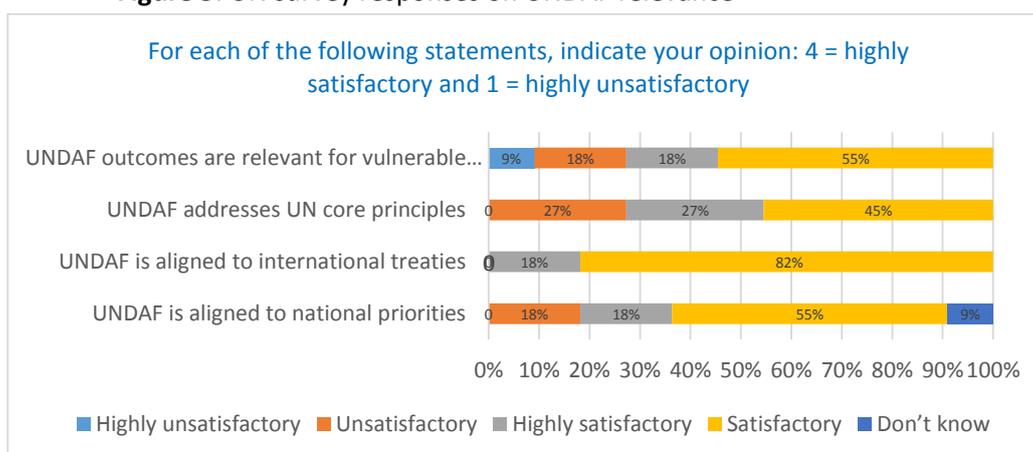
**Finding 6. UNDAF focus areas are aligned to national priorities and international treaties**

54. The UNDAF outcomes address issues that were identified among the major national constraints to economic growth and human development, also referred to as Southern Africa’s ‘triple threat’ – HIV and AIDs; deep-rooted poverty and food insecurity; and weak governance systems. The UNDAF also reflects the specific international treaties and conventions that each outcome contributes to. More specifically, the outcomes also talk directly to the MDGs, particularly those in which Zambia is still lagging and those with high likelihood that they may not be achieved by 2015. The UN also supported the national dialogue on the post-2015 agenda, which further confirmed the national consensus on the main development priorities.

55. Although the national strategic plan (R-SNDP) was revised in 2013, there was not much of a substantive shift with regards to the priorities, other than the shift of emphasis towards a more infrastructure-oriented approach. The major effect of the revision was to extend the programme cycle by an additional year to 2016. However, the UNCT has already deliberated on this and decided not to extend the current UNDAF.

56. Based on responses to the staff survey, it would also appear that a greater proportion of programme staff feel that the UN is more aligned to international treaties, compared to its relevance against national priorities or programming principles (Figure 5). All respondents (100%) said the UNDAF was aligned to international treaties, while on other relevance variable, about 36% felt it was not aligned to national priorities and about 27% felt the UNDAF did not address core UN principles or respond to the issues faced by vulnerable groups.

**Figure 5: UN survey responses on UNDAF relevance**



### 4.3. Effectiveness towards achieving UNDAF outcomes

57. The reports of UNDAF Outcome Groups (UOGs) indicate high success rate in meeting established milestones for their annual work plans. However, this was not reflected in the UNDAF outcome indicators, or even the CP outcome indicators (Annex 3) partly because of (i) weak national information system that is unable to provide timely data on national indicators, (ii) lack of specific mechanisms to monitor and track the indicators at outcome level, and (iii) generally weak UNDAF design, where in some cases, baselines and targets were not established post-facto as intended in the design.

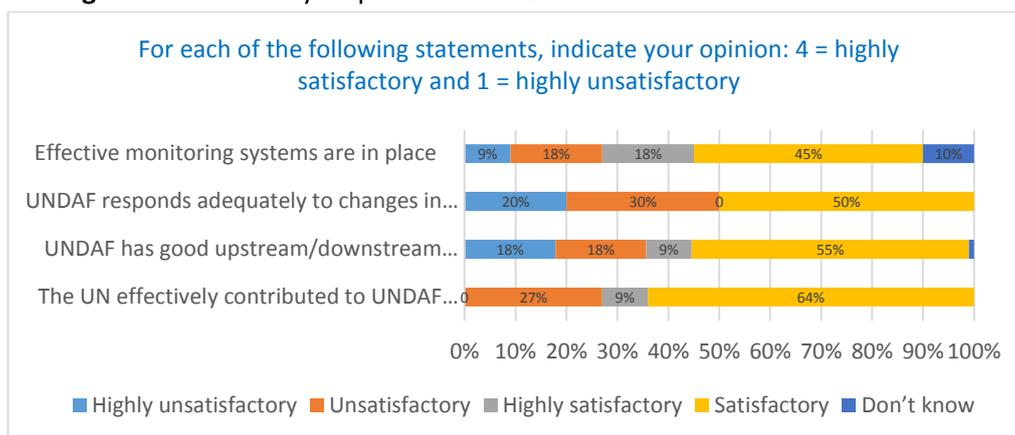
#### **Finding 7. Progress on UNDAF results was not monitored or reported upon**

58. An M&E matrix has been developed to monitor performance at the output level. However, it appears that the matrix is quite complex, and does not provide relevant and timely data. Progress seems to be monitored on achievement of milestones, which in essence measures progress on the process rather than on results.

59. As already alluded to (Finding 3), the outcome indicators were generally weak, and most of them sought to measure progress on a national scale. This presented a challenge for the UN due to a general lack of national data. In fact, progress on some indicators was based on 2010 data, which refers to a period before this UNDAF cycle. In addition, there are a number of outcomes where baseline data was not developed at the time of design. A key lesson that seems to be emerging here is about the usefulness of a mid-term review. According to UN guidelines, the UNDAF mid-term review is not mandatory, but it can provide useful formative information.

60. The survey of UN staff also indicated that the majority of staff are of the opinion that some results have been achieved (Figure 6), although they are not being measured due to the weakness of the logic model. A combined total of 73% of respondents said the UN contribution to outcomes was satisfactory. However, over 25% of respondents felt that there were no effective monitoring systems, with only 45% saying that the established monitoring systems were satisfactory. Among the specific issues observed by those who said the monitoring systems were not satisfactory was the complex M&E framework, which they said was not user friendly, and also that monitoring was only being done at mid-year and end-of-year reviews.

**Figure 6:** Staff survey responses on UNDAF effectiveness



### 4.3.1. UNDAF Outcome 1: HIV and AIDS

61. The UN strategy for the HIV and AIDS sector was to provide support in four areas – prevention, treatment, mitigation and coordination.

#### Finding 8. UN support contributed to strengthen national response to HIV and AIDS, particularly in areas of knowledge generation and improving service quality

62. Despite some apparent inconsistencies in the data<sup>11</sup>, some progress appears to have been made towards the UNDAF outcome as measured by the indicators (Table 4).

**Table 4:** Progress on UNDAF Outcome 1 indicators

Outcome	Indicators	Progress
<b>UNDAF Outcome 1.</b> New HIV infections are reduced by 50% by 2015, while scaling up treatment, care and support	50% reduction of new infections – by age and sex <b>Baseline:</b> 80,000 <b>Target:</b> 40,000	69,000 (2011 estimates – UNDAF Annual Review) MDG Report 2013 projected that the incidence of HIV will continue to fall by 2.2% for men and 2.1% for women from 2011 to 2015.
	% of patients under ART and still alive after 12 months of enrolment – by age, sex and region <b>Baseline:</b> 85% <b>Target:</b> 95%	76.5% (UNGASS 2012 - UNDAF Annual Review) Disaggregated data is not reported, but 2012 data indicates regression. However, MDG progress report 2013 indicates that treatment coverage increased from 23.5% in 2005 to 77.6% in 2011, equivalent to over 415,000 people accessing ARVs in 2011.
	Ratio of OVC at school versus non-orphans by age, sex and region <b>Baseline:</b> 0.93 <b>Target:</b> 1	0.97(2007, ZDHS – UNDAF Annual Review) MDG report indicates that the ratio of orphans to non-orphans aged 10-14 years attending school increased from 71.8% in 2000 to 92% in 2009, close to the 2015 target of 100 percent.

Source: UNDAF M&E Framework and UOG/MDG Progress reports

<sup>11</sup> For example, the ratio of OVC to non-orphans was 0.97 in 2007, which is higher than the 2010 baseline of 0.93. Also for indicator 2, the data for 2011 appears to indicate a regression although it does not say whether this includes ‘patients who are still alive 12 months after enrolment’.

63. Some of the UN activity outputs that may have contributed to the UNDAF outcome are highlighted below.

***Scaling up prevention services***

- \* The National Joint ART Scale up and Elimination of Mother to Child Transmission strategy 2012 – 2015 was developed, including costing of the operational plan.
- \* Point of Care diagnostics system was developed and approved, including support for HIV self-test kit.
- \* National Condom Strategy has been finalized and approved for implementation
- \* Revision of school curricula to include Comprehensive Sexuality Education in primary schools.
- \* Integration of HIV into gender related policies and plans, including development of Gender Score Card, which was rolled out to the Provinces.

***Scaling up integrated and comprehensive ART services for adults and children***

- \* The UN leveraged SMS technologies, thereby cutting waiting times for parents waiting to receive the results of Early Infant Diagnostic tests from 66 to 29 days in 62 districts. 50 new sites using Programme Mwana SMS technology for early infant diagnosis of HIV were introduced.
- \* Support to procurement of 8 CD4 machines, dry blood spot bundles and motorbikes for the early infant diagnosis programme.
- \* Policy advocacy leading to adoption of the WHO 2010 guidelines to provide ARV treatment at earlier CD4 baseline of 350. Since 2013, none of the health facilities that provide ART services had stock-outs of essential medicine and supplies, as was previously the case.

***Social protection policies and strategies to mitigate the impact of HIV and AIDS***

- \* Advocacy to integrate protection of orphans and vulnerable children in Child Protection Policy, including review of the Street Child Protection Policy.
- \* Develop capacity and support for twenty-five Districts to carry out child protection pre-assessments.

***Coordinating a harmonized and sustainable multi-sectoral HIV response***

- \* Technical support to the Ministry of Health to developing its capacity in its role as Principal Recipient in the Global Fund grant.
- \* Advocacy leading to increased appropriation to the national health budget by 2.3% to 11.3% of the national budget. The \$5 million allocated for purchase of anti-retro virals (ARVs) in the 2012 budget was doubled in 2013.
- \* Support for the development and adoption of the revised response coordination framework for the National AIDS strategic Framework (NASF) by the National AIDS Council (NAC). The strategy provides guidelines to harmonise multi-sectoral response to HIV and AIDS.

#### **4.3.2. UNDAF Outcome 2: Sustainable Livelihoods**

64. Under the government's long term vision, agriculture is seen as the engine for economic and social development. The UN strategy was to contribute to this long-term objective by

providing support under two themes - (a) food security and livelihoods, which targeted small and medium sized farmers to improve their organizational capacity, increase their production and productivity (with a particular focus on crop diversification), and have more diversified opportunities for market linkages; and (b) employment and job creation, which aimed to promote decent employment and income generation with a focus on Micro, Small and Medium Enterprises (MSMEs); and promoting a rights based approach to employment.

**Table 5:** Progress on UNDAF Outcome 2 indicators

Outcome	Indicators	Progress
<b>UNDAF Outcome 2.</b> Targeted populations in rural and urban areas attain sustainable livelihood by 2015	Proportion of people living in extreme poverty by sex and region <b>Baseline:</b> 51% (Total) 67%/20% (Rural/Urban) <b>Target:</b> 29% (Total)	42.3% (Total 2010 – MDG Report 2013). Rural – 57.7%, Urban 13.1% Sex disaggregated data is not available Luapula province - 64.9% Western province - 64.0% Eastern province - 58.7% This target is unlikely to be met.

Source: UNDAF M&E Framework and UOG/MDG Progress reports

### Finding 9. UN support was most visible in its normative work...but there was no immediate impact at household level

65. The data in Table 5 raises two concerns – the first is on data availability; and the second is to interrogate why there was such limited progress on the outcome indicators. Clearly, where the UN expects to have a specific outcome on a targeted group, then it follows that a mechanism should also be established to monitor and measure progress on the targeted group. An important lesson that is also emerging is about the weak capacity in the national information system. The centrality of evidence-based development planning cannot be over-emphasised, and the UN may have to consider investing resources to strengthen national information systems.

66. Under the UNDAF Outcome 2, the UN designed its interventions under two country programme areas, and committed to deliver 6 outputs, of which three were in agriculture productivity and food security sector and three targeted job creation and decent work. Two joint programmes (JPs) were also developed; (i) UN Joint Programme on Decent Jobs for Youth and Improved Food Security, and (ii) UN Joint Programme on Sustainable Jobs (Green jobs).

67. UN interventions focused mainly on strengthening policy and institutional capacities as well as providing support at community and individual household level to enhance livelihoods (Table 6).

**Table 6: UN outputs towards UNDAF Outcome 2**

Agriculture productivity and food security	<p><b><i>Policy and institutional strengthening.</i></b></p> <ul style="list-style-type: none"> <li>- Support to development of National Agricultural Policy</li> <li>- Revision of the Maize Marketing and Voluntary Land Tenure guidelines</li> <li>- M&amp;E guidelines for Ministry of Agriculture and Livestock (MAL) developed and 256 staff trained</li> <li>- National and provincial agricultural statistics management platform developed</li> <li>- Support development of Smallholder Productivity Promotion Programme and Conservation Agriculture Scaling Up Project</li> </ul>
	<p><b><i>Support at community and household level.</i></b></p> <p>20,058 farmers (14,041 male and 6017 female) trained in conservation agriculture and provided micro-finance through e-voucher for improved productivity and production</p>
Job creation and decent work	<p><b><i>Policy and institutional strengthening.</i></b></p> <ul style="list-style-type: none"> <li>- Decent Work Country Profile completed and used as input for development of Zambia Decent Work Country Programme</li> <li>- Support to 2012 Labour Force Survey; School to Work Transition Survey (SWTS) to identify job rich growth sectors and value chain potential leading to development of National Action Plan on Youth Employment and Empowerment</li> </ul>
	<p><b><i>Support at community and household level.</i></b></p> <ul style="list-style-type: none"> <li>- 60 MSMEs supported to access markets through the national business linkages programme established within the Zambia Development Agency (ZDA)</li> <li>- Capacity of 30 Business Development Services (BDS) providers and establishment of referral database</li> </ul>

68. A review of the UNDAF annual reports reveals that the country programme outcome indicators were not monitored nor reported upon. As previously noted, the expected UNDAF outcome relates to ‘targeted populations in rural and urban areas’, while on the other hand, the indicator appears to measure ‘proportion of population in extreme poverty’ at the overall national level. This in itself makes the outcome unachievable. It could be that the outcome could have been achieved for the specific target groups, but that specific data is lacking. The 2013 MDG progress report quite significantly noted that the challenge is too deep-rooted to be achieved unilaterally like that:

*“The proportion of people living in extreme poverty has decreased from 58 percent in 1991 to 42.3 percent in 2010. This took 19 years...but the pace has slowed down in recent years. Extreme poverty has reduced by only 0.5 percentage points in the 4 years from 2006 to 2010. Yet, it will have to decline by 13.3 percentage points in the 5 years from 2010 and 2015 to attain the MDG target. Page 16.*

69. Without necessarily dwelling on design issues (which are sufficiently addressed above), it is clear either the interventions did not have sufficient scale to make significant impact on indicators, or they were not appropriate for the stated outcomes and indicators. One of the

key lessons that seems to be emerging is on the importance of undertaking an UNDAF mid-term review. While this is not a mandatory requirement, it would probably have enabled the UNCT to recognise the gaps in the design of indicators and make necessary adjustments. Perhaps another lesson is on the need for a comprehensive introspection for the UN to define its particular strengths and identify areas where it can make the most significant impact.

### 4.3.3. UNDAF Outcome 3: Human Development

70. The UN strategy was to approach this outcome from a perspective of human development, and provide support; (a) to ensure that vulnerable groups and individuals have improved equitable access to, and utilisation of health care services, (b) to ensure that boys and girls have equitable access to improved, free and inclusive quality education, and (c) to ensure that vulnerable groups and families can provide for their own needs, with assistance from comprehensive Government-led social protection systems.

71. This is yet another case where the expected outcome could not be achieved, partly because the indicators measured progress at national scale, while also available data relates to the period before implementation of UN interventions. (Table 7).

**Table 7: Progress on UNDAF outcome 3 indicators**

Outcome	Indicators	Progress
<b>UNDAF Outcome 3.</b> Vulnerable people have improved quality of life and well-being by 2015	Incidence of poverty <b>Baseline:</b> 64% (Total 2006) <b>Target:</b> Tbd	60% (UOG, 2012) While the target is not specified, some progress is indicated.
	Under-5 mortality rate <b>Baseline:</b> 119/1000 live births (2007) <b>Target:</b> 62/1,000 live births	137.6/1,000 live births (2010) The MDG progress report notes that although child mortality declined over the long term, the pace is insufficient to achieve the MDG target.
	Maternal mortality rate (MMR) <b>Baseline:</b> 591/100,000 live births (2007) <b>Target:</b> 185/100,000 live births	483/100,000 live births (2010) MMR improved from 649/100,000 live births in 1996 to 483/100,000 2010; but at this pace, the MDG target of 162.3/100,000 live births cannot be achieved by 2015.
	Literacy rate 15-24 year olds, women and men <b>Baseline:</b> 75(Total, 2007) <b>Target:</b> 100 (Total)	88.7 (2010) Youth literacy improved from 74.9% in 1990 to 88.7% in 2010; increasing faster for girls, by 15.3 percent points than for boys, by 12.3 percent points.

Source: UNDAF M&E Framework and UOG/MDG Progress reports

### Finding 10. The UN contributed to strengthen national systems and scaling up equitable access services and social protection

72. UN interventions delivered many significant results that were reported under the UNDAF outcome as highlighted below.

#### **Strengthening national systems and policies**

- *National Food and Nutrition Strategic Plan*
- *Maternal Neonatal and Child Health road map*
- *National Newborn framework, 8-year family planning scale up plan*
- *Adolescent Health Strategic Plan*
- Establishment of community-run *Early Childhood Education Centres with Integrated Early Learning and Nutrition programmes.*
- Comprehensive Sexuality Education has been developed and incorporated in the national curriculum
- *National Social Protection Policy*

#### **Scaling up equitable access to quality services and social protection**

- School feeding of 1,285,000 children in 40 districts in 9 provinces.
- Support advocacy leading to directive to institutionalise implementation of the home grown school feeding initiative.
- Developed management information system (MIS) to integrate public social protection systems and improve delivery of cash transfers; resulting in higher delivery to beneficiaries - 50,000 in 2012 alone.
- 7,503,515 children vaccinated against measles.
- Oral Polio Vaccine (OPV) administered to children aged 0-59 months in 30 high polio districts.
- Vitamin A 100,000 IU and 200,000 IU administered to children aged 6 to 59 months countrywide.
- Dewormed 2,217,675 children aged between 12 and 59 months countrywide. Trained 307 307 Community Health Assistants to support outreach services

#### **4.3.4. UNDAF Outcome 4: Environment, Climate Change and DRR**

73. The UN strategy was to enhance national capacities for responding to disasters and coping with climate change and natural resource degradation, by supporting interventions in three areas (i) strengthening systems and institutions to implement information management and early warning systems for better planning, preparedness and a coordinated response to disasters, (ii) integrating climate change risks into programming and policies, particularly in the areas of land cover and use, and (iii) mainstreaming environmental issues, targeting small scale farmers in particular, and promoting sustainable natural resource management, including domestication and regulation of international conventions on environment.

**Table 8:** Progress on UNDAF outcome 4 indicators

Outcome	Indicators	Progress
<p><b>UNDAF Outcome 4.</b>                      People’s vulnerability reduced from the risk of climate change, natural and man-made disasters and environmental degradation by 2015</p>	<p>% reduction in households affected by disasters in years with extreme weather conditions (floods or drought)  <b>Baseline:</b> 6% (102,000 households 2008/9)  <b>Target:</b> Not specified</p>	<p>58,834 (2012, Zambia Vulnerability Assessment Committee (ZVAC))</p> <p>However, the targets that were intended to be achieved were not specified.</p>

Source: UNDAF M&E Framework and UOG/MDG progress reports

**Finding 11. UN support contributed to strengthen national systems for climate resilience and disaster risk preparedness**

74. Two Joint Programmes are being implemented - Joint Programme on Climate Change and Disaster Risk Reduction and Joint Programme on Reducing Emissions from Deforestation and Forest Degradation. Highlights of key interventions and outputs under UNDAF outcome 4 include:

**Disaster risk reduction**

- District hazard and vulnerability profiles completed for three districts (Chipata, Gwembe and Sesheke) – thus establishing tools for national upscaling.
- National disaster management policy developed.
- User manuals and guidelines developed for the Disaster Mitigation Management Unit (DMMU) and rolled out to provincial level.
- Support annual multi-sectoral Zambia Vulnerability Assessment in eighteen districts.
- Automatic weather stations established in eight districts.

**Climate change adaption and mitigation**

- National climate change policy developed.
- Development of (i) national climate change strategy and draft policy, (ii) geographic information systems for forest provincial officers, and (iii) financing mechanism for sustainable land management.
- Green House Gases (GHG) Unit established at Zambia Environmental Management Agency.
- Analysis and advocacy leading to integration of REDD+ (Reducing Emissions from Deforestation and Forest Degradation) strategies into agriculture policy.
- 2,000 small scale farmers (46 % female) trained on climate change adaptation measures and provided with starter packs.

**Natural resource management**

- Review of wildlife policy; resulting in establishment and implementation of 20 by-laws for local environment protection in West Lunga, Chiawa, Bangweulu and Lake Tanganyika.
- Establishment of sports and natural resources management information centre in Chiawa to engage youth in conservation.

## UNDAF Outcome 5: Governance, Human Rights and Gender Equality

75. Under the governance sector, the UN strategy was to support the domestication of international conventions, protocols and commitments, by strengthening the capacity of oversight institutions in the areas of democratic governance, human rights and public accountability. The UN also provided normative and programmatic support in the area of gender equality and women’s empowerment.

**Table 9.** Progress on UNDAF outcome 5 indicators

Outcome	Indicators	Progress
<b>UNDAF Outcome 5.</b> Targeted government institutions provide human rights-based policies, frameworks and services by 2015	%of citizens satisfied with the state of governance <b>Baseline:</b> 49.5% (2008) <b>Target:</b> 70% (2015)	Data not available

Source: UNDAF M&E Framework and UOG/MDG progress reports

### Finding 12. While contributing to key areas of good governance, UN support was not strategic to enhance citizen participation

76. National counterparts noted that the UN support helped to fund gaps in government processes. They observed that in most sectors, about 76% of the government budget funded administration and salaries, leaving only about 25% to cater for substantive work, including capital expenditure and capacity building. The UN support helped to fill this funding gap. This seems to indicate a lack of strategic approach on the part of the UN.

77. For example, the UN has been working to support the national Parliament in capacity building, including development of a strategic plan for the National Assembly. When asked whether this addressed the most pressing needs, national partners felt that their biggest challenge was on how to institutionalise citizen participation in the legislative processes. Most national partners also observed the fragmented nature of UN support. For example, within government, domestication of international treaties was integrated under one department, but individual UN agencies engaged the same counterpart from the different perspective of their mandates. The key lesson that seems to be emerging is about the need for developing a comprehensive strategy and programme of support.

78. The UN developed two joint programmes - UN Joint Programme on Gender Based Violence, and UN Joint Programme on Protecting Migrant Children from Trafficking and Exploitation - through which many of the normative products were delivered.

#### **Accountability and Human rights**

- Zambian Human Rights Commission (ZHRC) participated in the Universal Periodic Review (UPR) of Zambia.
- Development of Constitution and legal framework of Zambia Media Council (ZAMEC).
- Establishment of the Child Helpline Zambia.

#### **Gender equality and women's empowerment**

- Development of National Gender Policy.
- Gender and HIV Scorecard developed and commissioned in 5 Provinces, including nationwide campaign to end child marriages.
- Training of magistrates in the provisions of the Convention to End all forms of Discrimination against Women (CEDAW), including simplification of the Anti-Gender Based Violence (GBV) Act, and orientation of traditional chiefs on the provisions of the GBV Act.
- Development of training manual on GBV for the Police, including training of Victim Support Unit Officers on the provisions of the Anti-GBV Act.
- Development of Learner Directed Training Modules for mainstreaming gender, culminating with the five priority line Ministries developing engendered budgets.
- Establishment of shelter for survivors of GBV and Human Trafficking; including establishment of men's and care givers networks in two Provinces.

#### **4.4. Efficiency of the UNDAF**

79. This section contains an analysis of the UNDAF's efficiency with respect to resource mobilisation and utilisation (Annex 4), as well as the implementation and coordination of the UNDAF.

#### **Finding 13. The UN funded its planned budget, but the allocations did not go to planned UNDAF priority outcomes**

80. Based on available data covering the three-year period from 2011 – 2013,<sup>12</sup> the UN funded 78.2% of its planned budget (Figure 7a). However, the allocation of available funds to the UNDAF outcome areas did not reflect the planned priorities (Figure 7b). At initial design, the UN had prioritised funding for Outcome 3 (48.8%), followed by Outcome 2 (17.9%), and Outcome 1 (13.6%), with Outcomes 4 (11.3%) and Outcome 5 (8.4%) coming last.

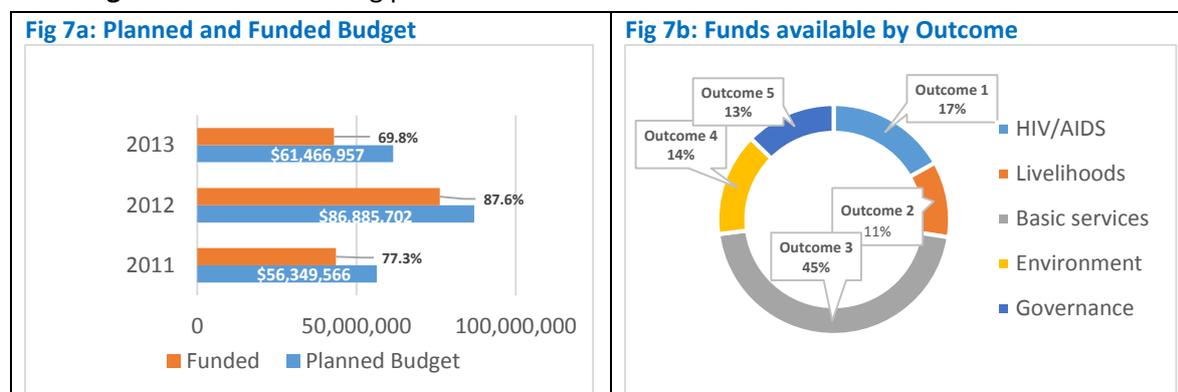
81. However, based on actual funding, the allocations to the planned priorities of Outcomes 3 and 2 declined by 3% and 6% respectively. As a result, UNDAF outcome 2 lost its second place on funding priority to become the least funded. Outcomes 1 and 4 moved up to second and third place respectively. This seems to confirm the suggestion that the UN reacted to

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<sup>12</sup> Data for 2014 was not available at the time of drafting

opportunities as and when they became available without a strategic game plan (Finding 3, paragraph 45).

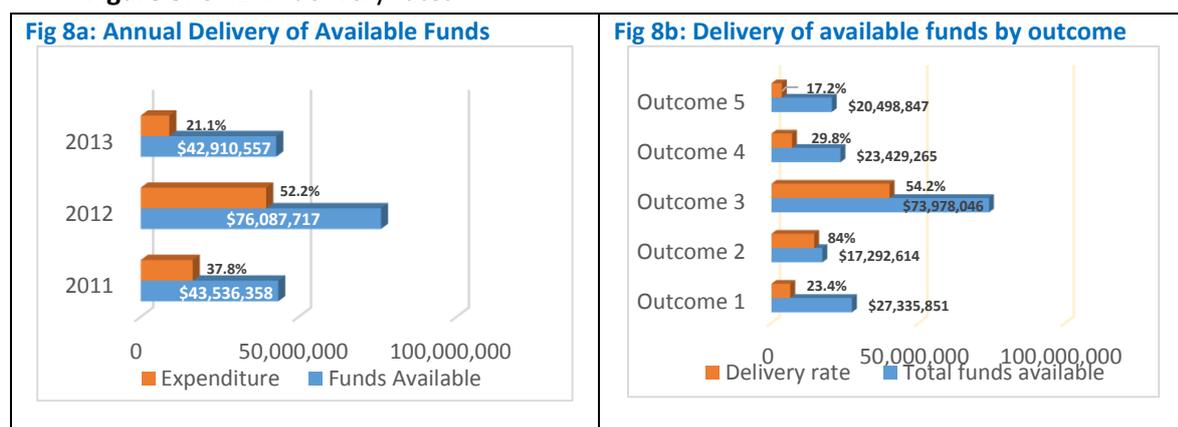
**Figure 7: UNDAF funding performance**



**Finding 14. There was overall low rate of delivery in all UNDAF outcomes**

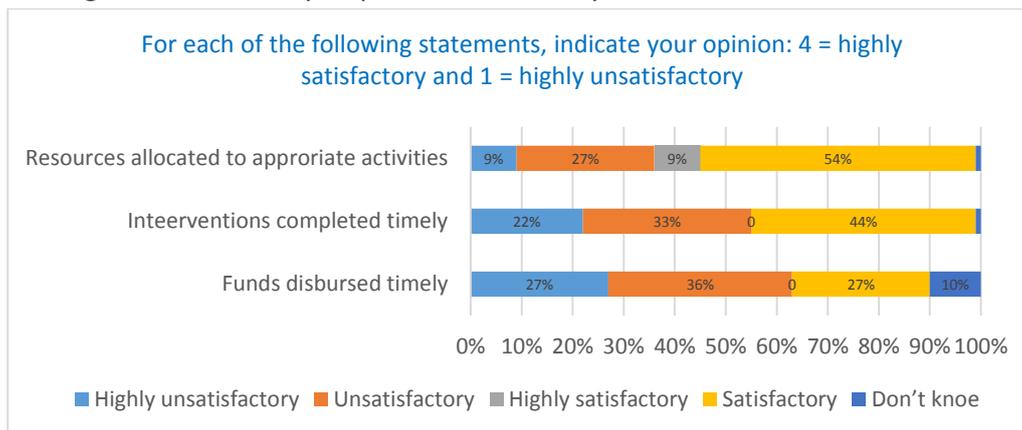
82. The first three years of UNDAF implementation (2011 – 2013) was characterised by low delivery of available funds (Figure 8a). Based on currently available data, average UNDAF delivery was 41.7% of available funds over the first three years of implementation (Figure 8b). The highest delivery recorded was for Outcome 2 (Sustainable livelihoods) and Outcome 3 (Human development), which achieved 84% and 54.2% delivery rate respectively. The rest of the outcomes had unsatisfactory delivery of less than 30% of available funds.

**Figure 8: UNDAF delivery rates**



83. The specific reasons for this low delivery could not be ascertained, but may also include delayed start of planned activities, particularly the joint programmes. Based on the staff survey results (Figure 9), UN programme staff also felt that funds disbursement was not satisfactory (63%); while more than half of them (55%) felt that interventions were not completed timely. However, most of the respondents (63%) felt that resources were allocated to activities that could achieve desired results.

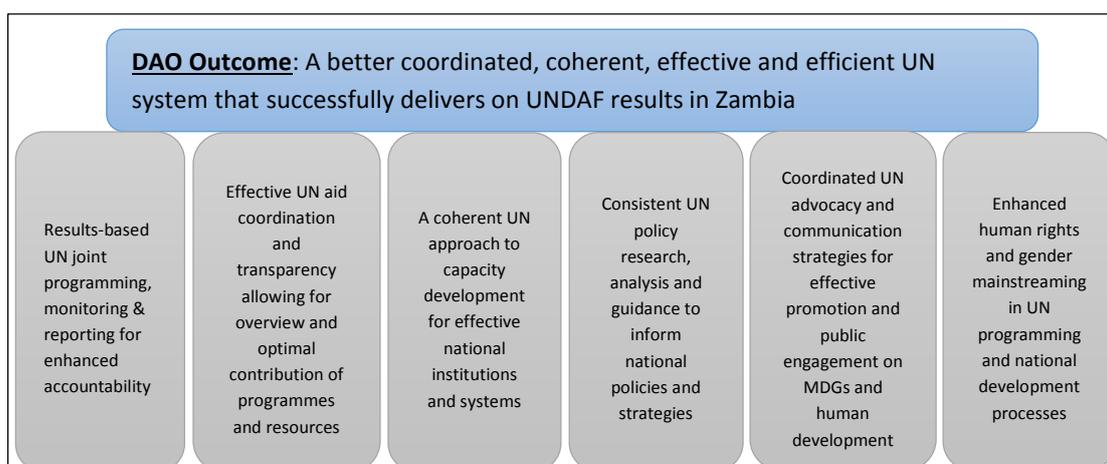
**Figure 9:** Staff survey responses on efficiency



#### 4.5. UNDAF Coordination and Delivering as One

84. This section examines coordination of the UNDAF and the UN’s progress towards the strategic intent as a ‘self-starter’ Delivering as One. The UNCT developed the project - UN Coordination and Support to DaO in Zambia – to facilitate and coordinate the ‘Delivering as One’ initiative in Zambia (Figure 10).

**Figure 10.** UN DaO Project results framework



#### Finding 15. Progress on ‘delivering as one’ is still limited

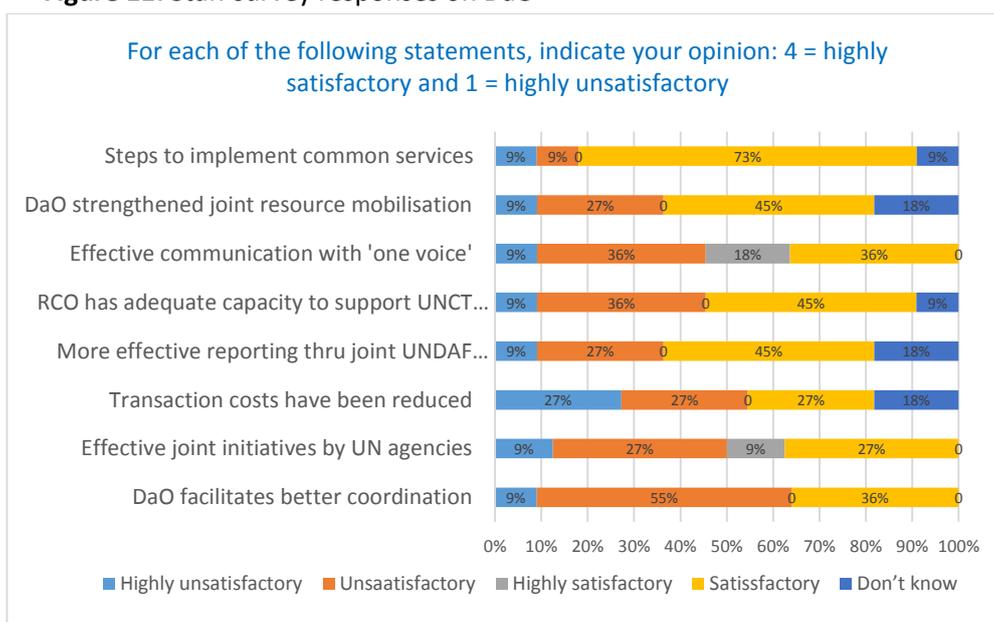
85. The main objective of DaO is for the UN to collectively support the country’s national priorities in a more coherent, effective and holistic manner in order to achieve better development results.<sup>13</sup> The actual expected benefits include, (i) reducing duplication and overlap, (ii) reduction in transaction costs, (iii) greater coherence and harmonised operations, and (iv) greater development impact.

<sup>13</sup> Project document on UN Coordination and Support to DaO in Zambia

86. Majority of stakeholders noted that the UN ‘delivering as one’ was not yet visible on any of the expected benefits stated above. The UN still appeared to have overlap in a number of areas. For example, stakeholders noted instances of overlap by UN agencies in their support to life skills and sexuality education. National partners also noted that the transaction costs for collaboration with the UN was high, especially in relation to staff time associated with meetings with different UN agencies.

87. Based on the staff survey, it was also apparent that UN programme staff did not consider themselves to be operating under a ‘delivering as one’ environment (Figure 11). This is particularly significant, because if there is to be any meaningful DaO in Zambia, the UN staff should be the first to acknowledge it. The responses illustrate that among UN staff, there are some who do not yet feel that the UN is ‘delivering as one’ and therefore it could also be reasonably assumed that for them, it is business as usual. A key lesson that maybe emerging here is about communication and change management. Change often causes anxiety among staff, and if not managed properly, the whole purpose for DaO could be frustrated by staff not willing to implement the necessary steps required to put into effect the “joint” planning, implementing and monitoring that is required for effective delivering as one.

**Figure 11: Staff survey responses on DaO**



**Finding 16. The present structures do not facilitate effective UNDAF coordination and ‘delivering as one’**

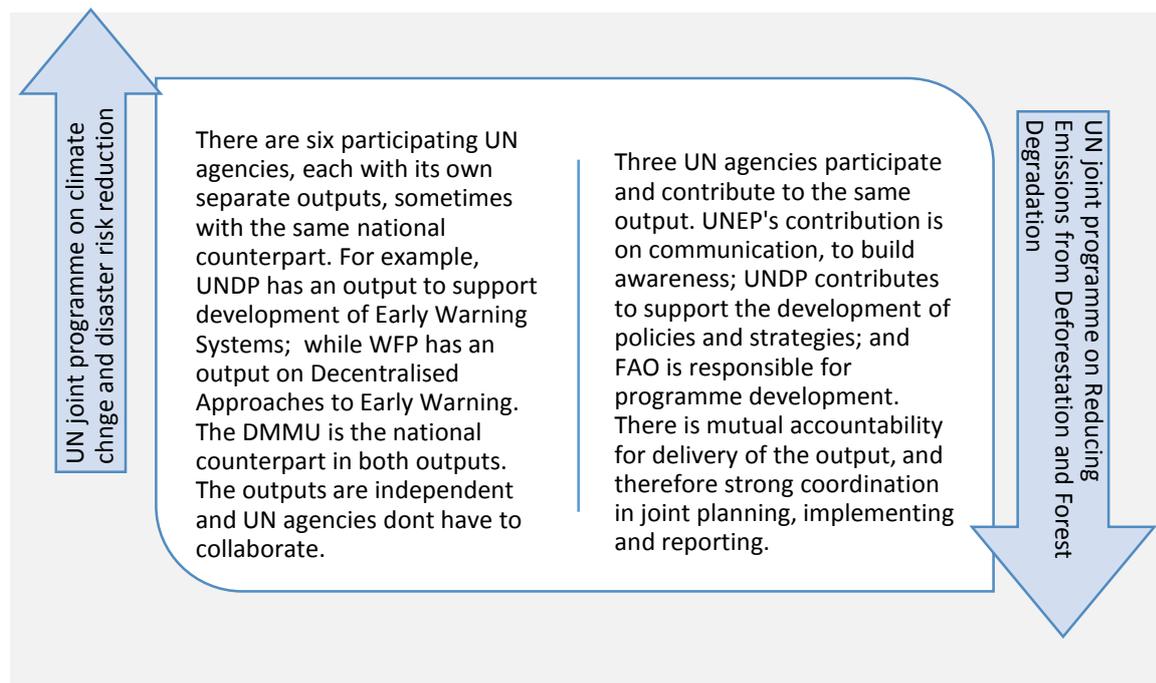
88. The decision for the UN in Zambia to become a DaO was made after the UNDAF had already been developed, and therefore it was not structured for a DaO. That notwithstanding, the UNCT has taken steps towards delivering as one, including establishment of inter-agency coordination mechanisms such as the Programme Management Team (PMT) and Operations

Management Team (OMT), as well as M&E, Communications, and UNDAF outcome groups, supported and facilitated by the Resident Coordinator’s Office (RCO).

89. The UNCT is well established and meets monthly under the leadership of the UNRC. It is also supported by appropriate standing committees such as the PMT and OMT. However, the UNCT did not exercise adequate oversight of the Teams through regular reporting. Some Heads of Agencies (HoA) noted that the UNCT did not get routine briefs from the chairs of the PMT and OMT. In addition, there is no direct interface between the PMT and OMT, and consequently they work in silos with each Team not knowing what the other is doing.

90. Majority of UN senior management and staff noted that there was limited inter-agency collaboration and coordination that goes on outside of the JPs that are implemented under the UNDAF outcomes. While on paper it appears that the UN does undertake joint planning, implementing and reporting, the evidence indicates that most of these processes are done separately and consolidated by respective coordinating structures. There are varying levels of coordination among the JPs, depending on how they are designed. The following two JPs provide illustrative examples (Figure 12):

**Figure 12: JP’s design impact on coordination**



91. The UNCT also established UNDAF Outcome Groups (UOGs) to lead and coordinate UN agency programmes under the outcomes. In theory, the OUGs are led by HoAs, who are appointed as Senior Advisors for each outcome. However, the HoAs have no direct responsibility for the UOGs outputs such as the joint work plan or the joint report, which are done by the Convenors of the OUGs. The Convenors are Senior Programme staff from UN agencies that contribute to the respective outcomes. Almost all Convenors said that the

system did not work effectively primarily because they lacked authority to enforce participation and follow up on decisions.

92. The signed UNDAF does not make a specific provision for the establishment of strategic governance and oversight body. Strategic governance are embedded within Sector Advisory Groups (SAGs) and the JASZ mechanism for cooperating partners. Stakeholders noted that these bodies either had much broader scope (SAGs) or had become dysfunctional (JASZ) to provide governance for the UNDAF. However, when Government formally requested the UN to deliver as one in 2011,

**Box 6.** “To guide and hold the UNCT accountable, a Delivering as One steering committee, co-chaired by the Government (Ministry of Finance and National Planning) will be established. The Steering Committee will be responsible for providing guidance and monitoring progress on the implementation of DaO work streams and UNDAF results areas. The DaO Steering Committee will meet at least annually”.

*Management and Accountability Framework for DaO*

a Delivering as One Steering Committee was planned (Box 6); but this was never established.

93. Experience from other DaO countries indicates that strong government engagement is a pre-requisite for effective delivering as one. In DaO pilot countries, there is a UN Joint Steering Committee (UNJSC) that is co-chaired by a senior government official and the UNRC. In some countries, the UNJSC is co-chaired by a cabinet Minister or Permanent Secretary of the Ministry in charge of aid coordination. The rationale is to establish a governance body with sufficient decision-making authority on relevant issues. In the particular case of Zambia, the JSC would have been in a good position to decide on the UN’s response to the revision of the SNDP. Other DaO countries have also engaged government participation in the results groups in order to strengthen national ownership of UNDAF processes, including joint planning, implementation and monitoring.

### **Finding 17. The UNRCO lacks adequate capacity to support effective DaO in Zambia**

94. The concept of ‘One leader/One office’ encumbers the UNRC to lead the UNCT and be held accountable by the government and UN organizations to ensure that the UN system is responding to the most relevant and strategic national priorities in an effective and timely way. Heads of Agencies noted that the RCO lacks capacity for policy analysis and strategic planning, which are critical functions to support the UNRC in the role of ‘One leader’.

95. While some efforts have been made towards ‘Operating as One’, including the development of the Business Operating Strategy (BOS). Some UN agencies (although not all) were using the Harmonised Approach to Cash Transfers (HACT), but overall, the BOS is still in draft. In addition, the UNRCO does not have adequate capacity to support the analytical work required to effectively operate as one. Key staff in UN agencies observed that although data was available in UN agency systems in such areas as procurement and human resources, it still required to be analysed before it can be applied in a common operating platform. The emerging lesson is about adequate capacity within the UNRCO as the institutional structure

that provides technical support to the UNRC as well as the pivot for coordination through the UNCT and its delegated support groups.

96. Most UN staff said there was notable progress in the area of 'One voice', through the work of the Communications Group. However, national counterparts had different opinion, noting that the UN had not developed a common brand, and was still very much identifiable as separate agencies.

#### 4.6. Sustainability

97. The concept of sustainability involves assessing the likelihood that results of UN interventions will continue to be enjoyed by intended beneficiaries in the long term. As the UNDAF cuts across many sectors, it is therefore difficult to make an aggregated opinion while at the same time being objective. This assessment will therefore focus specifically on the general issues that affect sustainability of results, including national ownership and capacity development.

#### **Finding 18. Despite UN-government coordination at sector level, national ownership of the UNDAF as a whole was lacking**

98. While there was much more continuous engagement between the UN and government at the sector level, the engagement at the overall UNDAF level was minimal, in fact it only occurred during the UNDAF annual reviews. In addition, there appeared to be undercurrents of tension which manifested in statements by national counterparts such as *'there is consultation that goes on during project development, but the inter-action is not centralised.'*

99. Many of the national stakeholders said that they would really find it difficult to say that there was national ownership, let alone national leadership of UNDAF processes. It was also apparent that most government partners considered the UN's commitment to national ownership to be minimal. They noted that many interventions are developed by UN agencies and then brought up to the government for rubber-stamping. Many of them said, even in those instances where one could say there was consultation, the process was such that important decisions have to be taken in the course of a half-day workshop, which is preceded by a couple of presentations by the UN staff or hired consultants. Government partners do not have sufficient time to examine the data and consider the implications.

100. At the central UNDAF level, many counterparts noted that their only engagement was during the UNDAF annual review workshop, and most of them remembered only the one held in 2012 or 2013. The government also said that in general, 'there was poor accountability to government by development partners', and they cited the Development Cooperation Report (which the author has not seen).

### **Finding 19. There is lack of balance in UN capacity-building of duty-bearers and rights-holders**

101. Most of the UNDAF interventions and results are aligned to national priorities and strategies of the government, therefore it can be reasonably assumed that they should be sustained in the long term. Many of the UN agency outputs include support in the development of specific sector policies and strategies, which will be implemented in the long term, assuming that the government does not change its policies.

102. However, to the extent that some of the initiatives involve specific process, the issue of national capacity development is key to their sustainability. National counterparts said they had limited engagement with UNDAF processes except during the annual reviews, and they did not particularly feel that they had ownership or were driving the processes. Some of them also observed that national ownership could have been enhanced if UN agencies located project management within line Ministries.

103. Another key element for sustainability is that there should be continued flow of net benefits to intended beneficiaries. This concept therefore entails that processes and results should be addressed from a dual perspective of provision of services (duty-bearers) and users of services (rights-holders). Civil society counterparts felt they did not have effective engagement and collaboration with the UN. A key lesson that seems to be emerging here is that the notion of national ownership of results involves also building capacity of direct beneficiaries to be involved in identification of priorities and programming for service delivery. The UNDAF appears to have given more emphasis to capacity development from a perspective of service providers.

## **V. CONCLUSIONS AND LESSONS LEARNED**

104. One of the major lessons coming out of this evaluation is that ‘delivering as one’ is not easy. But this is not a new lesson, and not peculiar to the UN in Zambia. However, it probably was more difficult for the UN in Zambia because the decision to become a DaO was made after the UNDAF had already been developed. Thus, while the UNDAF 2011 – 2015 was not developed on the basis of ‘delivering as one’, the UNCT had to make some adjustments to adopt to a DaO framework after the fact. This has presented a learning opportunity for the UN in Zambia and other countries that may decide to take that route.

105. There were several issues raised with the UNDAF as a strategic framework. First and foremost, the design did not adequately reflect its strategic nature as the programme framework for the UN as a collective entity. Many stakeholders saw it through the prism of individual UN agency mandates. Secondly, it did not articulate the UN’s strategic contribution to addressing development challenges, but instead positioned the UN as a donor entity filling the funding gap on government’s programmes.

*The key lessons identified on UNDAF design are:*

- \* The UN is collectively accountable for the achievement of UNDAF outcomes, and therefore should formulate realistic and achievable outcomes, and also establish appropriate and adequate indicators to enable it to clearly demonstrate its contribution towards national goals.*
- \* The UNDAF requires a clear and coherent programme pathway to change with only one level of outcomes, and in order to do that.*
- \* The UN requires a comprehensive inventory of its collective comparative advantage in Zambia; not just listing of agency mandates; but a realistic assessment of expertise and value added, relative to the country context.*

106. There were also a number of issues related to reporting of results. Many of them are linked to the design, whereby the outcome indicators were defined at national scale. Given the general lack of data in Zambia, it was therefore difficult to report progress based on indicators. The challenge here is not so much the absence of national data, but rather that the UN did not take the necessary measures to ensure data availability, including disaggregating the data.

107. Another issue that also limited capacity for reporting was that many of the expected outcomes were not formulated in language that describes a change in development situation. If results are formulated as 'actions' by target groups, then they are either assumptions or indicators. Furthermore, there must be clarity about how these changes will come about. Some of the issues that can be mainstreamed as crosscutting issues need to be defined as such, which in itself also constitutes a form of 'collaboration'. The expected development changes should also reflect a balance between duty-bearers and rights holders in order to embed sustainability of the results based on national ownership.

*Some of the key lessons identified on UNDAF are:*

- \* While a mid-term review of the UNDAF is not a mandatory requirement, it has formative value and helps the UN to identify problems and make timely adjustments.*
- \* As a strategic framework, the UNDAF covers a broad spectrum of development sectors with multiple stakeholders, and therefore requires broader partnerships with multiple stakeholders.*
- \* The notion of national ownership should not be seen only from the perspective of the Government. The UN should also develop strategic partnerships with other national stakeholders, including civil society in order to ensure sustainability of programme processes and results.*

108. Even though stakeholders said that the UN was not visibly delivering as one, they all seemed to agree that it would bring positive benefits, in particular with regards to reducing

transaction costs and harmonising operational procedures. DaO is therefore no longer an option in Zambia, but a reality that has to be strengthened in order to realise its full benefits.

109. The lessons generated during the implementation of the UNDAF illustrate that effective DaO rests on three pillars:

- An empowered UNRC to represent the whole UN development system and ensure UN accountability to both the government and cooperating partners,
- An effective UNCT to lead joint UN planning and coordinate the implementation and reporting for effective development results, and
- Adequate technical capacity within the UNRCO to support joint UN processes and functions of the UNRC and UNCT.

110. While the above constitute the institutional mechanisms required for DaO, it is equally important to recognise that ‘delivering as one’ is an approach to work, which entails changing the way that business is done; and UN ‘business’ is done by all staff members. It is therefore critical that all staff members are fully informed of the changes taking place and how they affect that at individual level.

## VI. RECOMMENDATIONS

111. There is no doubt that the UN in Zambia needs to rethink its strategy in the light of fundamental changes in the country’s development situation. The country’s graduation to a medium middle income country comes with its own challenges, which based on experience from other countries, may include a decline in official development assistance. For the UN, this could mean that it will become increasingly difficult to mobilise resources from donors. In addition, the next UNDAF will be developed in a context of global transition in the development paradigm of the MDGs, which will be replaced by Sustainable Development Goals (SDGs).

112. Based on the foregoing analysis and lessons learned, this evaluation makes ten recommendations to strengthen UN system delivery and coherence in the context of DaO.

### **Recommendation 1. The UNCT should undertake a comprehensive assessment (SWOT analysis) to reposition itself strategically in order to enhance its relevance and effectiveness**

113. As noted in 2012 by the General Assembly “...the UN system will always be part of the solution, but it may need to reinvent itself, in order to stand up to today’s challenges.”<sup>14</sup> The UNCT should use the process of developing the next UNDAF as an opportunity to undertake a strategic assessment of its comparative advantages in Zambia with a view to reposition itself for the changing landscape in Zambia. The analysis should therefore include (but not limited to) the following question - where and how can the UN contribute effectively to the

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<sup>14</sup> Department of Economic and Social Affairs (2012): Emerging Issues in Development Cooperation

simultaneous achievement of Zambia's national long term vision and the sustainable development goals?

114. In this regard, the UN's repositioning strategy should seek to address the key issues that appears to underlie the development paradigm in Zambia - the so-called '*middle-income paradox*'<sup>15</sup>. Zambia graduated to lower middle income status, but as revealed by the MDG progress report, over 40% of the population could still be living in extreme poverty, and there are very wide regional disparities in the access of basic services, particularly between rural and urban areas. The UN's strategy should therefore always endeavour to target these groups that may be left and forgotten as the country moves on the 'middle-income' trajectory. The challenge for the UN is twofold. On one hand, as Zambia progresses as middle income country, it becomes increasingly difficult to raise resources, and therefore much of the UN's support gravitates towards normative support. On the other hand, the delivery of services to disadvantaged groups may keep widening and Zambia could start regressing on some of the MDG indicators that may have previously been achieved, thereby exacerbating need for more downstream support. The challenge is therefore about balancing the two positions – upstream versus downstream support.

**Recommendation 2. The UNRC and UNCT should formulate UNDAF outcomes that are capable of achievement through the collective efforts of UN agencies; and ensure that there is only one level of outcomes driving its programme of work**

115. The UNCT should identify relevant strategic priority areas that best reflect its comparative advantages and presence in Zambia vis-à-vis the strategies of the government and other development partners. Most stakeholders were of the view that the UN's comparative advantages placed it in a good position to influence policies and national systems in these areas: (i) Empowerment of disadvantaged groups to participate in the mainstream economy to reduce poverty, (ii) Good governance towards inclusive access to improved quality services, and (iii) Adaptation and mitigating the vulnerabilities caused by natural disasters and climate change. The UNCT should agree on the set of UNDAF outcomes to support the national development priorities. Bearing in mind that the UN is collectively accountable for delivering the outcomes (Box 7), the UNCT should also ensure that there is only one level of outcomes, in order to focus UN agencies on delivering the UNDAF outcomes.

**Box 7:** "Outcomes should be specific, realistically achievable and measurable, so that the UN is accountable for their achievements"  
[How to prepare an UNDAF, Part 1; page 12](#)

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<sup>15</sup> Middle income countries are assumed to have resources and capacity, but still face problems that are most commonly found in low income countries, including substantial poverty rates, food insecurity and high unemployment

**Recommendation 3. The UNRCO should develop a simplified monitoring and evaluation framework to track and report on progress towards UNDAF outcomes**

116. The problems identified in this evaluation regarding both monitoring and evaluation of results cannot be overstated. After four years of programming and implementation, that the UN was still unable to specifically articulate its results, or measure its contribution on the basis of its indicators should be worrisome to the UNCT. There was no mid-term review for the UNDAF itself, which although not mandatory, is always usually a useful formative evaluation that enables the UNCT to assess progress and make necessary adjustments. The second issue is about the lack of national information and data; the UNCT should be equally worried about the effectiveness of the UN's normative support if it is not informed by evidence-based data.

117. UN agencies should ensure that monitoring systems are integrated into their programmes, including mid-term and final evaluations of projects and joint programmes. But above all, where there are gaps in the national information systems, then UN agencies should also ensure that resources are allocated within programme work plans to strengthen the data collection systems, including disaggregation by age, sex and other variables if that is required by the indicators.

**Recommendation 4. UN agencies should strengthen the mainstreaming of UN principles and crosscutting issues, including developing appropriate indicators for cross-cutting themes**

118. Mainstreaming is a strategy to ensure that concerns related to a specific issue or theme are considered within this central decision-making arena. As a matter of principle, the UN is required to mainstream the 5 programming principles into all interventions. Mainstreaming these themes contributes to more responsive government and better service provision because it takes into account specific issues that "cut across" various government agencies or civil society organisations and impact on all sectors. Mainstreaming is a long-term process that takes place on many fronts, requiring changes in awareness, attitudes, policies, plans and programme implementation. The end goal of mainstreaming is to ensure that initiatives to address the cross-cutting issues have been woven into the fabric of governance in a way that contributes to sustainable development.

119. The challenge for the UN therefore is to develop adequate and appropriate indicators to monitor that crosscutting themes are effectively mainstreamed in programmes. If the UN can demonstrate in the long-term, that it has been effective to ensure that the 5 UN principles are integrated into all programme initiatives and mainstreamed within the government's decision-making processes; then indeed the UN can identify its value-added. In many ways, mainstreaming these principles can yield more sustainable results compared to when the issues are addressed as standalone outcomes.

**Recommendation 5. The UNRC and UNCT should establish the joint National/UN Steering Committee jointly with government to exercise strategic governance and oversight**

120. That the UNDAF should be aligned to the government's national priorities is never in doubt, but what seems to have been challenging is how to ensure greater national ownership and leadership in UNDAF processes and results. Experience from the DaO pilot countries indicates that Government leadership and support are an essential factor in order for progress to be made with the One UN initiative. In fact, the UN in Zambia notes that "in 2011 the GORZ formally requested the UN to become a delivering as one self-starter"; which constitutes a clear platform for the UN to formalise the establishment of joint UNDAF and DaO Governance and Oversight Steering Committee.

121. In line with the standard operating procedures (SOPs) established for DaO countries, the Joint National/UN Steering Committee is co-chaired by the UNRC and Government Coordinating National Ministry; while the terms of reference for the Steering Committee are jointly prepared and approved by the host country Government and the UN system, including roles and responsibilities, membership, and approval and dispute-resolution mechanisms.

**Recommendation 6. The UNRC and UNCT should establish a common budgetary framework and 'One UN Fund', as well as strengthening joint resource mobilisation**

122. The estimated resources framework in the UNDAF 2011 – 2015 (pages 21 – 22) falls short of being a common budgetary framework because it does not further split the resources by activity and timeframe. The UNCT should strengthen the common budgetary framework as a tool to further enhancing delivering as one, also as a platform for joint resource mobilisation.

123. One of the major reasons why probably there wasn't much inter-agency collaboration even within the joint programmes is because individual agencies had their own independent set of activities and budgets. Experience from the pilot DaO countries suggests that the common budgetary framework and One Fund is a catalyst for an inclusive approach to UN engagement; and a critical tool for reducing duplication and fragmentation of activities through improved planning and reduction of competition for funds. The One Fund could also lead to better delivery of results, through for example, adopting a performance-based allocation criteria (especially on cross-cutting issues).

**Recommendation 7. The UNCT should review the UNDAF coordination structures, ensuring that it assumes full responsibility and accountability for delivering UNDAF outcomes**

124. The UNCT should redefine the structure, roles and composition of the UNDAF outcome groups. In particular, the UNCT should ensure that whatever structure is adopted, it enables the UNCT to assume full responsibility and accountability for delivering UNDAF outcomes. In this regard, the role and responsibilities of Heads of Agencies should be re-examined with a

view to redirecting full responsibility for delivery of outcomes vested within the UNCT. In this connexion, the guidelines provided in the SOPs are instructive

*“Each Results Group is led by a designated Head of Agency who is a member of the UN Country Team and who is responsible and accountable for driving joint approaches for results as well as monitoring and reporting within a harmonized and coordinated framework. The leader is delegated to act on behalf of the UN Country Team not as a lead agency but rather to fulfil a coordination and leadership function on behalf of the UN system”.*

**Recommendation 8. The UNCT should strengthen capacity of the UNRCO in core functions, including strategic planning, policy analysis and operations analysis**

125. The UNRCO has the critical role to support coordination of UN programming and operations as well as secretariat of the UNCT and its other committees. The UNCT should ensure that the UNRCO is adequately staffed, including by exploring possibilities to increase resource allocations or staff secondments to support the RCO.

**Recommendation 9. The UNRC and UNCT should strengthen coordination between the programming and operations, including by implementing the Business Operations Strategy**

126. In a practical sense, it is hard to envisage a situation in which the UN could effectively ‘deliver as one’ if it does not ‘operate as one’. In essence therefore, the quality of programme delivery is inseparable from the quality of operations support. The UNCT should establish appropriate measures to ensure that there is sufficient interface between the PMT and the OMT (Box 8).

**Box 8.** “The OMT and Business Operations Strategy is a strategic, critical driver of effective programme delivery. [Standard Operating Procedures for Countries Wishing to Adopt the “Delivering as one” Approach, page 33](#)

127. In addition, the OMT should operationalize the Business Operations Strategy by a developing a Business Operations results matrix and budget, including a monitoring and evaluation framework with key performance indicators to track the quality and progress of common business operations solutions. Only on this basis can the UNCT hold the OMT accountable for delivery of specific results.

**Recommendation 10. The UNRC and UNCT should develop a common brand for the UN**

128. As noted by majority of national partners, even where the UN had a joint programme, individual UN agencies continued to be seen as being separate. Also in the course of this evaluation, national partners hardly ever referred to 'the UN' as a family, but only to individual UN agencies. The UNRC through the Communications Group should develop and promote a corporate brand for the UN.

**Box 9.** UNCT members will continue to engage in agency-specific communication activities using their own brand identities. The agency-specific messages should be consistent and complement joint efforts. [SOPs, page 41](#)

129. The UNCT should strengthen its messaging around a brand, which both rights-holders and duty-bearers can identify with. The UNCT should assess how and where the UN can add value to the duty-bearers, and also how and where to add value for rights holders. Two potential areas that can be considered for common branding; (i) strengthening the role of the UN as providers of high quality data for policy and decision-making; and (ii) strengthening civil capacity and participation in planning, implementation and monitoring of development programmes, and enhancing their role in public accountability.

## **ANNEX 1: DOCUMENTS REVIEWED**

1. Assessment of North-South Corridor Borders and Migrant Host Communities in Zambia
2. Fact Sheet: UN Joint Programme on Gender-Based Violence
3. Fact Sheet: UN Joint Programme on Decent Jobs for Youth and Improved Food Security
4. Fact Sheet: UN Joint Programme on Protecting Migrant Children from Trafficking and Exploitation
5. Fact Sheet: UN Joint Programme on Accelerating Progress towards Maternal and Neonatal Morbidity and Mortality Reduction Initiative
6. Fifth National Development Programme: Final Evaluation of the Capacity Development Component
7. Final report for the Evaluation of the United Nations Joint Programme on Human Trafficking
8. Joint Assistance Strategy for Zambia, 2007 - 2010
9. Programme Document: UN Decent Jobs for Youth and Improved Food security through the Development of Sustainable Rural Enterprises
10. Project Document: UN Coordination and Support to Delivering as One in Zambia 2011 - 2015
11. UNRC/UNCT ANNUAL REPORT ZAMBIA, 2013
12. UNRC/UNCT ANNUAL REPORT ZAMBIA, 2012
13. UNICEF Country Programme 2011 – 2015: Mid-Year Review Report
14. Management and Accountability Framework for Delivering as One in Zambia
15. Zambia UNDAF 2011 - 2015
16. Zambia MDGs Progress Report, 2013
17. Zambia UNDAF Progress Report, 2013
18. Zambia UNDAF Progress Report, 2012
19. UNDAF Outcome Groups: End Year Reports
20. Sweeping the Bedroom: Children in Domestic Work in Zambia

## ANNEX 2: INDIVIDUALS INTERVIEWED

### **UN system entities**

1.	Mr. Cammelbeeck, S.	Representative	WFP
2.	Mr. Cheelo, M.	Coordination Officer	UNRCO
3.	Mr. Clemensson, M.	Country Director	ILO
4.	Mr. Damisoni, H.	Snr. Strategic Information Adviser	UNAIDS
5.	Dr. El-Bashir, H.	Representative	UNICEF
6.	Mr. Kakaire, J.	Co-chair, M&E Group	UNICEF
7.	Ms. Kalaluka, E.	Senior Programme Officer	WFP
8.	Ms. Lane, A.	Programme Officer	IOM
9.	Ms. Mukota, V.	M&E Specialist	UNRCO
10.	Ms. Mululuma, S.	Assistant Resident Representative	UNFPA
11.	Ms. Musonda, W.	Environment Advisor	UNDP
12.	Mr. Mutando, A.	Head, DRR Unit	WFP
13.	Ms. Nyambe, S. L.	National Coordinator, HIV/AIDS	UNODC
14.	Ms. Otieno, M.	Representative	UNFPA
15.	Ms. Patel, A.	Programme Assistant	ILO
16.	Ms. Rogan, J.	UNRC	UN in Zambia
17.	Ms. Saili, A.	National Coordinator	UNESCO
18.	Ms. Shrestha, R.	Communications Specialist	UNRCO
19.	Mr. Valdini, S.	Deputy Country Director	UNDP

### **National partners (Government and civil society)**

20.	Mr. Kakusa, M.	A/Director, Planning	MCDMCH
21.	Ms. Kalaba, B.	Assistant Programme Officer	Zambia Parliament
22.	Mr. Kamanga, T.	Principal Clerk	Zambia Parliament
23.	Mr. Kasaro, B.	Deputy Director, IT	Electoral Commission
24.	Mr. Lupunga, P.	Chief Economist (Multi-laterals)	Ministry of Finance
25.	Ms. Makashinyi, S.	Programme Coordinator	UN JP on GBV
26.	Mr. Mbumwae, V.	Director, Planning and Information	MGCD
27.	Mr. Mgemzulu, O.	Director, Planning and Information	Ministry of Education
28.	Ms. Mundale, P.	Director, Gender Rights	MGCD
29.	Dr. Mwaba, P.	Permanent Secretary	Ministry of Home Affairs
30.	Ms. Nyambe, C.	HIV and AIDS Coordinator	Ministry of Education
31.	Mr. Phiri, B.	Director, Research and Economy	ZCTU
32.	Mr. Chongo, J.	Head of Programmes	JCTR

### **Cooperating partners**

33.	Mr. McManus, P	Head, development Cooperation	Embassy of Ireland
34.	O'Reilly, C.	Development Attaché	Embassy of Ireland
35.	Ms. Rahm, A.	First Secretary	Embassy of Sweden

**ANNEX 3. PROGRESS ON CP OUTCOME INDICATORS**

CP Outcomes	Indicators	Progress
1.1. Government and partners scale up prevention services to enable the reduction on new infections by 50% by 2015	% of 15-49 year olds using condoms during the last sexual act with non-regular sexual partner – by age bands, sex and region <b>Baseline:</b> 48% <b>Target:</b> 80%	Updated data was not available
	% of 15-49 year olds who both correctly identify ways of preventing the sexual transmission of HIV and who reject major misconceptions about HIV transmission – by sex and region <b>Baseline:</b> 40%) <b>Target:</b> 98%	Updated data was not available
	Percent of female sex workers who received an HIV test in the last 12 months and who know the results <b>Baseline:</b> 71.3% <b>Target:</b> 98.5%	Updated data was not available
	% of men circumcised in Zambia – by age and region <b>Baseline:</b> 12.3% <b>Target:</b> 45%	Updated data was not available
1.2. Government and partners scale up integrated/comprehensive ART services for adults and children especially in under-serviced rural and peri-urban areas by 2015	% of total ART centers in rural areas <b>Baseline:</b> 19% <b>Target:</b> 35% accredited	Updated data was not available
	% of ART service delivery points integrated into PMTCT and other services <b>Baseline:</b> 64% <b>Target:</b> 100%	Updated data was not available
1.3. Government and its partners develop and implement social protection policies and strategies to mitigate the impact of HIV and AIDS among vulnerable groups by 2015	OVC aged 17 years and below whose households received free basic external support as % of projected number of AIDS-induced OVC - by region <b>Baseline:</b> 16-62% (range) <b>Target:</b> 50-80%	Updated data was not available
	% of schools that provided life-skills based HIV&AIDS education in the last academic year – by region <b>Baseline:</b> 60% <b>Target:</b> 80%	Updated data was not available
	% of PLHIV who are accessing social protection mechanisms – by sex <b>Baseline:</b> 10%	Updated data was not available

	<b>Target:</b> 50%	
1.4. Government and partners coordinate a harmonised and sustainable multi-sector HIV response by 2015	% of domestic funds available to support the national response <b>Baseline:</b> 14% <b>Target:</b> 30%	Updated data was not available

CP Outcomes	Indicators	Progress
	% increase in the number of targeted households with an adequate food consumption score <b>Baseline:</b> Tbd <b>Target:</b> Tbd	Updated data was not available
2.1. Government and partners enable vulnerable populations to be food secure by 2015	% of households with a dietary diversity score higher than 7 <b>Baseline:</b> 68% (Total 2006) 79.2%/55.6% (Rural/Urban) <b>Target:</b> 100%	Updated data was not available
	Proportion of population below minimum level of dietary energy consumption. <b>Baseline:</b> 51% (2006) <b>Target:</b> 29%	Updated data was not available
2.2. Government and partners provide targeted groups with opportunities for gainful and decent employment by 2015	Employment to population ratio <b>Baseline:</b> 77.8% (Total) 80.8% - male 74.8% - female <b>Target:</b> 90% (Total) {Male/female ratio: 1}	Updated data was not available
	Working poor <b>Baseline:</b> 3,618,000 <b>Target:</b> 500,000	Updated data was not available
	Informal sector employment <b>Baseline:</b> 90% <b>Target:</b> 30%	Updated data was not available

CP Outcomes	Indicators	Progress
	Proportion of births attended by skilled health personnel <b>Baseline:</b> 47% (Total 2007) <b>Target:</b> 80%	Updated data was not available

3.1. Government and partners improve equitable access of vulnerable groups to quality health, nutrition, water and sanitation services by 2015	Percentage of children age 12-23 months who are immunised against measles <b>Baseline:</b> 69% (Total 2007) <b>Target:</b> 95%	Updated data was not available
	Proportion of under-five children sleeping under insecticide treated nets <b>Baseline:</b> 41% (2008) <b>Target:</b> 80%	Updated data was not available
	Unmet need for family planning among girls 15-19 years <b>Baseline:</b> 7 (Total 2007) <b>Target:</b> 2	Updated data was not available
	Proportion of population with sustainable access to an improved water source <b>Baseline:</b> 60% (Total 2010) 87%/46% (Rural/Urban) <b>Target:</b> 75%	Updated data was not available
	Proportion of population with access to improved sanitation <b>Baseline:</b> 49% (Total 2010) 43%/59% (Rural/Urban) <b>Target:</b> 73%	Updated data was not available
3.2. Government and partners provide boys and girls with increased access to free and inclusive quality education by 2015	Net intake ratio <b>Baseline:</b> 58% (Total 2008) <b>Target:</b> 70%	Updated data was not available
	Completion rates (grade 7) <b>Baseline:</b> 94%(Total 2008) <b>Target:</b> 100%	Updated data was not available
	Completion rates (grade 9) <b>Baseline:</b> 49%(Total 2008) <b>Target:</b> 70%	Updated data was not available
	Learning achievement of grade 5 Baseline (2008): 36 (English) 39 (Maths) 40 (Life skills) Target: 40 (English) 50 ( Maths) 70 (Life skills)	Updated data was not available
3.3. Government-led social protection system protects vulnerable groups and families from human rights	Comprehensive cross-sector social protection policy adopted and implemented targeting the most vulnerable groups by 2015 <b>Baseline:</b> No policy <b>Target:</b> Policy in place	2014: National Social Protection Policy and Implementation Plan approved by Cabinet
	Coping strategy index for non-beneficiaries <b>Baseline:</b> 51	Updated data was not available

abuses and extreme poverty by 2015	<b>Target:</b> 25	
	Incidence of child labour <b>Baseline:</b> 895,000 <b>Target:</b> Tbd	Updated data was not available
	Proportion of OVC with basic needs met <b>Baseline:</b> 49% (Total 2009) <b>Target:</b> Tbd	Updated data was not available

CP Outcomes	Indicators	Progress/Achievements
4.1. Disaster Management and Mitigation Unit (DMMU) has a fully functional national disaster management and early warning system to prevent, alert and respond to disasters by 2015	% of disasters with timely responses <b>Baseline:</b> Tbd <b>Target:</b> Tbd	<ul style="list-style-type: none"> <li>Final Impact Assessment Report produced and recovery activities designed and implemented.</li> <li>Training for 96 emergency simulation exercise facilitators conducted for six (6) provinces (Central, Eastern, Lusaka, Southern, North Western and Western)</li> </ul>
4.2. Government promotes adaptation and provide mitigation measures to protect livelihoods from climate change by 2015	Average yield of maize among small-scale farmers <b>Baseline:</b> 1,500 kg/ha <b>Target:</b> Small-scale farmers yield greater or equal to 1,500 kg/ha	Small scale farmers who have been supported are practicing conservation farming and their production has increased from 1,500kg/ha to 3,000kg/ha.
4.3. Government implements policies and legal frameworks for sustainable community based natural resources management by 2015	% reduction in annual average deforestation rate <b>Baseline:</b> 0.91% (444,800 ha/year; 1980-2000) <b>Target:</b> 0.8% (393,846 ha/per year)	No progress reported. Results from the forest inventory will be available in 2015.
	Forest inventory, monitoring system for detecting forest cover changes/rate of deforestation established <b>Baseline:</b> Monitoring system exists but does not capture REDD standards and last forest inventory was done in early 1970 <b>Target:</b> Monitoring system supporting REDD established and functioning by 2013 and	The forest monitoring system incorporating REDD requirement is in place and functioning in all provinces. UN support included: <ul style="list-style-type: none"> <li>Institutional strengthening through provision of GIS in all provinces and linking them to HQ.</li> <li>Training of trainers for system operation; data capture and analysis; and dissemination and application of information for decision-making in forest management.</li> </ul>

	National forest inventory completed by 2015	<ul style="list-style-type: none"> <li>- Forest inventory has been conducted, but results will be available in 2015.</li> <li>- Baseline for national emission level for REDD has been established.</li> </ul>
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CP Outcomes	Indicators	Progress
5.1. Individuals have knowledge and ability to claim human rights for effective participation in development and democratic processes by 2015	% of voters as a proportion of eligible voters in general elections <b>Baseline:</b> 50.5% (2006) <b>Target:</b> 60% (2011)	54.53% in 2011 elections. This represents progress on the indicators, but the target was not achieved.
	% increase in reported human rights violations that have been investigated <b>Baseline:</b> 71% (Total 2009) <b>Target:</b> 75%	Updated data was not available
	% of citizens participating in local and national decision making fora <b>Baseline:</b> 39.4% (2008) <b>Target:</b> 75%	Updated data was not available
5.2. Targeted government institutions reduce legal and cultural practices obstructing the realisation of gender equality by 2015	% of seats held by women in national parliament <b>Baseline:</b> 14% (2006) <b>Target:</b> 30%	10% (15 out of 150 seats) The target was not achieved, instead the proportion of seats held by women declined.
	Gender empowerment measure <b>Baseline:</b> 0.42 <b>Target:</b> Tbd (when GIDD has established a target)	0.617 (This is the Gender Inequality Index. The Gender Empowerment Measure was discontinued in 2014 Human Development Report)

**ANNEX 4. UNDAF FUNDING AND DELIVERY DATA**

UNDAF Outcome	2011 Budget	Funded	Expenditure
UNDAF Outcome 1	8,633,917.29	5,313,417.29	943,571.45
UNDAF Outcome 2	4,747,710.32	4,697,710.32	1,927,516.32
UNDAF Outcome 3	21,103,000.00	14,029,894.00	9,543,393.00
UNDAF Outcome 4	11,773,799.70	10,105,857.90	2,613,935.00
UNDAF Outcome 5	10,091,139.20	9,389,479.20	1,421,516.90
<b>Total (2011)</b>	<b>56,349,566.51</b>	<b>43,536,358.71</b>	<b>16,449,932.67</b>

UNDAF Outcome	2012 Budget	Funded	Expenditure
UNDAF Outcome 1	8,877,200.00	7,505,700.00	3,502,328.00
UNDAF Outcome 2	11,379,591.00	11,154,591.61	6,295,155.61
UNDAF Outcome 3	55,167,387.00	47,666,540.00	26,844,769.00
UNDAF Outcome 4	9,591,524.00	7,869,472.55	2,100,857.89
UNDAF Outcome 5	1,870,000.00	1,891,413.00	978,366.00
<b>Total (2012)</b>	<b>86,885,702.00</b>	<b>76,087,717.16</b>	<b>39,721,476.50</b>

UNDAF Outcome	2013 Budget	Funded	Expenditure
UNDAF Outcome 1	17,051,741	14,516,741	1,942,367
UNDAF Outcome 2	1,736,213	1,440,313	Unavailable
UNDAF Outcome 3	23,982,612	12,281,612	3,728,640
UNDAF Outcome 4	5,686,936.00	5,453,936.00	2,266,310
UNDAF Outcome 5	13,009,455.00	9,217,955.00	1,124,613
<b>Total (2013)</b>	<b>61,466,957.00</b>	<b>42,910,557.00</b>	<b>9,061,930</b>

## **ANNEX 5. EVALUATION TERMS OF REFERENCE**

### **BACKGROUND AND RATIONALE**

The Zambia UN Development Assistance Framework (UNDAF) 2011-2015 sets out the UN system's role and collective contribution to the achievement of the Sixth National Development Plan (SNDP), 2011-2015. The UNDAF provides a strategic programme framework and platform for bringing the mandates, technical expertise and resources of UN agencies together, and promotes UN system wide alignment with national development priorities, plans and programmes. The UNDAF establishes operational links to agency-specific programme documents and results in those sectors/themes.

In June 2011, the Government of Republic of Zambia (GRZ) formally requested that the UN system in Zambia commences as a Delivering as One 'self-starter' under the UNDAF 2011-2015, hence expecting the UN system to collectively support the country's national priorities in a more coherent, effective and coordinated manner. The Delivering as One (DaO) initiative builds on the existing reform agenda set by UN member states, which asks the UN system to accelerate efforts to increase coherence and effectiveness of its operations in the field in order to achieve better development results. Since the Delivering as One pilot initiative was launched in eight countries in 2007, another 24 countries have voluntarily adopted the DaO approach. Working together in this way, the UN system intends to capitalize on the capacities, mandates and comparative advantages of the different agencies, provide joined-up support, avoid duplication, and reduce transaction costs - and ultimately have an increased impact on national development results. This is also what we strive to achieve through the DaO process underway in Zambia.

The five broad outcome areas of the Zambia UNDAF 2011-2015 cover the following priority areas: (1) HIV/AIDS; (2) Sustainable Livelihoods and Food Security; (3) Human Development; (4) Climate Change, Environment and Disaster Risk Reduction; and (5) Gender Equality and Good Governance. Eight strategic joint UN programmes have been developed to support UNDAF results achievement and implementation of the Millennium Development Goals (MDGs) in areas of maternal and child health, HIV&AIDS, gender-based violence, youth employment, green jobs, human trafficking, sustainable forest management and climate change.

As a result of the change of Government administration September of 2011, from the Movement of multiparty Democracy (MMD) to the Patriotic Front (PF) Government, there arose a need to refocus Government developmental priorities to be in context with the new administration's policies and manifesto. This meant that the main instrument for implementation of Government programmes, the medium term plan, in this case, the Sixth National Development Plan (2011 – 2015) which was prepared under the auspices of the previous Government had to be revised. The revised sixth National Development Plan (R-SNDP) 2013 – 2016 is, therefore, a medium term plan that is primarily aimed at refocusing Government priorities and policies to be in line with the Patriotic Front development paradigm. The draft R-SNDP was developed mid-2013 and has not been finalised to date.

The draft R-SNDP is primarily an investment plan which focuses on capital investment areas with a bias to rural development and job creation. This approach, therefore, by implication identifies the main growth areas or sectors as Skills Development, Science and Technology, Agriculture, Livestock and Fisheries, Energy, and infrastructural development particularly transport infrastructure while enhancing human development related sectors of Water and Sanitation, Education and Health.

Early 2014, the UNCT agreed not to extend the current UNDAF to 2016 to align with the revised national development planning cycle. However, efforts will be made to ensure that the UNDAF is aligned to the national priorities. As an inception of the process to prepare the next UNDAF, an independent evaluation will be conducted in mid-2014. The evaluation will determine the extent to which the UNDAF results were achieved and made a worthwhile contribution to national development priorities. The evaluation will also assess the relevance of the current UNDAF in the context of R-SNDP priorities, hence the findings and lessons-learned will inform: a) the comprehensive UNDAF Review supporting the current UNDAF's realignment with the R-SNDP; and b) the preparation of the next UNDAF, which may cover the period of 2016-2021/22, by informing how a more effective use of UNCT resources and comparative advantages could be made in the future.

The UNCT Zambia, in close partnership with the Government and partners is to undertake an UNDAF Evaluation which is mandatory in the penultimate year of the UNDAF cycle and should serve as a major input for the planning process of the next UNDAF cycle. The UNDAF Evaluation will use standard OECD / DAC criteria (relevance, effectiveness, efficiency, impact and sustainability of results) as well as the key issues of design, focus and comparative advantage of the UN system, as the basis for its objectives and key questions, in order to ensure the veracity of the evaluation.

The UN Resident Coordinator and the UN Country Team and the Ministry of Finance oversee the implementation of the UNDAF, which is driven by five thematic inter-agency groups, supported by the UN M&E Working Group. The Resident Coordinator's Office (RCO) supports the overall coordination of UNDAF planning and review processes. The UN team engages closely with government counterparts to ensure alignment with national development priorities.

#### **PURPOSE, OBJECTIVES AND SCOPE**

The overall purposes of the UNDAF and DaO evaluation are:

- To support greater learning about what works, what doesn't and why in the context of an UNDAF. The evaluation will provide important information for strengthening programming and results at the country level, specifically informing the planning and decision-making for the next UNDAF programme cycle and for improving United Nations coordination at the country level.
- To support greater accountability of the UNCT to UNDAF stakeholders. By objectively verifying results achieved within the framework of the UNDAF and assessing the effectiveness of the strategies and interventions used, the evaluation will enable the various stakeholders in the UNDAF process, including national counterparts and donors, to hold the UNCT and other parties accountable for fulfilling their roles and commitments.
- To assess progress made against the strategic intent of Delivering as One, record achievements, identify areas for improvement and remaining challenges, and distil lessons to inform decision-making processes at national, inter-governmental and headquarters levels. The strategic intent of the "One UN Initiative" refers to the strategic goals and intentions as indicated in the UN Coordination and Support to Delivering as One in Zambia (November 2011) and other key reference documents.

The objectives of the evaluation are:

- to assess the role, relevance and effectiveness of the UNDAF : (i) in relation to the issues, their underlying causes, and challenges identified by the Constraints Analysis at the beginning of

the current programme cycle and in the context of national policies and strategies; (ii) as a reflection of the internationally agreed goals, particularly those in the Millennium Declaration and relevant human rights guidance, and international norms and standards guiding the work of agencies of the UN system and adopted by UN member states; and (iii) in terms of progress towards agreed UNDAF outcomes:

- to assess the design and focus of the UNDAF i.e. the quality of the formulation of results at different levels i.e. the results chain
- to assess the efficiency of the UNDAF in terms of progress towards achievement of UNDAF outcomes and DaO as a mechanism to minimize transaction costs of UN support for the government and for the UN agencies
- to assess, to the extent possible, the impact of UNDAF on the lives of the poor, vulnerable and marginalized persons ☐ to analyse to what extent results achieved and strategies used in the frame of the UNDAF are sustainable: i) as a contribution to national development, and (ii) in terms of the added value of UNDAF to cooperation among individual UN agencies
- to assess to what extent the “One UN Initiative” in Zambia is on track to achieve the expected results against the strategic intent. Assess specifically the key mechanisms, processes and structures set up under the “One UN Initiative” to implement change and improve effectiveness

#### **EVALUATION SCOPE AND EVALUATION QUESTIONS**

The scope covered by the evaluation includes examining UNDAF programming principles (human rights- based approach, gender equality, environmental sustainability, results-based management, and capacity development), overall strategies and outcome/output specific strategies included in the UNDAF itself. The UNDAF will be evaluated against the strategic intent laid out in the UNDAF document and specifically its contribution to the national development results included in the UNDAF results framework.

- a. To assess the relevance of the UNDAF

##### ***Evaluation Questions***

- Has the UNDAF document been used by UN agencies and Government institutions in planning their activities, setting goals, and in cooperation?
- Do the UNDAF outcomes address key issues, their underlying causes, and challenges identified by the Constraints Analysis? Was the UNDAF results matrix sufficiently flexible and relevant to respond to new issues and their causes as well as challenges that arose during the UNDAF cycle?
- Have the UNDAF outcomes been relevant in terms of internationally agreed goals and commitments, norms and standards guiding the work of agencies of the UN system (including the Millennium Development Goals, all international human rights treaties binding on Zambia, and other relevant human rights standards and evaluations)
- To what extent did the UNDAF succeed in strengthening national capacities (including national execution), building partnerships, the realization of human rights and promoting gender equity and equality?

- b. To assess the effectiveness of the UNDAF:

##### ***Evaluation Questions***

- What progress has been made towards the realization of UNDAF outcomes as a contribution to the achievement of nationalized MDGs and in terms of indicators as reflected in the UNDAF M&E Plan?

- Which are the main factors that contributed positively or negatively to the progresses towards the UNDAF outcomes and National Development Goals?

c. To assess the efficiency of the UNDAF in terms of progress towards achievement of UNDAF outcomes:

***Evaluation Questions***

- Were UNDAF outputs deliveries during the period done to the maximum extent of available resources?

- To what extent and in what ways did UN support promote national execution of programmes and / or the use of national expertise and technologies?

d. To assess, to the extent possible, the impact of UNDAF on the lives of the people of Zambia:

***Evaluation Questions***

- Is there any major change in UNDAF indicators that can reasonably be attributed to or be associated with UNDAF, notably in the realization of MDGs, national development goals and the national implementation of internationally agreed commitments and UN Conventions and Treaties?

e. To analyse to what extent results achieved and strategies used in the frame of the UNDAF are sustainable: i) as a contribution to national development, and (ii) in terms of the added value of UNDAF to cooperation among individual UN agencies:

***Evaluation Questions***

- To what degree did the UNDAF contribute to the UN role in establishing and enhancing the critical factors for progress towards national development goals?
- How flexible and appropriate was the UNDAF in adapting to the major development changes in the country?
- To what extent and in what way have national capacities been enhanced in government, civil society and NGOs?
- Have complementarities, collaboration and /or synergies fostered by UNDAF contributed to greater sustainability of results of Donors intervention in the country?
- To what extent has institution-building and institution-strengthening taken place on the 5 programming principles (human rights, gender equality terms, results based management, environmental sustainability and capacity development)?

e. To assess the design and focus of the UNDAF i.e. the quality of the formulation of results at different levels i.e. the results chain:

***Evaluation Questions***

- To what extent is the current UNDAF designed as a results-oriented, coherent and focused framework? Are expected outcomes realistic given the UNDAF timeframe and resources?
- Assess the extent and the ways the risks and assumptions were addressed by UNDAF design and later during the implementation of programmes and projects?

- Is the distribution of roles and responsibilities among the different UNDAF partners well defined, facilitated in the achievements of results and have the arrangements largely been respected in the course of implementation?
- Does the UNDAF help achieve the selected priorities defined by national development framework?
- Do the UNDAF and Country Programmes respond to the challenges of national capacity development and do they promote ownership of programmes by national partners?
- To what extent have human rights principles and standards been reflected or promoted in the UNDAF? To what extent and in what ways has a human rights approach been reflected as one possible method for integrating human rights concerns into the UNDAF?
- To what extent and in what ways the concepts of gender equity and equality were reflected in UNDAF (in terms of specific goals and targets set, sex disaggregated data and indicators etc.)
- How have human rights and gender equality considerations been mainstreamed throughout UNDAF implementation? Has the design been appropriate for a sustainable mainstreaming of human rights and gender equality considerations throughout all programming?
- What gaps exist in human rights and gender equality terms?

f. To assess the validity of the stated collective comparative advantage of the UN System in Zambia:

***Evaluation Questions***

- To what extent and in what way have the comparative advantages of the UN organizations been utilized in the national context specifically in relation to other Cooperating Partners active in the country (including universality, neutrality, voluntary and grant-nature of contributions, multilateralism, and the special mandates of UN agencies)?

g. To assess the effectiveness of the UNDAF, as a coordination and partnership framework:

***Evaluation Questions***

- To what extent and in what way has the UNDAF contributed to achieving better synergies among the programmes of UN agencies with an effect on the progress towards the National Development priorities? Has the UNDAF enhanced joint programming by agencies and /or resulted in specific joint programmes?
- Did the UNDAF promote effective partnerships and strategic alliances around the main National development goals and UNDAF outcomes areas (e.g. within Government, with national partners, International Financial Institutions and other external support agencies)? ☐ Have agency supported programmes been mutually reinforcing in helping to achieve UNDAF outcomes? Has the effectiveness or programme support by individual agencies been enhanced as a result of joint programming?

h. To assess the efficiency of the UNDAF as a mechanism to minimize transaction costs of UN support for the government and for the UN agencies:

***Evaluation Questions***

- To what extent and in what way has the UNDAF contributed to a reduction of transaction costs for the government and for each of the UN agencies? In what ways could transaction costs be further reduced?
- Were the results achieved at reasonably low/lowest possible cost?
- To what extent have the organisations harmonized procedures in order to reduce transaction cost and to enhance results?

- UN Coordination. Did UN coordination reduce transaction costs and increase the efficiency of UNDAF implementation? To what extent did the UNDAF create actual synergies among agencies and involve concerted efforts to optimise results and avoid duplication?
- Other factors. A number of country-specific factors that have affected the performance of the UNCT in the framework of the UNDAF will also be examined:
  - o Did the UNCT undertake appropriate risk analysis and take appropriate actions to ensure that results to which it contributed are not lost? To what extent are the benefits being, or are likely to be, maintained over time.
  - o How adequately did the UNCT respond to change (e.g. natural disaster, elections) in planning and during the implementation of the UNDAF?

### **MANAGEMENT AND ORGANISATION**

The UNDAF Evaluation will be commissioned and overseen by the UNCT and Ministry of Finance. Day-to-day evaluation management will be ensured through the RC Office. The UNDAF Evaluation will be undertaken by a team of one international consultant and one national consultant between August and September 2014 with an indicative time frame of 30 working days.

The lead consultant will have overall responsibility for producing the UNDAF Evaluation Report and for quality and timely submission of the same Report to the UN RC office and UNCT.

The main tasks of the UN M&E Working Group will be to guide the evaluation process at the design, implementation and reporting stages (including holding an initial evaluation planning meeting and a data analysis meeting with the consultants), as well as to regularly report back the progress to the UNCT. Day-to-day management will be ensured through the RC Office with the support of the UN M&E Working Group.

### **METHODOLOGY**

The UNDAF Evaluation will be coordinated between the Government of Republic of Zambia and UN Zambia. On the Government side, the process will be led by the Ministry of Finance and by the Resident Coordinator's Office from the UN side.

The UNDAF Evaluation will be completed in 30 working days.

The consultants will use the following methodology to evaluate the UNDAF:

- o Undertake a comprehensive desk review (synthesis and data analysis) of existing studies, surveys and evaluations conducted by UN agencies and their partners during the current UNDAF cycle as well as documents from the government on national policies and strategies;
  - o Draft an inception report, articulating the consultants' understanding of the ToRs and assignment workplan containing the tasks to be performed and methodological approach, including data collection tools and time schedules;
  - o Conduct interviews with Heads of UN Agencies, selected UN programme staff, UNDAF Outcome Groups, UN inter-agency groups and selected senior Government officials ;
  - o Make field visits to selected programmes where required;
  - o Prepare a report, reflecting the objectives and scope of the Evaluation as detailed in section 3;
  - o The consultant will participate in a series of meetings with the RC and UNCT:
- An initial briefing meeting;

- A 'data analysis meeting' in the middle of the consultancy period to review the consultant's progress and provide inputs and feedback to facilitate the consultant's preparation of the first draft UNDAF Evaluation Report; and
- A debriefing session to review the draft evaluation report, validate the consultancy results and receive any final comments/ recommendations on the report by UNCT, PMT and UN M&E WG

Technical support and quality assurance will be provided by the UNDOCO Regional Office for East and Southern Africa (ESAR).

The UNCT together with the UN RC Office will conduct follow-up activities of the UNDAF Evaluation as follows:

1. Organization of a stakeholders' meeting/workshop to validate and refine findings, conclusion and recommendations; discuss dissemination and communication strategies and plan for implementation of evaluation recommendations. The follow-up plan should determine a process for ensuring that lessons learned are incorporated into the next UNDAF programming cycle.
2. Dissemination of the evaluation findings and recommendations
3. Implementation of a follow-up plan, in particular focusing on the design of a new UNDAF cycle.

## **STRUCTURE OF THE UNDAF EVALUATION REPORT**

The report should include the following sections:

Executive Summary (max 2 pages)

1. Introduction (Context and national priorities, goals, and methodology, brief description of the results)
2. A Reflection on the main findings which considers: (a) the results of the desk review of existing documentation available, and (b) the interviews conducted with Heads of UN Agencies, selected senior programme staff, and selected senior Government officials 2.1. Results by UNDAF Outcome (five UNDAF outcomes)
3. Partnership and collaboration strategy among UNCT and other donors; and evaluation of the efficiency and effectiveness of UNDAF as a partnership framework
4. Major Challenges
5. UNDAF Financial Management
6. Assessment of M&E process
7. Conclusion
8. Recommendations and follow-up plan
  - 8.1. Current UNDAF
  - 8.2. Next UNDAF
9. Annexes might include the following:
  - Assessment of the progress by outcomes in relevance to the nationally defined goals.

- Photos
- Stories worth telling (Most Significant changes [MSC])
- List of documents used in the review and persons met.

## **REQUIREMENTS FOR EXPERIENCE AND QUALIFICATIONS**

### ***International consultant***

#### **Competencies**

- Excellent knowledge of the UN system and UN joint country programming processes (CCA/UNDAF);
- Good knowledge and experience with the national development frameworks, especially Millennium Development Goals (MDGs), PRSP, SWAP, key legislation, etc.;
- Specialised technical knowledge, including in data collection and analytical skills, mainstreaming the HRBA to programming and gender equality and women's empowerment considerations;
- Excellent communication, interpersonal skills, teamwork and adept at working with people of diverse cultural and social backgrounds;
- An understanding of and ability to abide by the core values of the United Nations.

#### **Education**

- Master's degree or equivalent in Economics, Development Studies, Social Studies, International Relations or other related field.

#### **Experience**

- At least 10 years of relevant experience and proven expertise with CCA/UNDAF processes, evaluations and reviews, including strong understanding of UN's relevant Programming Guidelines on Gender Equality, HRBA, Capacity Development, Environmental Sustainability and RBM; ☑ Excellent report writing skills, analytical skills as well as good computer skills;
- Previous experience in UNDAF or related evaluation process and practical experience in the Southern African region and/or knowledge of the development issue in low-income countries is an asset;
- Experience in working with teams and team processes; ☑ Proven track record in evaluation and review writing.

#### **Language**

- Proven excellent command in written and spoken English.