

UNITED NATIONS DEVELOPMENT ASSISTANCE FRAMEWORK FOR THE REPUBLIC OF ZAMBIA

2011-2015



Republic of Zambia



UNITED NATIONS
Z A M B I A

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United Nations Development Assistance Framework for the Republic of Zambia

2011-2015

FOREWORD

The United Nations Development Assistance Framework (UNDAF, 2011-2015) signifies the UN systems role and collective contribution to the Sixth National Development Plan of Zambia, 2011-2015. It recognises the advances made by the country, in economic growth and in some areas of human development, and focuses across the themes and sector where human development challenges remain, and where there are recognised lags or a possible reversal of gains made on the MDGs. Supporting national and local efforts to address the challenge of growth not accelerating poverty reduction and creating decent jobs and adequate social protection in the rural areas, is one such challenge that cuts across all of the outcome areas. Similarly, existing gender disparities and inequalities whether in the context of the HIV/AIDS epidemic, food security, education and nutrition. The adverse impact of climate change, which will affect development gains across the country and across sectors, is another priority area for collaborative action, and is addressed here.

The UN systems value added contribution also comes through its capacity development support to institutional transformations in the country, so national and local institutions can adjust and adapt to the evolving local, national, regional and global development trends impacting Zambia today. The country recognises the need for effective and accountable public sector management, inclusive stakeholder participation in planning and implementation of development programmes, increasing the space for private sector and community engagement to enhance productivity and competitiveness in the economy, and to invest in stable and fair governance processes so human rights and social justice is protected and achieved for all. These issues underpin the UN's vision, role and partnerships in Zambia.



Hon. Situmbeko Musokotwane, MP
Minister of Finance and National Planning

It is against this background that the UN System in Zambia embarked upon the formulation of this UNDAF, as the context for coordinating and collaborating on its development assistance activities in Zambia during the 2011-2015 programming cycle. It has been developed in a broadly participatory manner, involving consultations with government, cooperating partner, civil society and other stakeholder institutions, and is guided by the priorities of the Sixth National Development Plan 2011-2015. It has also benefited from consultations with, as well as insights from, the Quality Support Assurance group of the UN Development Group's Regional Directors' Team (RDT).

Finally, it also underpins the UN Delivering as One in Zambia. This UNDAF, and all the Country Programmes that come under it, are designed in a collaborative manner to support a One UN Team that works together for the improvement of human development and achievement of the MDGs in the country. In this way, we look to the shared capacities of the UN extending the impact of our contributions in the Outcome Areas defined here. The new UNDAF underpins a more teamed up, effective and impactful UN system contribution closely aligned to the development priorities of the country.

We would like to express our gratitude to the many colleagues in Government, the UN System, other development partner agencies, and civil society organizations, whose contributions and support have been critical to the formulation of this UNDAF. We extend special appreciation and thanks to the UN Common Country Programme Core Team (CCPCT), for their painstaking and untiring efforts to bring this UNDAF drafting process to a successful completion. We look to this continued spirit of collaboration and partnership in the implementation of this UNDAF.



Kanni Wignaraja
**United Nations Resident Coordinator
and UNDP Resident Representative**



DECLARATION OF COMMITMENT

We the United Nations System in Zambia hereby confirm our commitment to supporting the Government and people of Zambia in their efforts to realize the long-term national **Vision 2030**, which reflects the collective understanding, aspirations and determination of the Zambian people to be a “**prosperous middle income country**” by 2030. We note that the laudable goals of Zambia’s Vision 2030 are being pursued through a number of medium-term national planning frameworks, including the current Fifth National Development Plan (FNDP) 2006-2010 which will be followed by the Sixth National Development Plan (SNDP) (2011-2015), both of which are consistent with the Millennium Declaration (MD) and the Millennium Development Goals (MDGs).

This **United Nations Development Assistance Framework** (UNDAF), which will guide the development assistance activities of the UN System in Zambia during the (2011-2015) programming cycle, is the translation of the above commitment by the United Nations Country

Team (UNCT), under which we pledge to focus the UN System’s resources on addressing Zambia’s priority challenges, through the pursuit of five SNDP-consistent, MDG-based, medium-term development outcomes clustered around the challenges of: high HIV prevalence; persistent poverty and food insecurity; aggravated by, increasing environmental degradation and climate change; declining human development trends (especially in health and education); and, weakened governance systems (which militate against a more gender-sensitive, rights-based, participatory and accountable public service delivery).

We are committed to ensuring that the attainment of the results defined in this UNDAF will be pursued through joint and complementary programming, and, more particularly, by continuing to strengthen capacities related to identified national systems and processes, in order to facilitate progress towards the MDGs and the achievement of the goals of the SNDP.



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behalf of NRAs)



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LIST OF ACRONYMS

ACHPR	African Commission on Human and Peoples' Rights
ADB	African Development Bank
ADRA	Adventist Development and Relief Agency
AHA	Africa Humanitarian Action
AIDS	Acquired Immune Deficiency Syndrome
AMICAAL	Alliance of Mayors and Municipal Leaders on HIV/AIDS in Africa
ART	Anti Retroviral Therapy
BBWJC	Broad Based Wealth and Job Creation
BDS	Business Development Services
CAADP	Comprehensive Africa Agriculture Development Programme
CBD	Convention on Bio Diversity
CBOs	Community Based Organisations
CCA	Common Country Assessment
CCD	Convention to Combat Desertification
CCFU	Conservation Farming Unit
CDM	Clean Development Mechanism
CEDAW	Convention for the Elimination of all Forms of Discrimination Against Women
CEEC	Citizens Economic Empowerment Commission
CHAZ	Churches and Health Association of Zambia
CHEP	Copperbelt Health Education Project
CIDA	Canadian International Development Agency
CIDRZ	Center for Infectious Diseases and Research in Zambia
CITES	Convention on International Trade in Endangered Species
CPD	Country Programme Document
CPs	Cooperating Partners
CRB	Credit Reference Bureau
CRC	Convention on the Rights of the Child
CRS	Catholic Relief Services
CSO	Central Statistical Office
CSOs	Civil Society Organisations
DBZ	Development Bank of Zambia
DDCC	District Development Coordinating Committee
DfID	Department for International Development
DMMU	Disaster Management and Mitigation Unit
DNRPC	Department of National Registration, Passports and Citizenship
DRR	Disaster Risk Reduction
DWCP	Decent Work Country Programme
ECOSOC	Economic and Social Council of the United Nations
ECZ	Environmental Council of Zambia
EMIS	Education Management Information Systems
ESB	Education Statistics Bulletin
EU	The European Union
FAO	Food and Agriculture Organization
FBOs	Faith Based Organisations

FFTUZ	Federation of Free Trade Unions in Zambia
FNDP	Fifth National Development Plan
FRA	Food Reserve Agency
GBV	Gender Based Violence
GDP	Gross Domestic Product
GFTAM	Global Fund for Tuberculosis, Aids and Malaria
GIDD	Gender in Development Division
GRZ	Government of the Republic of Zambia
GTZ	Germany Technical Assistance to Zambia
HACT	Harmonised Approach to Cash Transfers
HDR	Human Development Report
HIV	Human Immunodeficiency Virus
HLPD	High Level Policy Dialogue
HMIS	Health Management Information Systems
HoC	Head of Cooperation
HRC	Human Rights Commission
IAEA	International Atomic Energy Agency
ICCPR	International Convention on Civil and Political Rights
ICESCR	International Convention on Economic, Social and Cultural Rights
IFAD	International Fund for Agriculture Development
ILO	International Labour Organisation
IMF	International Monetary Fund
IOM	International Organization for Migration
ITC	International Trade Centre
IUCN	International Union for the Conservation of Nature
JASZ	Joint Assistance Strategy of Zambia
JICA	Japan International Cooperation Agency
LCMS	Living Conditions Monitoring Survey
LGAZ	Local Government Association of Zambia
LICs	Low Income Countries
M&E	Monitoring and Evaluation
MACO	Ministry of Agriculture and Cooperatives
MCA-Z	Millennium Challenge Account – Zambia
MCDSS	Ministry of Community Development and Social Services
MCT	Ministry of Communications and Transport
MCTI	Ministry of Commerce, Trade and Industry
MD/MDGs	Millennium Declaration/Millennium Development Goals
MEWD	Ministry of Energy and Water Development
MGWD	Ministry of Gender and Women Development
MLGH	Ministry of Local Government and Housing
MLSS	Ministry of Labour and Social Security
MoE	Ministry of Education
MoFNP	Ministry of Finance and National Planning

MoH	Ministry of Health
MoJ	Ministry of Justice
MoL	Ministry of Lands
MoU	Memorandum of Understanding
MSMEs	Micro, Small and Medium Enterprises
MSTVT	Ministry of Science, Technology and Vocational Training
MSYCD	Ministry of Sport, Youth and Child Development
MTEF	Medium Term Expenditure Framework
MTENR	Ministry of Tourism, Environment and Natural Resources
MTR	Mid Term Review
NAC	National AIDS Council
NAIS	National Agriculture Information Systems
NAPA	National Adaptation Plan of Action
NASF	National Aids Strategic Framework
NBER	National Bureau of Economic Research
NEX	National Execution
NFNC	National Food and Nutrition Council
NGO	Non Governmental Organisation
NGOCC	Non Governmental Organisations Coordinating Committee
NRA	Non Resident Agency
NYDC	National Youth Development Centre
NZP+	Network of Zambian People living with AIDS
ODA	Official Development Assistance
OHCHR	Office for the High Commissioner of Human Rights
OVC	Orphans and Vulnerable Children
PAM	Programme Against Malnutrition
PCI	Project Concern International
PDCC	Provincial Development Coordinating Committee
PLHIV	People Living with HIV
PMTCT	Prevention of Mother to Child Transmission
PRBS	Poverty Reduction Budget Support
RBM	Results Based Management
RC	Resident Coordinator
REDD	Reducing Emissions from Deforestation and Forest Degradation
SADC	Southern Africa Development Community
SAG	Sector Advisory Group
SBS	Sexual Behaviour Survey
SFH	Society for Family Health
SNDP	Sixth National Development Plan
SSA	Sub Saharan Africa
SWAAZ	Society for Women and AIDS in Zambia
TCPR	Triennial Comprehensive Policy Review
THAPAZ	Traditional Healers and Health Practitioners Association of Zambia
TI	Transparency International
UK	United Kingdom
UN	United Nations
UNAIDS	Joint United Nations Programme 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
UNECA	United Nations Economic Commission for Africa
UNEP	United Nations Environment Programme
UNESCO	United Nations Education, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UNGASS	United Nations General Assembly Special Session on HIV and AIDS
UNHABITAT	United Nations Human Settlement Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNJT	United Nations Joint Team
UNODC	United Nations Office for Drugs and Crime
UN RCO	UN Resident Coordinator's Office
UNZA	University of Zambia
USAID	United States Agency for International Development
USG	United States Government
WCS	Wildlife Conservation Society
WFP	World Food Programme
WHO	World Health Organization
WILDAF	Women in Law and Development in Africa
WLSA	Women in Law of Southern Africa
WWF	Wild Wide Fund for Nature
YWCA	Young Women's Christian Association
ZAFOD	Zambia Federation of the Disabled
ZAMACE	Zambia Agriculture Commodity Exchange
ZAPD	Zambia Association of Persons with Disability
ZARAN	Zambia Research Aids Network
ZATAC	Zambia Agribusiness Technical Assistance Centre
ZBC	Zambia Business Coalition
ZBCA	Zambia Business Coalition on AIDS
ZCSMBA	Zambia Chamber of Small and Medium Business Associations
ZCTU	Zambia Congress of Trade Unions
ZDA	Zambia Development Agency
ZDHS	Zambia Demographic and Health Survey
ZEPRIS	Zambia Emergency Preparedness and Response Information System
ZESCO	Zambia Electricity Supply Cooperation
ZFE	Zambia Federation of Employers
ZHECT	Zambia Health Education Communication
ZINGO	Zambia Interfaith Non Governmental Organisations
ZNAN	Zambia National Aids Network
ZNFU	Zambia National Farmers Union
ZOCS	Zambia Open Community Schools
ZRDF	Zambia Relief Development Foundation
ZVAC	Zambia Vulnerability Assessment Committee



EXECUTIVE SUMMARY

Background

The formulation of a **United Nations Development Assistance Framework (UNDAF)** forms part of the core ingredients of the UN Common Country Programming Process (CCPP). The latter is one of the mechanisms for translating the UN Secretary-General's Reform Programme at the country level. The UN Reform aims at greater harmonization, coherence and coordination of UN System activities in support of the national development aspirations of programme countries. In Zambia, the overarching long-term context of national aspiration is defined by the **Zambia National Long-term Vision 2030**: "to become a prosperous middle income country by the year 2030".

The long-term National Vision 2030 is pursued through a number of key medium-term national planning frameworks. These include successive medium-term National Development Plans, the sixth of which was prepared concurrently with the drafting of this UNDAF. Other medium-term national frameworks that support the National Long-term Vision 2030 and the **Sixth National Development Plan (SNDP)** include: the **Medium Term Expenditure Framework (MTEF)** (2010-2012); the **National AIDS Strategic Framework** (2006-2010) and its successor Framework (2011-2015); the **National Medium Term Priority Framework** (2009-2013) for Agriculture and Natural Resources; the **Broad Based Wealth and Job Creation Programme**; the **Private Sector Development Reform Programme II** (2009-2013); and, the **National Health Strategic Plan** (2011-2015).

As part of the SNDP design process, in 2009, the Ministry of Finance and National Planning (MoFNP), in collaboration with the Millennium Challenge Account-Zambia (MCA-Z), undertook a **Constraints Analysis to Inclusive Growth in Zambia** (informed by a 2008 World Bank study "*What are the Constraints to Inclusive Growth in Zambia?*"). While the draft SNDP and the Constraints Analysis to Inclusive Growth in Zambia have provided core guidance to the priority setting reflected in this UNDAF, the above-mentioned national frameworks and other studies and policies have also been consulted in the process.

Overview of Country Context for the SNDP

The Mid-Term Review of the Fifth National Development Plan, as well as reviews and analyses of Zambia's development context, carried out as part of the SNDP and UNDAF development processes have identified multiple challenges, largely caused by the nexus of: (i) high HIV prevalence, (ii) deep-rooted poverty and food insecurity and, (iii) weakened governance systems, which adversely affect public service delivery capacity. This trio of challenges, long referred to as Southern Africa's "Triple Threat", has undermined past gains in socio-economic and human development. Other manifestations of a long period of slow, sustained but non-inclusive growth include: stifled employment growth; widening income disparities; gender inequalities; weakened safety net and traditional coping mechanisms; malnutrition and stunting; and, weakened family support systems (leading to increasing numbers of orphans and other vulnerable children).

In addition, the Constraints Analysis to Inclusive Growth in Zambia identifies two mutually reinforcing binding constraints that the SNDP is focused on addressing. These are: **a business environment that is unsupportive**; and, **a labour force characterized by low employability**. Consequently, the causality/objective analysis carried out by the UN system, which was the basis of the identified priority areas of UN support to addressing identified dimensions of the national challenges on which the SNDP focuses, covered the following issues: (a) the drivers of deep-rooted poverty; (b) the causes of low agricultural productivity and food insecurity; (c) the factors influencing the low formal sector employment; (d) malnutrition and stunting; (e) education and training for the world of work; (f) the health status of the population; (g) the HIV and AIDS challenge; (h) environmental sustainability and adaptation to climate change; and, (i) how to facilitate good governance and gender equality for equitable and sustainable development.

The UNDAF process in Zambia

The UN Common Country Programming Process activities began in March 2009 with the participation of six UN staff in a Training-of-Trainers Workshop for the Eastern and Southern Africa UNDAF Roll-out Countries. The UNDAF formulation commenced late June/early July 2009 with an orientation workshop (**UNDAF Design Workshop**) for UN System staff as well as the entire UN Country Team (UNCT), focused on the rationale and the tools for the UN Common Country Programming Process. Workshop activities included a formal Government presentation on the thrust and the core elements forming the key building blocks of the Sixth National Development Plan (SNDP).

Following the subsequent training of the UN Common Country Programming Core Team, a Causality and Objective Analysis Workshop was held early September 2009, during which the key themes pertinent to MDG-consistent, nationally-relevant UNDAF outcomes were identified, analyzed and grouped into five broad Priority Clusters. The latter were reviewed and endorsed with modifications at a 2-day UNCT Retreat end-September 2009, as the basis for further engaging the Government and other stakeholders in the UNDAF formulation process. A **Strategic Prioritization Retreat (SPR)** involving Government, Cooperating Partner, and Civil Society representatives was held 10-11 December 2009. The SPR deliberations, which were informed by substantive inputs from the Government participants, led to the consolidation and validation of the proposed five UNDAF priority clusters.

The five undaf outcomes

The **five UNDAF Outcomes** cover the following broad themes: (1) HIV and AIDS; (2) Sustainable Livelihoods and Food Security; (3) Human Development; (4); Climate Change, Environment and Disaster Risk Reduction and Response; and, (5) Good Governance and Gender Equality. These are discussed briefly below and in greater detail in Section 2.2 of this document.

The first expected UNDAF outcome emphasizes UN System support for scaling up the national response to the HIV epidemic, in order to achieve by 2015 a reduction in new HIV infections by 50 percent. This broad goal will be pursued with the collective efforts of the UN system in Zambia through four Country Programme (Agency) Outcomes.

UNDAF Outcome 2 is expected to contribute effectively to increased access to sustainable livelihoods and food security in both rural and urban areas. There will be two important components under this outcome, namely: (i) food security (of which improved agriculture will be the bedrock); and, (ii) jobs and employment creation (with particular attention to capacity development of the micro-, small and medium enterprises). These two components will be some of the drivers of inclusive growth under the SNDP. Two Country Programme (Agency) Outcomes will contribute to the achievement of this UNDAF outcome.

UNDAF Outcome 3 is expected to improve the situation for families and communities by increasing qualitative and equitable access to education, health, nutrition, water and sanitation and social protection mechanisms, and empowering families and communities to better contribute to national development. Three Country Programme Outcomes will be pursued for the achievement of this goal.

The fourth UNDAF outcome aims to achieve the development of institutional capacities to effectively sustain, manage and protect livelihoods from the risks of climate change, disasters and environmental degradation. This goal will be pursued through the realization of three Country Programme Outcomes.

The fifth UNDAF outcome seeks to ensure that by 2015, government provides equitable public services on the basis of human rights policies, as well as of increased gender equality, equity and civic participation. Two Country Programme Outcomes will be pursued towards the achievement of this UNDAF outcome.

The role of partners

In the spirit of the 2005 Paris Declaration on Aid Effectiveness, as re-affirmed by the 2008 Accra Agenda for Action, the UN system's support to the Fifth National Development Plan (FNDP) has been set within the broadly consultative development cooperation context of the **Joint Assistance Strategy for Zambia (JASZ)** (2006-2010). Under the JASZ arrangement, cooperating partners and the GRZ have agreed, through a formal Memorandum of Understanding (MoU), to a division of labour, with lead roles assigned within Sector Advisory Groups (SAGs) according to perceived relative comparative advantages among Zambia's development partners. Within this context, the UN System has been assigned **sector lead roles in 7 areas**. These include: **Gender; Governance**

(jointly with UK); **Health** (jointly with Sweden and UK); **HIV and AIDS** (jointly with UK and USA); **Social Protection** (jointly with UK); **Labour and Employment**; and, **Environment** (jointly with Finland). The UN system is also assigned **active** roles in other areas, such as: agriculture; decentralization; education; energy; science and technology; as well as, water and sanitation. The GRZ and cooperating partners will agree upon a new division of labour in the context of the SNDP and a successor JASZ, which will include lead and active roles for the UN system.

Estimated resource requirements

The indicative UNDAF resource mobilization targets suggest that about US\$335.7 million in total will be mobilized by the entire UN System in Zambia during the programming cycle 2011-2015. Of these resources 13.7% will be spent on supporting the national response to the HIV and AIDS challenge (UNDAF Outcome 1). Another 17.9% will be devoted to outcomes that will contribute towards achieving more sustained levels of development, employment and food security (UNDAF Outcome 2), while efforts aimed at strengthening capacities supporting improved services for human development (UNDAF Outcome 3) will receive 48.8%. Another 11.2% is targeted towards interventions for the pursuit of country programme outcomes that will contribute to UNDAF Outcome 4 (climate change, environment and disaster risk reduction and response). The remaining 8.4% percent is earmarked for interventions in support of good governance and gender equality (UNDAF Outcome 5).

Coordination and Programme modalities

The UNDAF will be coordinated at different operational levels through a range of mechanisms specified in detail in this document. These include: Government structures of the SNDP, e.g., the Sector Advisory Groups (SAGs); Cooperating Partners groups, in line with the Joint Assistance Strategy for Zambia (JASZ) division of labour matrix; and, the United Nations System coordination mechanisms under the “Delivering as One” agenda, including specific theme groups under the UNDAF.

The UNDAF objective to enhance the effectiveness of the UN System, through coherent collective actions to address national needs and priorities, will be pursued through the consistent use of the Programme Approach and National Execution as preferred modalities. In some cases,

specialized technical agencies within the UN System will be used for executing some of the programmes. The UNDAF will be used as the basis for the preparation of Agency-specific Country Programmes by individual UN agencies. A significant proportion of the latter will be pursued through joint programming, in order to facilitate the establishment of the key pillars for “Delivering as One” in Zambia. A key strategic approach will involve the use of the UN System’s worldwide network of resources to develop and augment the capacities of implementing partner institutions for more effective service delivery.

Monitoring and evaluation

Monitoring the implementation of the UNDAF and evaluating its impact, as well as that of other related Country Programmes, will be conducted jointly by the Government of the Republic of Zambia (GRZ) and the UNCT. Monitoring of the UNDAF will be based on the use of a selected number of indicators agreed upon within the UN System and with Government and other implementing partners, and between the UN System and cooperating partners, as reflected in the M&E Matrices. The mid-term and terminal reviews of the UNDAF will take place, respectively, at two critical points in the UNDAF implementation cycle (the first in 2013; the second in 2015). The agency specific annual and mid-term reviews will be used as building blocks for the joint UNDAF review processes. An in-depth joint examination of achievements against stated objectives and critical constraints will be made during these reviews, with a view to streamlining and adjusting the response to emerging issues. The timing of the UNDAF reviews will be harmonised with those of the SNDP to ensure that the two processes practically inform each other.

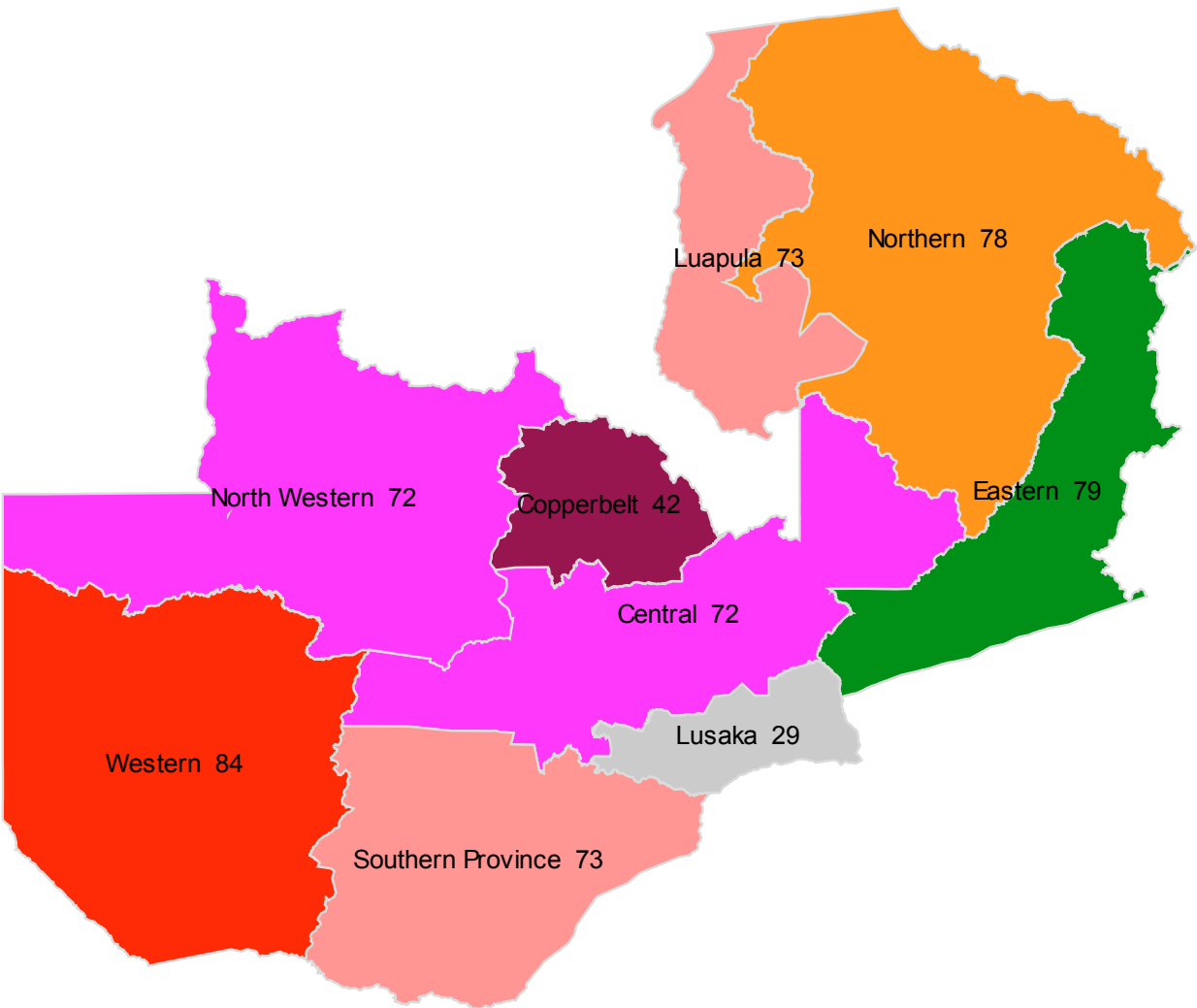
CONTENTS

Foreword	i
Declaration of Commitment	iii
List of Acronyms	iv
Executive Summary	ix
Country Profile Data	1
Zambia's Key Development Indicators	2
SECTION 1: INTRODUCTION	4
1.1 Background to the UNDAF Process in Zambia	4
1.2 The UNDAF Process	9
1.3. The UN System in the Broader Development Cooperation Context	10
SECTION 2: THE UNDAF RESULTS	12
2.1. The UNDAF Outcomes	12
2.2. The Country Programme (Agency) Outcomes and Outputs	12
2.3. The Roles of Partners	16
SECTION 3: INITIATIVES OUTSIDE THE UNDAF RESULTS MATRIX	18
SECTION 4: ESTIMATED RESOURCE REQUIREMENTS	20
SECTION 5: COORDINATION MECHANISMS AND PROGRAMME MODALITIES	24
SECTION 6: MONITORING AND EVALUATION (M&E) FRAMEWORK	28
ANNEXES	
ANNEX 1a:	30
Alignment between UNDAF Outcomes, MDGs, Treaties ratified by Zambia and SNDP Strategic Focus Areas and Higher SNDP Objectives	
ANNEX 1b:	31
Factors Constraining Growth Addressed by the SNDP	
ANNEX 2:	32
Results Matrices	
ANNEX 3:	42
M&E Framework	
ANNEX 4:	55
M&E Calendar	
Team for the preparation of the UNDAF	58

COUNTRY PROFILE DATA

Distribution of Poverty Head Count Ratio (%) by Province

Source: Living Conditions Monitoring Survey 2006



ZAMBIA'S KEY DEVELOPMENT INDICATORS

INDICATOR	VALUE	YEAR	SOURCE
Area (Sq. km)	752,309	2000	MoL
Poverty Head Count Ratio (%)	64	2006	LCMS
Population - 2008 estimate (million)	12.5	2008	CSO Pop Projections
Life Expectancy at Birth (Years)	45.4	2009	World Bank
Maternal Mortality (Mothers per 100,000 births)	591	2007	ZDHS
Fertility rate (%)	6.2	2007	ZDHS
HIV Prevalence (%)	14.3	2007	ZDHS
Infant Mortality rates (infants per 1,000 births)	70	2009	UNFPA
Under Five Mortality Rate (per 1,000 births)	119	2009	UNFPA
Proportion of births attended by skilled health personnel	48	2009	UNFPA
Women Using Contraceptives (%)	41	2007	ZDHS
GDP Growth rate (%)	6.7%	2009	MoFNP
GDP per capita (US\$)	993	2009	CSO
Access to Safe Water (% of Population)	59	2006	LCMS
Access to Health (% of Population)	95	2006	LCMS
Unemployment Rate (%)	14	2010	CSO (www.zamstats.gov.zm)
Literacy rates % (Women)	59.8	2009	HDR
Literacy rates % (Men)	76.3	2009	HDR
Literacy rates (%)	68.1	2010	Calculated from HDR Average
Net Enrolment Rate (%)	94.4	2009	ESB
Governance Index (score of 100)	59.6	2007	NBER
Gender-related Development Index Rank (out of 157 countries)	144	2009	HDR (Global)
HD Ranking (out of 177 countries)	165	2009	HDR (Global)
Corruption Perception Index (out of 10)	3	2009	TI (www.transparency.org)
Proportion of Seats Held by women in Parliament (%)	14.6	2010	National Assembly (www.parliament.gov.zm)



SECTION 1: INTRODUCTION

1.1 Background to the UNDAF process in Zambia

The formulation of a **United Nations Development Assistance Framework (UNDAF¹)** forms part of the core ingredients of the UN Common Country Programming Process (CCPP). The latter is one of the mechanisms for translating the UN Secretary-General's Reform Programme at the country level. The UN Reform aims at greater harmonization, coherence and coordination of UN System activities in support of the national development aspirations of programme countries. In Zambia, the overarching long-term context of national aspiration is defined by the **Zambia National Long-term Vision 2030**: "to become a prosperous middle income country by the year 2030".

The long-term National Vision 2030 is pursued through a number of key medium-term national planning frameworks. These include successive, overarching, medium-term National Development Plans, the sixth of which was prepared concurrently with the drafting of this UNDAF (see Section 1.2 for further details of the process). Both the **Sixth National Development Plan (SNDP)** and the **UNDAF** cover the five-year programming period **2011-2015**. This is in line with the call by the Triennial Comprehensive Policy Review (TCPR) to align and harmonise UN system cycles with the planning horizons of programme countries. This alignment also facilitates joint monitoring and evaluation.

Other national frameworks to support the National Long-term Vision 2030 and the SNDP include: the **Medium Term Expenditure Framework (MTEF)** (2010-2012); the **National HIV and AIDS Strategic Framework (NASF)** (2006-2010) and the successor framework 2011-2015; the **National Medium Term Priority Framework** (2009-2013) for Agriculture and Natural Resources; the **Broad Based Wealth and Job Creation Programme**; the **Private Sector Development Reform Programme II** (2009-2013); and the **National Health Strategic Plan** (2011-2015).

As part of the SNDP design process, in 2009 the Ministry of Finance and National Planning (MoFNP), in

collaboration with the Millennium Challenge Account-Zambia (MCA-Z), undertook a **Constraints Analysis to Inclusive Growth in Zambia** (informed by a 2008 World Bank study "*What are the Constraints to Inclusive Growth in Zambia?*").

While the draft SNDP and the Constraints Analysis to Inclusive Growth in Zambia have provided core guidance to the priority setting of the UNDAF, the above mentioned national frameworks and other studies and policies have also been consulted. The latter include the National Gender Policy (2000); the National Employment and Labour Market Policy (2005); the Situational Analysis of Children and Women (GRZ and UNICEF, 2008) the Comprehensive Africa Agriculture Development Programme (CAADP); the SADC Regional Agriculture Policy (SADC-RAP); the Rapid Food Security Assessment (ZVAC 2008); In-depth Vulnerability and Needs Technical Assessment Report (ZVAC); National Nutritional Surveillance System Report (NFNC and UNICEF, 2008); and Inter-Agency Urban Vulnerability Assessment (ZVAC and WFP, 2008). Finally, state commitments to human rights and gender equality as expressed in human rights treaties, recommendations of human rights treaty bodies and other studies in the area of human rights and gender equality have also provided a guiding framework for the UNDAF.

The UNDAF aims to support the national response to key development challenges, as expressed in the SNDP. Its development is guided by five programming principles: a human rights-based approach; gender equality; environmental sustainability; capacity development; and, results-based management (RBM). These principles are anchored in internationally agreed development goals and treaties and other commitments such as the Paris Declaration and Accra Agenda for Action.

Overview of country Context for the SNDP

The Mid-Term Review of the Fifth National Development Plan and reviews and analyses of Zambia's development context, carried out as part of the SNDP and UNDAF development processes have identified multiple challenges, largely caused by the nexus of high HIV prevalence, deep-rooted poverty and food insecurity and

1. The UNDAF is the common strategic framework for the operational activities of the United Nations system at the country level. It provides a collective, coherent and integrated United Nations system response to national priorities and needs, including PRSPs and other national strategies, within the framework of the MDGs and the commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments of the UN system. The UNDAF emerges from the analyses of the CCA and is the next step in the preparation of United Nations system country programmes and projects of cooperation (UNDG, Common Country Assessment and United Nations Development Assistance Framework: Guidelines for UN Country Teams).

weakened governance systems, which adversely affect public service delivery capacity. This trio of challenges, long referred to as Southern Africa's "Triple Threat", has undermined past gains in socio-economic and human development. Other manifestations of a long period of slow, sustained but non-inclusive growth include: stifled employment growth; widening income disparities; gender inequalities; weakened safety net and traditional coping mechanisms; malnutrition and stunting; and, weakened family support systems (leading to increasing numbers of orphans and other vulnerable children). The following paragraphs summarize trend information related to some of these manifestations, addressing both challenges and progress made in the enjoyment of economic, social, cultural, civil and political rights.

Poverty

Poverty is the most direct result and manifestation of sustained slow growth and lack of productive employment, and constitutes a violation of human dignity. Poverty inhibits the full and effective enjoyment of human dignity and constrains popular participation in democracy and economic growth. The causes of poverty are many. Some listed by the SNDP include poor infrastructure, low agriculture productivity, large family sizes, high literacy, etc. The sections below further elaborate on some of these. The 2006 Living Conditions Monitoring Survey results show that overall poverty (head count ratio) was estimated at about 60 percent (76.8 percent in rural districts and 26.7 percent in the urban), with 36.5 percent living in extreme poverty² country-wide, while the Gini Coefficient, a composite measure of income inequality, has been high and rising (from about 0.48 in 1998 to 0.53 in 2006). While poverty reduction was most apparent in the North-Western and Luapula provinces, the incidence of extreme poverty continues to be highest in the Western Province, which is most susceptible to floods and displacement, and where the infrastructure is poor. Chronic poverty and food insecurity (the nutritional and other impacts of which is further discussed below) have also forced some segments of the population into desperation, their assets having been depleted and their traditional coping mechanisms exhausted. Very often these families are forced to rely on child labour for their survival and members of their families are among those at significant risk of human trafficking.

Low agricultural productivity and food insecurity

The nature of livelihoods (diversified opportunities for production) is a major determinant of employment, income levels and food security, both of which influence poverty

status. Agriculture, which provides employment to more than 70 percent of the work force in which women are the majority, suffers from low productivity. The sector is characterized by low knowledge, the adverse impact of climate variation and climate change, and low-technology inputs among the mainly rural, small-to-medium scale farmers. This is more so amongst female farmers, who have limited access to and ownership of resources such as land and financial services. In the recent past emphasis has been on agricultural input support (fertilizer and seed) at the expense of focusing on stimulus rural infrastructure improvement programmes which provide support to market development for agricultural produce. As a result, of the nearly 4.5 percent annual rate of real growth in GDP between 1998 and 2006, when broken down by sectors, the contribution of agriculture to this growth is only 0.3 percent per annum (compared to 2.2 for services, 1.0 for construction, 0.5 for manufacturing, and 0.4 for mining and quarrying). This has adverse effects on income levels and poverty.

Low formal sector employment

A number of challenges exist in ensuring the right of access to employment, especially for disadvantaged and marginalized individuals and groups. The most recent (2006 and 2008) Labour Force Survey results suggest that the overall national unemployment rate has fluctuated between 12 and 15 percent. The incidence of unemployment is higher in the urban areas (33 percent), with females most significantly affected (41 percent, compared to 25 percent for males). Noteworthy is the stagnation in formal sector employment growth since 1998, leaving the (predominantly rural) informal economy (where females dominate) to generate most of the paltry employment growth (1.4 percent during 1998-2004, and 3.8 percent over the 2004-2006 period). These results indicate that only one out of five working-age Zambians have formal employment and some kind of old-age social security scheme. As over 80 percent of the 5.2 million Zambians employed as of 2008 were in the informal sector, the implications for potential, pervasive old-age destitution and the need for massive, formal public social protection mechanisms are inescapable. This is especially so in the face of shrinking private safety net and traditional coping mechanisms. The strain on the traditional safety nets, coupled with the non-access to formal social pensions, has potentials for negative intergenerational impact and adverse implications for poverty. As many orphaned children grow up in the care of their ageing grandparents, their rights are compromised when grandparents have no resources to adequately care for

² *Perpetually food insecure*

them. Children growing up with ageing grandparents are among those most at risk of dropping out of school and engaging in hazardous and exploitative child labour.

Malnutrition and Stunting

Many people in Zambia are denied their right to adequate food and suffer from malnutrition, under-nutrition and stunting, often due to poverty. Stunting, a direct result of chronic malnutrition in early childhood, is a significant problem. According to the **Zambia Demographic and Health Survey** (ZDHS, 2007), 45 percent of under-five children in the country are stunted.³ The prevalence of under-weight in the country still remains high, despite a reduction from 28 percent in 2001, to 14 percent in 2007. The national average of wasting has been stable at five percent since 1996. However, there has been an increase in the majority of provinces since 2001 with the prevalence being highest (at 11 percent) in the Western Province.⁴ Under-nutrition is especially damaging to children, depriving them of essential nutrients required during growth, and creating permanent and irreversible physical and mental damage. Undernourished children are also more vulnerable to infectious diseases, which in the long term continue to inhibit their development. As undernourished children often have problems learning, this essentially denies them the right to education. Under-nutrition in pregnant and lactating women has a major impact on maternal mortality and morbidity (disease), while perpetuating the inter-generational transmission of malnutrition through low birth-weight newborns. In the long term, the productive potential of the population is compromised, as hunger and nutrition are determinants of longevity, productivity, economic growth, and prosperity.

Education and training for the world of work

Education, particularly basic education (early childhood development, primary education, adult literacy), makes an important contribution to alleviating poverty and hunger and improving people's lives. While there is no major difference between rural and urban areas in terms of access to primary school, this difference is significant in terms of access to secondary school. There is also some notable gender disparity favoring boys' education at both the primary and secondary school levels. It is important to note that while completion rates for Grade 1 – 7 in Zambia are high (94.7%), completion rates for Grade 8 – 9 are low (51.2%), thereby highlighting that almost half of children who get enrolled do not complete basic school. Investing in basic education, if part of a broader development strategy, can bring important human and economic benefits. Fees are still charged for education

after Grade 7, and there are fewer slots in Middle and High schools. Other factors that limit girls progression in education at secondary and tertiary levels include early marriages/early pregnancies, low appreciation for girl child education, gender based violence, inadequate sanitation facilities in schools and the burden of care caused by the HIV and AIDS epidemic. Tertiary education, which is essential for jobs in large companies and the public sector, reaches only a little more than two percent of the population, and this is largely determined by household income level. Not much progress has been made on technical and vocational training since Independence, and despite the seemingly good foundations at the lower levels of the educational continuum, there is limited integration of the curricula in training institutions and the world of work. This is compounded by the poor quality education at the elementary school level (Grade 1 – 7). These factors have resulted in the scarcity of certain types of skills and professionals in the labour market.

Health status of the population

Health is a fundamental human right, encompassing access to quality health services and other underlying determinants of health, such as access to safe and potable water and adequate sanitation. According to the 2007 **Demographic and Health Survey** (DHS, 2007), the total fertility rate is 6.2 children per woman. While overall, nine of every ten Zambians live within 5 kilometers of (and, therefore, have access to) a health facility (LCMS 2006), the status of health in the country is poor, and a constraint to productive employment for many people, particularly the poor. It is noteworthy that the maternal mortality ratio improved from 729 per 100,000 live births in 2002 to 591 in 2007. Also, infant mortality declined from 95 deaths per 1,000 live births to 70 during the same period. However, despite the progress in the latter, owing to improvements in the provision of immunization services since 2000, yet child mortality is still higher in Zambia, when compared to most Sub-Saharan African (SSA) countries and other Low Income Countries (LICs). Furthermore the maternal mortality ratio in Zambia is one of the highest in SSA. This is the result of low use of antenatal services owing to economic, social and cultural factors. This is further exacerbated by the poor health infrastructure and poor services in reproductive health. This is evidence of the fact that women's reproductive rights are not fully addressed by the duty bearers. While life expectancy has been improving slowly, it is still among the lowest in SSA and LICs. In addition, the prevalence of HIV/AIDS is among the highest in SSA, the region with the highest incidence in the world. With climate variability, incidences of malaria

3. *Zambia Demographic and Health Survey. 2007.*

4. *Ibid.*

and water-borne diseases may increase, thus worsening the already poor situation of pressure on health services.

The HIV and AIDS challenge

Approximately 14.3% of Zambians are living with HIV, estimated at almost 1,000,000 adults 15-49 years (DHS, 2007) and over 250,000 of these are receiving anti-retroviral treatment that allows them to live longer and healthier lives. Urban areas (20%) have higher HIV prevalence than rural areas (10%), and females (16.1%) are more likely to be HIV positive (contributing also to maternal mortality) than males (12.3%). Women also tend to bear a disproportionate burden of care for the sick and otherwise affected, including over 1.3 million orphans and children made vulnerable by HIV. In order to bring the epidemic under control, it will be critical to stop new infections through dedicated interventions which address the key risks and drivers of the epidemic as well as the underlying structural factors. The latter include gender inequality, disparity, discrimination and HIV-related stigma and access to services. At the same time, the scaling up of treatment, care and support will require integration of HIV-related services into the wider health system and other sectors to reach all those in need through a multi-sectoral response.

Environmental sustainability and adaptation to climate change

The current multiple crisis is also negatively affecting environmental sustainability, which is further aggravated by the effects of climate change, to which Zambia is yet to adequately adapt. Lack of an efficient early warning system against climate change, as well as natural and induced disasters add another challenge to the already dire situation. The major, mutually-reinforcing environment-livelihoods challenges include: recurring droughts and floods; deforestation (directly linked to over-reliance on biomass as an energy source); loss of topsoil; ineffective land tenure system; and, inefficient and unsustainable agricultural practices. These challenges have a higher impact on women whose livelihoods depend on the use of natural resources. Continuing environmental degradation and climate change have adverse effects on livelihoods, while poverty, illness (including HIV-related morbidity) and desperation contribute to continued environmental degradation. The World Bank estimates that overall, climate variability will keep 300,000 people below the national poverty line by 2016.

Governance and Gender equality for equitable and sustainable development

Equitable and sustainable development require attention to human rights, gender equality and governance across development programmes, policies and legal frameworks. Zambia has expressed commitment to civil, cultural, economic, political and social rights through the ratification of core international and regional human rights treaties, and regularly reports on its progress in implementing the treaties.

On the governance front, Zambia has been politically stable since Independence in 1964. Since the advent of multi-party democratic processes in 1990, several successful elections have been held, which resulted in smooth transfers of power from one political party to another. During the past 6 years the Government embarked on the review of the national Constitution through broad based public participation and the process is expected to result in a Constitution that will reflect the will of the people in strengthening democratic processes. The nation has also embarked on a decentralization process, which is moving gradually towards decentralizing the planning and implementation of development interventions to the provincial and district levels.

The 2009 Gender Empowerment Measure for Zambia is 0.426 out of a possible 1⁵. This suggests inequalities in decision-making and access to resources. The latter is manifested in: the low participation of women in higher levels of decision making (currently only 22 of the 150 MPs are women); their relatively lower levels of education and literacy; the high maternal mortality and HIV infection rates among women; and, their vulnerability to poverty as well as sexual and gender based violence.

Corruption constitutes an obstacle to development and has been fought with differing intensity over the years. Since the Transparency International country index system was initiated in 1998, Zambia's best score has been 3.5 out of 10. The worst score was 2.5 in 2003, but since then the country has been improving, with the latest score in 2009 being 3.0⁶. The current Government launched an anti-corruption policy in 2009 and is in the process of domesticating the UN Anti-corruption Convention.

However, there is still need to: (a) deepen participatory governance to ensure effective, equitable, decentralized service delivery at the provincial, district and community levels; (b) continue with the reform of the public service systems and processes for a more transparent,

5. UNDP, Human Development Report 2009

6 www.transparencyinternational.org

accountable and effective economic governance; (c) accelerate the on-going process of domesticating international human rights instruments to which Zambia is signatory; (d) increase access to justice and information; (e) continue to enhance the oversight role of the National Assembly; (f) strengthen national institutions in line with the national constitution; and, (g) increase the number of laws and policies that foster gender-responsiveness and non-discrimination, in conformity with the requirements of the Zambian Constitution as well as regional and international instruments to which Zambia is a party (e.g., the SADC protocol on gender and development).

As is evident from the above, Zambia faces several development challenges, in which poverty and unequal access to resources manifest human rights deficiencies. A number of disadvantaged groups tend to be more vulnerable to this. For example, poor people living with disabilities are not only vulnerable to the effects of poverty, but to discrimination in the labour market and in the provision of social services. It is critically important that development efforts in Zambia target the most vulnerable sections of the population. Capacity development is needed to ensure that duty-bearers at district, provincial and national levels meet their obligations, and that rights holders (both individuals and communities) understand and are empowered to claim their rights, in mutually informed and responsible ways. Capacities include skills, abilities, resources, responsibilities, authority and motivation.

Economic growth and progress towards the MDGs

On the positive side: the national estimate of average incomes (which largely masks the inequality and high poverty outlined in the previous paragraphs) has risen during this period, with GDP per capita growth rate rising during the later part of the period, from 2.0 percent in 2003 to 2.8 percent in 2008 (www.zamstats.gov.zm); the population without sustainable access to improved water sources fell slightly (from 45 percent in 2002 to 42 percent in 2007); while the proportion of under-five children under-weight for age fell from 23 percent in 2001 to 15 percent in 2007 (CSO et.al, 2009, Demographic and Health Survey 2007). Furthermore, both Zambia's 2008 Millennium Development Goals (MDGs) Progress Report and the Fifth National Development Plan (FNDP) Annual Progress Report 2008 suggest that Zambia is likely to achieve half of the goals. The MDGs Report shows that the targets related to hunger, universal primary education, gender equality and HIV and AIDS are likely to be achieved by 2015.

While the MDGs Progress Report suggests that Zambia also has the potential to achieve the targets on extreme poverty, child mortality, maternal mortality, malaria and other major diseases, the respective supportive environments for attaining these goals and actual trend evidence do not seem to inspire confidence in these projections. For instance, low agricultural productivity and production as well as rising food and agricultural input prices continue to constrain progress towards the eradication of extreme poverty. Also, the context of support to children and women, in terms of access to and availability of services related to education, health, social protection and child protection as well as water and sanitation has not been improving fast enough to assure the attainment of the related goals. This is particularly problematic for groups of women and children who suffer discrimination and social exclusion for specific reason, such as disability. Besides, the few cases of perceptible improvement still show great geographical disparities in access and availability. Furthermore, environmental sustainability is one goal that is not likely to be attained by 2015, according to the 2008 MDGs Progress Report. In the last few years disasters (floods and droughts) have increased in Zambia, diverting resources from long term development to disaster mitigation, management and response.

UN support in addressing the Key Constraints to Inclusive Growth in the SNDP

As can be seen from the foregoing, the most daunting, fundamental challenge facing the nation is the inability of the economy to grow in a way that is broadly shared, that generates more livelihoods opportunities, as well as increased employment and incomes for all, and reduces poverty. The country and sector analysis work, undertaken by the UN system as part of the UNDAF process, led to the articulation of several underlying factors that contribute to some of these constraints. The key themes arising from that analysis were clustered and consolidated into broad categories of interventions that the UN system intends to address in order to support Zambia's efforts to accelerate progress towards the attainment of the MDGs. The resulting clusters became the proposed UNDAF Outcome areas presented in Annex Table 1(a).

Furthermore, the analysis of the key constraints to inclusive growth in Zambia, as outlined in the 'Constraints Analysis to Inclusive Growth' (MoFNP and MCA-Z, 2009), identifies two broad and mutually-reinforcing bottlenecks to be addressed: (a) the unsupportive business environment; and, (b) the low employability of the labour force.

A business environment that is unsupportive

The analysis identified as binding constraints: low access to finance for small and medium enterprises; and low returns to economic activity (for which **low private appropriability of returns** and, **low social returns to economic activity** are the main underlying factors). Regarding addressing factors underlying the constraint of the **unsupportive business environment** (which has several intermediate and their associated root causes listed in the **Constraints Analysis** report), there is considerable role for the UN in the area of evidence generation and building capacities for systems strengthening, as well as supporting improved access to finance for micro, small and medium enterprises (MSMEs), through advocacy for, and the promotion of, micro-credit and micro-finance initiatives. Furthermore, the UN's support to partially addressing the "coordination and information failures" dimensions of the factors underlying the low private appropriability of returns will be pursued through: a number of business development service (BDS) and business linkage innovations under a multi-agency *Broad Based Wealth and Job Creation (BBWJC) Programme*; as well as several other productivity-increasing and income-enhancing programmes. The UN will also intervene with appropriate strategies that seek to address transition from informal to formal business and employment. In addition the UN will participate in appropriate interventions that aim at addressing challenges to business linked to climate change and natural disasters. These will be pursued through the **sustainable livelihoods** as well as the climate change and environment UNDAF results.

A labour force characterized by low employability

With regard to the **low employability of labour** constraint to inclusive growth, the analysis listed several underlying factors, some of which fall within the purview of the UN System's development cooperation at the country level. The two, mutually-reinforcing, binding sub-constraints here are: (a) low labour productivity; and, (b) poor health status. Under the low labour productivity dimension the underlying factors have been identified, among others, as low education, low quality of education and skills training, low incomes and high cost of education beyond primary school. Furthermore, under the poor health status dimension, the analysis listed, among the underlying contributing factors: the high incidences of HIV & AIDS in the general population and in the workplace, malaria, TB, under nutrition and other diseases; weak health systems; high burden of health payments; and, low incomes. These human development-related constraints have been listed

in the preliminary (February 2010) draft of the SNDP **Macroeconomic and Fiscal Framework** chapter under the "**Poor social infrastructure**" category of constraints to growth (see Annex Table 1 (b) for the full list of constraints clustered under 4 categories).

Incidentally, most of the underlying factors identified by this analysis are consistent with those derived from the Causality and Objective Analysis exercise carried out by the UN, while some of the factors that were not captured in the Government-led analysis were complemented by the UN analyses. The latter factors include malnutrition, gender disparities, climate change and disasters. Several country programme outcomes (and their related outputs) will be pursued, through various UNDAF results, as the UN System's contribution to addressing these dimensions of the identified constraints to inclusive growth. These country programme outcomes also cover other critically important challenges such as democratic governance, education, social protection, as well as water and sanitation.

The rest of the binding constraints are, in the view of the UN System, better addressed with the support of other Cooperating Partners that have greater comparative advantage in the related programmatic areas. These include, among others: road and rail transportation as well as telecommunications infrastructure; energy; and, water resources development and utilization. These are listed in the SNDP **Macroeconomic and Fiscal Framework Paper** under the "**Inadequate economic infrastructure**" and the "**High cost of doing business**" categories of constraints to growth (see Annex Table 1 (b) for the full list of constraints clustered under 4 categories).

1.2 The UNDAF process

The UN Common Country Programming Process activities began in March 2009 with the participation of 6 UN staff in a Training-of-Trainers Workshop for the Eastern and Southern Africa UNDAF Roll-out Countries. The UNDAF formulation commenced late June/early July 2009 with an orientation workshop (**UNDAF Design Workshop**) for UN System staff as well as the entire UN Country Team (UNCT), focused on the rationale and the tools for the UN Common Country Programming Process. At this 3-day event, the Secretary to the Treasury (ST) of the Government of Zambia (GRZ) and his team from the Ministry of Finance and National Planning (MoFNP) made a formal presentation to the UN System on the thrust and

the core elements forming the key building blocks of the Sixth National Development Plan (SNDP).

Following the subsequent training of the UN Common Country Programming Core Team, a Causality and Objective Analysis Workshop was held early September 2009, during which the key themes pertinent to MDG-consistent, nationally-relevant UNDAF outcomes were identified, analyzed and grouped into 5 broad Priority Clusters. The latter were reviewed and endorsed with modifications at a 2-day UNCT Retreat end-September 2009, as the basis for further engaging the Government and other stakeholders in the UNDAF formulation process.

During the intervening period, the UNCT, led by the Resident Coordinator, held a series of consultative meetings with the Ministry of Finance and National Planning (MoFNP), the key Government Ministry responsible for development cooperation; the Cooperating Partners (CPs); and key Civil Society Organizations (CSOs). A **Strategic Prioritization Retreat (SPR)** involving Government, Cooperating Partner, and Civil Society representatives, was held 10-11 December 2009. At this Retreat, the Government (MoFNP) made another formal, more detailed, presentation on, and discussed with the UN and other participating stakeholders, the **strategic focus** areas and **higher level objectives** of the **SNDP** document.

During 2010, the UN System has participated on the development process of the SNDP and there has been an effort to align UNDAF results to national priorities or goals. The SPR deliberations, which were informed by substantive inputs from the Government participants, led to the modification and reduction of the proposed UNDAF Priority Clusters to five (5). Annex Table 1(a) summarizes the alignment of the UNDAF Outcome Clusters that resulted from the deliberations of the Strategic Prioritization Retreat and the corresponding MDGs, and treaties on the one hand, with relevant SNDP goals on the other hand.

1.3 The UN system in the broader development cooperation context

Country ownership and effective and inclusive partnerships are crucial to the achievement of development results. Partners' roles and comparative advantages vary, but the UN system has distinctive strengths in its normative and standard setting functions and broad technical expertise. The UN system also has

specific advantages in supporting capacity development of national partners and in convening, advocating and monitoring. The General Assembly's Triennial Comprehensive Policy Review resolutions call upon the UN development system to step up and effectively work together for coherence and maximum development impacts at country level. As emphasized in MDG High Level conferences, the Economic and Social Council (ECOSOC) Development Coordination Forum, the Doha Financing for Development Conference, and High Level Forums on Aid Effectiveness, other international gatherings, national ownership of development strategies, alignment of development assistance with national priorities, and harmonization of development efforts all contribute to more sustainable development outcomes.

In the spirit of the 2005 Paris Declaration on Aid Effectiveness, as re-affirmed by the 2008 Accra Agenda for Action, the UN system's support to the on-going Fifth National Development Plan (FNDP) is being carried out within the broadly consultative development cooperation context of the **Joint Assistance Strategy for Zambia (JASZ)** 2006-2010. Under the JASZ arrangement, cooperating partners and the GRZ have agreed, under a formal Memorandum of Understanding (MoU), to a division of labour, with lead roles assigned within Sector Advisory Groups (SAGs) according to perceived relative comparative advantages among Zambia's development partners. Within this context, the UN System has been assigned **sector lead roles** in 7 areas. These include: **Gender**; **Governance** (jointly with UK); **Health** (jointly with Sweden and UK); **HIV and AIDS** (jointly with UK and USA); **Social Protection** (jointly with UK); **Labour and Employment**; and, **Environment** (jointly with Finland). The UN system is also assigned **active** roles in other areas, such as: agriculture; decentralization; education; energy; science and technology; as well as, water and sanitation.

The GRZ and cooperating partners will agree upon a new division of labour in the context of the SNDP and the new JASZ. Within the framework of the JASZ, the UN System will continue to participate as an active partner in the continuing dialogue and make relevant contributions, consistent with its mandate, towards action programmes and capacity development initiatives related to the issues identified in the Governance Matrix and the Poverty Reduction Budget Support (PRBS) Roadmap. These lay out key systemic and sector issues agreed between the Government and Cooperating Partners that need to be addressed to ensure good governance and a more efficient, transparent and accountable public finance management.



SECTION 2: THE UNDAF RESULTS

The UN will contribute to the improvement of well-being and strengthening respect for human rights in order to accelerate the achievement of the MD/MDGs.

2.1 The UNDAF outcomes

The **five UNDAF Outcomes** cover the following broad themes: (1) HIV and AIDS; (2) Sustainable Livelihoods; (3) Human Development; (4); Climate Change, Environment and Disaster Risk Reduction and Response; and, (5) Good Governance and Gender Equality. These are discussed briefly below and in greater detail in section 2.2 of this document:

UNDAF Outcome 1

The first expected UNDAF outcome emphasizes UN System support for scaling up the national response to the HIV epidemic, in order to achieve by 2015 a reduction in new HIV infections of by 50 percent. This broad goal will be pursued with the collective efforts of the UN system in Zambia through four Country Programme (Agency) Outcomes.

UNDAF Outcome 2

UNDAF Outcome 2 is expected to contribute effectively to increased access to sustainable livelihoods and food security in both rural and urban areas. There will be two important components under this outcome, namely: (i) food security (of which improved agriculture will be the bedrock); and, (ii) decent employment creation. These two components will be some of the drivers of inclusive growth under the SNDP. Two Country Programme (Agency) Outcomes will contribute to the achievement of this UNDAF outcome.

UNDAF Outcome 3

UNDAF Outcome 3 is expected to improve the situation for families and communities by increasing equitable access to quality education, health, nutrition, water and sanitation and social protection mechanisms, and empowering families and communities. It is widely understood that without focusing on the national challenges related to achieving the human development and overall welfare of the Zambian population, national development and economic growth will be severely constrained. Three Country Programme Outcomes will be pursued for the achievement of this goal.

UNDAF Outcome 4

This UNDAF outcome aims to achieve the development of institutional capacities to effectively sustain, manage and protect livelihoods from the risks of climate change, disasters and environmental degradation. This goal will be pursued through the realization of three Country Programme Outcomes.

UNDAF Outcome 5

The fifth UNDAF outcome seeks to ensure that by 2015, government provides equitable public services on the basis of human rights based policies, as well as on increased gender equality, equity and civic participation. Two Country Programme Outcomes will be pursued towards the achievement of this UNDAF outcome.

2.2 The country programme (Agency) outcomes and outputs

Each of the 5 broad UNDAF Outcome results identified above will be pursued through a number of corresponding Country Programme **outcomes** and Country Programme **outputs**. These are summarized below, while their details are presented as Results Matrices in Annex Table 2.

The priority country programme outcomes in all the five areas were identified by analysis of causes and effects and the identification of strengths and gaps in the response. Results mapping was done, using problem tree analysis, while the Country Programme outcomes were formulated using results-based management methodology and the “SMART” (specific, measurable, attainable, reliable, time-bound) principle. Evidence generation and utilisation is also a key element of this process. Indeed, the need for effective data and evidence gathering, monitoring and evaluation is relevant for all the UNDAF sectors, and will be cross-cutting in all areas of UN intervention during the UNDAF cycle.

Country Programme Outcomes and Outputs under UNDAF Outcome 1 (New HIV infections are reduced by 50% by 2015 while scaling up treatment, care and support)

The UN is recognized to add value in supporting Prevention, Treatment and Mitigation, and Coordination in the HIV and AIDS sector. The 4 related country

programme outcomes are presented in detail in the UNDAF Results Matrix in Annex Table 2. The focus of the four broad country programme outcomes are summarized here:

- (i) In preventing new infections, the UN will support Government and other partners to develop and implement policies, strategies and evidence-based programmes to prevent sexual transmission of HIV, with a focus on vulnerable groups.
- (ii) Under treatment, the UN will support Government and partners to provide essential medicines and ART within integrated services to adults and children while mitigating the impact of HIV and AIDS.
- (iii) In the area of care, the UN will, among other things, support the Government and partners in the development of social protection policies, strategies and mitigation services. The community based partners will be supported in building capacity to enable them raise awareness on the availability of social protection and mitigation services. The UN will also support the Government in building capacity to handle non-medical commodities and supplies in the mitigation of HIV and AIDS.
- (iii) Under coordination and aid effectiveness, the NAC and other partners will be supported to advocate, coordinate, mobilize resources and form partnerships and monitor the multi-sectoral response using 'the three ones' principle at all levels.

Country Programme Outcomes and Outputs under UNDAF Outcome 2 (Targeted populations in rural and urban areas attain sustainable livelihoods by 2015)

The Government has repeatedly expressed, in many ways, that economic development is a central pillar of its development plans for the next 5 years. In support of this, and in cognizance of its role in helping Zambia attain targets for MDG 1 and 8, the UN conducted a priority analysis of possible areas of intervention, in order to attain meaningful impact in its work in the country. Five salient points came to light from this priority analysis, which include, among others: addressing income inequality and promoting inclusion, social protection and food nutrition security; creating diversified opportunities for sustainable urban and rural livelihoods; advocating for pro-poor policy

environment; promoting supportive environment for private sector development as well as providing for economic empowerment of women in the formal and informal sector; and, ensuring equitable access to and sustainable management of land, finance and other productive inputs.

The GRZ's long-term vision is to make Zambia a medium income nation, with agriculture as the engine for economic and social development. However, there are serious challenges that need to be addressed if this vision is to be realized. These include, among others: low investment (especially in critical programmes that would stimulate growth) in the agriculture sector by government and the private sector; and, low production and productivity, especially among smallholder farmers, owing to low input use and low levels of technology, as well as the lack of food crop diversification. Given its comparative advantage in these areas, the UN will facilitate and support the Government in the development of a sustainable and competitive agricultural sector that assures food security at national and household levels.

In addressing the challenges associated with unemployment in Zambia, the Government has established and implemented integrated policies, programmes and initiatives. Among several others, the following three key pillars offer a niche for UN engagement in relation to the cluster's focus

- **Micro, Small and Medium Enterprise (MSME) Development:** some of the strategies under MSME Policy include facilitating access to finance, markets and business development services for the target groups. Support to Government will be provided to scale up the Decent Work Country Programme (DWCP).
- **Citizens' Economic Empowerment:** this promotes meaningful participation of targeted citizens and companies in the economy, using an integrated, broad-based and *multi*-faceted strategy.
- **Private Sector Development Reform Programme Phase II:** This focuses on making Zambia an easier and more efficient country within which to start and grow a business, including related legal and regulatory framework.

Against this background, 2 broad themes were identified for intervention, namely: (i) food security (agriculture and livelihoods); and, (ii) employment and

income generation. Based on the two themes expanded above, the overall UNDAF outcome for the cluster includes two Country Programme outcomes to support the Sixth National Development Plan. These are:

- (i) **Agriculture (Food Security and Livelihoods):** the intervention will aim at tackling food insecurity through targeting 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;
- (ii) **Employment and Job creation:** this intervention will aim at promoting gainful and decent employment and income generation through: developing an information base for the labour market and private sector development; using market and business linkages to create employment and find viable income generating opportunities, especially with a focus on MSMEs; capacitating targeted groups to lead productive lives through accessing resources and support services, especially for women; and, promoting, adapting and implementing a rights based approach to employment.

Country Programme Outcomes and Outputs under UNDAF Outcome 3 (Vulnerable people living in Zambia have improved quality of life by 2015)

The third UNDAF Outcome relates to Human Development, encompassing strengthening of national capacities for service delivery in key sectors of Health and Nutrition, Water and Sanitation, Education and Social Protection. It is widely understood that without focusing on national challenges related to achieving the human development and overall welfare of the Zambian population, national development and economic growth will be seriously hindered. Given this, UNDAF Outcome 3 aims to ensure that: families and communities living in Zambia are healthy and well-educated, with access to social protection mechanisms, and better able to contribute to national development. In particular, this outcome will focus on prevention, protection and rehabilitation from human trafficking, worst forms of child labour and gender based violence.

For many poor people, particularly children and women in rural areas, chronic and increased poverty and multiple rights failures are entrenched through five key drivers: lack of access to a consistent basket of basic services; inadequacy and unavailability of livelihoods and incomes;

lack of access to protective legal and judicial environment; poor social norms and practices; and, chronic ill health as well as stunting resulting from chronic malnutrition.

Three Country Programme Outcomes contribute to the **Human Development** UNDAF Outcome:

- (i) The first Country Programme outcome is to provide support to ensure that vulnerable groups and individuals have improved equitable access to and utilisation of health care services.
- (ii) The second Country Programme outcome aims to ensure that boys and girls have equitable access to improved, free and inclusive quality education.
- (iii) The third Country Programme outcome related to this UNDAF outcome aims to ensure that vulnerable groups and families can provide for their own needs, with assistance from comprehensive Government-led social protection systems.

Within each of these Country Programme Outcome areas, capacity will be strengthened at the following levels:

- support to fair, quality and equitable service delivery (health, education and social protection);
- support to national policy development and systems strengthening; and,
- support to evidence generation (from information systems to effective evaluation).

Strategically, all three Country Programme outcomes also centre on a concept of inclusion of the most vulnerable (those for whom services remain elusive). This would include, but not be limited to: people with physical and mental disabilities; those affected by emergencies, including refugee populations; migrants; the urban and rural poor; as well as women and children. Also, there is a common human rights and responsibility thread. Families and communities will be empowered to claim rights and to strengthen traditional mechanisms for mutual support and to protect themselves and their communities from gross human rights violations.

Country Programme Outcomes and Outputs under UNDAF Outcome 4 (People's vulnerability reduced from the risk of climate change, natural and man-made disasters and environmental degradation by 2015)

The Zambian economy is dependent on natural resources. The adverse effects of climate change, namely, an

increase in the frequency and intensity of droughts and floods (disasters) in the last two decades, significantly affect economic, social, and environmental development in Zambia. Thus climate change is not just an environmental challenge, but a development issue, affecting the well-being of people in Zambia.

Recent research on the economic impacts of climate change on Zambia's agriculture has revealed that the country has been experiencing disasters, with detrimental consequences for the agricultural sector, and threats to food security for vulnerable groups.

Preventing hunger by reducing disaster risk at individual, household and community level means identifying and fully understanding risks and translating this knowledge into preventive action. What is required is to include investments in disaster preparedness and mitigation measures to protect lives and livelihoods and minimize future needs for humanitarian assistance.

The National Adaptation Plan of Action (NAPA) identifies the following as sectors susceptible to the effects of climate change: agriculture and food security; human health; natural resources (wildlife and forestry); as well as, energy and water. In addition, the lack of effective early warning systems has made it difficult to forecast impending climate-related disasters, while the lack of vulnerability profiles has made it difficult to understand the underlying causes of vulnerability.

Against this background, the UN will assist Zambia to be better prepared and able to respond to disasters and cope with climate change and natural resource degradation, by supporting the following set of interventions:

- i) **Disaster risk reduction and response** interventions will aim at strengthening systems and institutions to implement information management and early warning systems for better planning, preparedness and a coordinated response across levels of Government.
- ii) **Climate change adaptation and mitigation** interventions will focus on broadly integrating climate change risks into programming and policies, particularly in the areas of land cover and use. Several upstream and downstream outputs will be pursued under this country programme outcomes, the details of which are presented in the results matrix for this outcome area.

Environmental issues which particularly enhance the livelihoods of small scale farmers will be addressed.

These include, among others: natural resource management; mainstreaming environmental issues and raising awareness among the general population (specifically through school curricula); and, ensuring the domestication and regulation of environmental conventions.

Country Programme Outcomes and Outputs under UNDAF Outcome 5: Good Governance and Gender (Targeted Government institutions ensure human rights based and gender responsive policies, frameworks and services by 2015)

An analysis of what would be required for people to enjoy the full range of basic human rights and to address the drivers of poverty reveals that the underlying causes are centred on the performance of the public sector. Improvements in results for the poor in Zambia would require simultaneous improvements in the legal, social and economic policy framework, public sector capacity to deliver services, and the political determination to focus efforts on actions to address poverty. The latter, political commitment, is contingent not only on the will of national and local leadership, but also on citizens' awareness and demand for rights.

The Mid-Term Review (MTR) of the FNDP and other planning documents identify several key challenges in governance and gender in Zambia which have been discussed in Section 1.1. These challenges affect the attainment of the Millennium Development Goals and sustainable development.

The UN normative role requires that support be extended to national institutions to facilitate the domestication of international conventions, protocols and commitments. The UN System will, therefore, make its contribution to national programmes for responding to the identified governance and gender priority challenges through two country programme outcomes areas, namely:

- (i) **Reinforcement of Human Rights and Democracy:** Assistance in this area will focus on promoting capacity development of oversight institutions, to further strengthen democracy, public accountability and transparency, and increase participation at all levels of government. Also, capacity development support will be provided to national institutions to: domesticate regional and international conventions and protocols as well as improve access to

and availability of information; develop and implement rights-based policies, programmes, resource allocation frameworks and budgeting; as well as, monitor and report on results and impact. Similarly, support will aim at providing national human rights institutions, media and civil society organizations an environment that will facilitate policy reforms which foster increased awareness and protection of the rights and responsibilities of citizens. It should be noted that activities in other clusters will also be implemented from a human rights based approach. Examples include promoting rights to life, health, education, food, as well as freedom from economic and sexual exploitation.

(ii) **Gender responsive national development:** This pillar will provide upstream and downstream support to ensure the engendering of policies and programmes. UN assistance will seek to augment national gender diagnostic capacities, the creation of appropriate empowering interventions (especially targeted at women) and enabling the collection of sex-disaggregated data. Initiatives will support the development and implementation of legal, institutional and budgetary frameworks, to promote gender equality and equity and women's empowerment. The UN will also support the strengthening of capacities for the judiciary and other traditional adjudicators to address gender equality issues, especially GBV. Support will be provided to government, civil society organizations, academia, the media and traditional leaders, to increase communication for the empowerment of women (including people living with HIV), girls and marginalized groups, and address negative social norms.

Poverty Reduction Budget Support (PRBS) consultations, that are pursued within the context of the Sector Advisory Groups (SAGs) under the national planning frameworks (e.g. the FNDP) as well as under the framework of the Joint Assistance Strategy for Zambia (JASZ), will provide opportunities for synergies to be derived from collaborative programming between the CPs and the UN system. Third, the CPs may provide direct funding for identified Joint Programmes facilitated by the UN system.

Government institutions will, generally speaking, be responsible for the implementation of most of the interventions envisaged under this UNDAF, through the respective Country Programme Action Plans that will be designed between the corresponding Government institutions and the respective UN agencies, given that the preponderant implementation modality will be National Execution (NEX). To a large extent, **Civil Society Organizations** (CSOs) will play advocacy roles, to ensure that the rights-holders (programme beneficiaries) are empowered to hold the duty-bearers (Government institutions at different levels) accountable for the delivery of the relevant services targeted by programme interventions under this UNDAF. The specific roles of the different partners under each Country Programme (CP) Outcome/Output are summarized in the relevant (Role of Partners) column against the respective CP outcomes/ outputs in the UNDAF Results Matrices (Annex Table 2).

2.3 The roles of partners

Official Development Assistance (ODA) constitutes about 20% of Zambia's development budget. About a quarter of this ODA is through direct budget support. Most of the ODA supports infrastructure investments although capacity development forms a significant proportion of the assistance. In this regard, the UNDAF should be seen as complementing the support of Zambia's other Cooperating Partners. The following are some of the roles played by the Cooperating Partners (CPs): First, the individual programmes of country cooperation or country assistance by the CPs in the relevant sectors and thematic areas related to the broad UNDAF Outcomes will contribute towards the achievement of the shared broader-level goals. Second, the consultative processes, including the High Level Policy Dialogue (HLPD) and the



SECTION 3: INITIATIVES OUTSIDE THE UNDAF RESULTS MATRIX

There are no foreseen special initiatives by the UN as a whole that will fall outside the UNDAF. However, agencies will pursue programmes and projects with respect to their mandates and competency, as and when the need arises. These initiatives will be pursued by both resident and non-resident agencies.



SECTION 4:

ESTIMATED RESOURCE REQUIREMENTS

The UN agencies in Zambia have estimated the resources needed to pursue the achievement of the respective country programme outcomes to which they will contribute (whether through agency-specific programmes/projects, joint or collaborative programmes) during the cycle. These estimates are only indicative of requirements, and it should be noted that precise resource commitments can only be made in agency-specific Country Programme Documents (CPDs) or project documents, based on the respective agencies' procedures and approval mechanisms. Table 1 summarizes the estimated UNDAF resource mobilization targets for the 2011-2015 programming cycle.

As of now, the indicative UNDAF resource mobilization targets in Table 1 suggest that about US\$335.7 million in total will be mobilized by the entire UN System in Zambia during the programming cycle 2011-2015. Of

these resources (13.6%) will be spent on supporting the national response to the **HIV and AIDS** challenge (UNDAF Outcome 1). Another (17.9%) will be devoted to outcomes that will contribute towards achieving more **sustained levels of development, employment and food security** (UNDAF Outcome 2), while efforts aimed at strengthening capacities supporting **improved services for human development** (UNDAF Outcome 3) will receive almost US\$163.9 million of the total resources (48.8%). Another (11.3%) is targeted towards interventions for the pursuit of country programme outcomes that will contribute to UNDAF Outcome 4 (**climate change, environment and disaster risk reduction and response**). The remaining (8.4%) percent is earmarked for interventions in support of **good governance and gender equality** (UNDAF Outcome 5).

Table 1: Estimated UNDAF Resource Mobilisation Targets for the 2011-2015 Programme Cycle.

Country Programme Outcome (CPO)	1.1	1.2	1.3	1.4	2.1	2.2	3.1
	Government and partners scale up prevention services to enable the reduction of new infections by 50% by 2015.	Government and partners scale up integrated and comprehensive ART services for adults and children especially in under-served rural and peri-urban areas by 2015.	Government and its partners develop and implement social protection policies and strategies to mitigate the impact of HIV&AIDS among vulnerable groups by 2015.	Government and partners coordinate a harmonized and sustainable multi-sectoral HIV response by 2015.	Government and partners enable vulnerable populations to be food secure by 2015.	Government and partners provide targeted groups ⁷ with opportunities for gainful and decent employment by 2015.	Government and partners improve equitable access of vulnerable groups ⁸ to quality health, nutrition, water and sanitation services by 2015.
Agency							
FAO					9,775,000		
ILO	50,000				2,471,000	3,792,000	
UNDP	2,690,667	2,690,667	1,076,266	1,614,400	3,994,667	7,989,333	
UNFPA	1,900,000	150,000		300,000			9,000,000
UNICEF	10,250,000	4,950,000	1,700,000	250,000			55,500,000
UNHCR	741,600	186,000	219,000				
IOM	2,300,000						200,000
UNECA							
WFP	25,000	225,000	12,000,000		32,000,000	-	8,000,000
WHO	500,000	300,000	600,000	100,000			2,400,000
World Bank							
IMF							
ITC							
UNAIDS	50,000			650,000			
UNIFEM							
UNODC	230,000						
UNEP							
OHCHR							
IFAD							
UNHABITAT							
UNIDO							
UNCTAD							
UNECA							
UNESCO	300,000			50,000			
UNCCD/Global Mechanism							
Totals by CPO (US\$)	18,737,267	8,501,667	15,595,266	2,964,400	48,240,667	11,781,333	75,100,000
Shares by UNDAF Outcome (%)	13.6%				17.9%		

7. MSMEs, youth, women, people with disabilities and people living with HIV/AIDS

3.2	3.3	4.1	4.2	4.3	5.1	5.2	Agency Totals (US\$)
Government and partners provide boys and girls with increased access to free and inclusive quality education by 2015.	Government-led social protection system protects vulnerable groups and families from human rights abuses and extreme poverty by 2015.	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.	Government promotes adaptation and provide mitigation measures to protect livelihoods from climate change by 2015.	Government implements policies and legal frameworks for sustainable community based natural resources management by 2015.	Individuals have knowledge and ability to claim human rights for effective participation in development and democratic processes by 2015.	Targeted government institutions reduce legal and cultural practices obstructing the realization of gender equality by 2015.	
		200,000	5,000,000	1,000,000			15,975,000
	500,000				5,000,000.00	3,000,000.00	14,813,000
		608,000	6,384,000	6,080,000	3,690,667	7,381,333	44,200,000
300,000					4,450,000	2,000,000	18,100,000
38,650,000	17,200,000	1,050,000	4,500,000	250,000			134,300,000
					500,000	1,000,000	2,646,600
	1,500,000	500,000			300,000	300,000	5,100,000
							-
30,000,000		6,000,000	95,000	1,500,000	-	-	89,845,000
		100,000.00					4,000,000
							-
							-
							-
							700,000
						200,000	200,000
							230,000
							-
							-
							-
							-
			2,700,000	1,489,548			4,189,548
							-
							-
650,000			150,000	50,000	150,000	150,000	1,200,000
			150,000	50,000			200,000
69,600,000	19,200,000	8,458,000	18,979,000	10,419,548	14,090,667	14,031,333	335,699,148
48.8%			11.3%		8.4%		100%

8. Strategically, all three Country programme Outcomes also centre on a concept of inclusion of the most vulnerable – those for whom services remain elusive. This would include but not be limited to the physically and mentally disabled, those affected by emergencies, migrants, the urban and rural poor, women and children. These would include, for example, out-of-school children, children not growing up with their parents, child labourers, children in very remote areas and people and households affected by HIV and AIDS.



SECTION 5:

COORDINATION MECHANISMS & PROGRAMME MODALITIES

COORDINATION MECHANISMS

In coordinating the UNDAF, the UN System in Zambia intends to use already existing Government coordination mechanisms established to coordinate support to the SNDP. The UNDAF will be coordinated at different operational levels through a range of mechanisms at Government level, within Cooperating Partners (CP) groups, and within the UN System.

- **Government:** The overall responsibility for the coordination and orientation of all activities and programmes aimed at achieving the national development objectives and goals as stipulated in the National Vision 2030, the SNDP and various other sector strategies lies with the Government of the Republic of Zambia (GRZ). This is in line with the commitments agreed upon in the 2005 Paris Declaration (and reaffirmed in the 2008 Accra Agenda for Action), where partner countries committed to exercising leadership in developing and implementing their national development strategies, translating these national strategies into prioritised results-oriented operational programmes, and taking the lead in coordinating aid at all levels. The Government will be supported by the UN system in Zambia, in collaboration with other cooperating partners, in strengthening its aid coordination, management and accountability capacity. It is envisaged that a Government-led National Development Consultative Forum will be established to provide overall leadership in the implementation of the SNDP. Government-led Sector Advisory Groups will also play a core role in sector planning and coordination.
- **Cooperating partners:** As agreed in the Joint Assistance Strategy for Zambia (JASZ), Cooperating Partners, including the UN System, coordinate their support through Cooperating Partners Groups. In the JASZ division of labour, CPs are assigned 'Lead roles', 'Active roles' or 'Background roles' in each sector. The Leads have a coordinating role and convene meetings to solicit views on issues, which are later conveyed to the Government in a coordinated manner.



- **UN System:** The role of the Resident Coordinator is to facilitate coordination of the implementation process of the UNDAF, with support from the UNCT. The UNCT consists of Representatives of all resident UN agencies in Zambia (FAO, IFAD, ILO, IMF, IOM, UNAIDS, UNDP, UNECA, UNFPA, UNICEF, UNHCR, WFP, WHO and the World Bank), and includes non-resident agencies such as IAEA, OHCHR, UNCCD/ Global Mechanisms, UNCTAD, UNEP, UNESCO, UNFCCC, UN-HABITAT, UNIDO, UNIFEM, and UNODC. Non-resident UN Agencies (NRAs) will coordinate their activities with the Resident Coordinator's Office and UNDAF Outcome Group Chairs and Leads. NRAs will also be invited to participate in strategic meetings, retreats and special ad-hoc UNCT meetings. Under the overall UNCT umbrella and oversight, the UNDAF Outcome Groups will coordinate the preparation of annual work plans, and monitoring and reporting on progress in the overall implementation of UNDAF activities. Chairs and Leads for the UNDAF Outcome Groups will be appointed by the Resident Coordinator. The Monitoring and Evaluation Working Group, and other theme groups will provide support to UNDAF

Outcome Groups. Monitoring and evaluation activities will be targeted towards strengthening national M&E capacity and supporting national information systems and collection and analysis of development data.

- **Coordination of UN Joint Programmes:** Joint programmes are the collective effort through which UN agencies and national partners work together to strengthen country analysis, influence national priorities and respond to those priorities as one system. A joint programme is a set of activities contained in a common work plan and related budget. Under the last UNDAF (2007-2010), the UN System established the UN Joint Team on AIDS for the coordination of UN support to the national response to HIV and AIDS. Joint Programmes have also been established in the area of Broad-Based Wealth and Job Creation, and in the area of Human Trafficking.



Programme Modalities:

The UNDAF constitutes the main strategic framework for UN support to the achievement of the development objectives identified in the SNDP. The UNDAF is a vehicle for the UN System to better draw on comparative advantages, harness experience across the UN System and create synergies between UN agencies. This will be pursued through consistent use of the Programme Approach and National Execution as preferred modalities. The UNDAF serves as the basis upon which the UN agencies will formulate their agency-specific country programmes and technical assistance. The UNDAF will guide and ensure UN support to national policies and strategies through policy, advisory and technical assistance; advocacy for change; and broader community participation and empowerment to effectively involve Zambians in decisions that affect their lives. The UN System will draw on its worldwide network of resources to develop and augment capacities of Government and implementing partners for building effective institutions and ensuring equitable service delivery.

Joint programming and joint programmes will be pursued more actively than in the previous UNDAF where joint programmes accounted for less than 20% of total resources. However, experiences from pilot “Delivering as One” countries show that the management of joint programmes can be very labour intensive. Therefore, joint programmes will be established, and continued, for programmes and issues which are broad enough in scope and large enough in resources to render the management cost-effective. In addition to joint programming, there will be joint advocacy on the basis of two or more UN agencies undertaking analytical and normative work.

Streamlining and Simplification of Procedures:

One key goal of the UNDAF is to help reduce the administrative cost incurred by the GRZ in the process of its development cooperation with the UN System. To achieve this, efforts will be made to reach broad consensus among participating UN agencies on a consistent approach to programming and operational issues at the country level. Consequently, the UN system will work with the GRZ (and, where necessary/feasible, in consultation with other members of the JASZ) to develop simplified and common sets of relevant guidelines regarding areas such as procurement and the wide adoption of the Harmonized Approach to Cash Transfers (HACT) to Implementing Partners, as well as harmonized rates of remuneration to national project personnel. The UN agencies will provide adequate resources in their country programmes, including CPAPs, to implement HACT initiatives smoothly for the Government to experience efficiency gains.



SECTION 6:

MONITORING & EVALUATION (M&E) FRAMEWORK

The monitoring and evaluation of the UNDAF is an integral part of programme implementation. The M&E framework supports effective monitoring and reporting on UNDAF achievements and aims at evaluating the effectiveness of the UNDAF as a contribution to the national development plan. The UNDAF's monitoring and evaluation mechanisms will, to the extent possible, be linked to mutual accountability mechanisms between Government and cooperating partners. The UN System will advocate for and assist efforts enabling country ownership and capacity building of national institutions, and reducing duplication and fragmentation. The UN System will capitalize on existing M&E systems whenever possible and feasible and provide support in areas in which further strengthening of national systems is required. The indicator matrices for the Monitoring and Evaluation Framework for this UNDAF are included in Annex Table 3. The M&E calendar for the UNDAF cycle is presented in Annex Table 4.

MONITORING

Monitoring the implementation of the UNDAF and evaluating its impact, as well as that of other related agency specific country programmes, will be conducted jointly by the Government and the UNCT. The monitoring arrangements will also enable participating organisations to examine the UN System's catalytic and strategic role in overall development cooperation in Zambia. Monitoring of the UNDAF will be based on the use of a selected number of indicators agreed upon within the UN System and by Government and partners, as reflected in the M&E Matrices. The approach of the UNCT has been to build on national indicators, to the extent possible, instead of developing a parallel indicator framework.

The UNDAF monitoring will track progress towards the agreed results and review assumptions and identified risks. Monitoring of the UNDAF will help the UNCT make any mid-course corrections as part of programme management. Annual progress reviews will be carried out and brief reports produced for each UNDAF Outcome.

Within this framework, external evaluation systems which have been instituted by implementing partners such as the GRZ's Integrated Financial Management Information System, ZamInfo and other regular or periodic surveys will be additional resources for use in monitoring implementation of the UNDAF. This being the ultimate UNDAF before the 2015 target for achievement of MDGs, the UN will pay particular attention to the monitoring of progress towards the MDGs through the MDG progress reports during the UNDAF cycle. The information obtained from these indicators will be linked to M&E systems designed at the Country Programme level and will serve as a basis for the analysis and review of performance, to assess progress made, identify lessons learnt and, if necessary, recommend changes or adjustments in relevant strategies.

EVALUATION

UNDAF evaluations are aimed at determining whether the results have made a worthwhile contribution to national development priorities, and the coherence of UN support. The review of the UNDAF will take place at two critical points in the UNDAF implementation cycle. There will be a mid-term review/evaluation in 2013, and an end-of-cycle evaluation in 2015. The agency specific annual and mid-term reviews will be used as building blocks for the joint UNDAF review processes. These reviews will provide valuable information on the implementation progress of the UNDAF, in terms of progress in achieving results and the effectiveness of coordination mechanisms. The review will inform management actions, annual work plans and the development of the next UNDAF. The timing of the UNDAF reviews will be harmonised with those of the SNDP to ensure that the two processes inform each other.

ANNEXES

ANNEX 1a

ALIGNMENT BETWEEN UNDAF OUTCOMES, MDGS, TREATIES RATIFIED BY ZAMBIA AND SNDP STRATEGIC FOCUS AREAS AND HIGHER SNDP OBJECTIVES

UNDAF Outcome Cluster	Related MDGs	Examples of relevant treaties ratified by Zambia	Examples of related SNDP goals
UNDAF Outcome 1: New HIV infections are reduced by 50 percent by 2015, while scaling up treatment, care and support.	3, 4, 5, 6, 8	- International Covenant on Civil and Political Rights (ICCPR). - International Covenant on Economic, Social and Cultural Rights (ICESCR). - African Charter on Human and Peoples Rights (ACHPR).	SNDP goal on HIV/AIDS: to prevent and continue to reverse the spread and impact of HIV and AIDS by 2015.
UNDAF Outcome 2: Targeted populations in rural and urban areas attain sustainable livelihoods by 2015. Outcome 2 addresses the areas of food security and employment.	1, 7, 3 and 8	- ICESCR. - African Charter on Human and Peoples Rights (ACHPR). - ILO Conventions no. 29 (Forced Labour), 138 and 182 (child labour).	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. 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.
UNDAF Outcome 3: Vulnerable people living in Zambia have improved quality of life and well being by 2015. Outcome 3 addresses human development, including health, education and social protection.	2, 3, 4, 5 & 8	- ICESCR. - Convention on the Rights of the Child (CRC). - Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW). - African Charter on Human and Peoples' Rights (ACHPR). - Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa. - African Charter on the Rights and Welfare of the Child. - Palermo Protocol. - ILO Conventions no. 29 (Forced Labour), 138 and 182 (child labour).	SNDP goal on Health: to attain significant reductions in maternal and child mortality rates in line with health related MDGs. 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. SNDP goal on Social protection: to protect and promote the rights of all vulnerable Zambians by ensuring that incapacitated and low capacity households have sufficient knowledge and capacity to demand and utilize basic services, and are protected from the impact of risk, shocks and shifting vulnerabilities.
UNDAF Outcome 4 People's vulnerability reduced from the risk of climate change, natural and man-made disasters⁹ and environmental degradation by 2015.	1, 3, 7, & 8	- ICESCR. - Convention of Biological Diversity. - Convention to Combat Desertification. - United Nation's Convention on the International Trade of Endangered Species of Fauna and Flora (CITES).	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.
UNDAF Outcome 5 Targeted Government institutions ensure human rights-based and gender responsive policies, frameworks and services by 2015. Outcome 5 addresses the areas of governance (including human rights) and gender equality).	MDG 3 & all other MDGs	- International Covenant on Civil and Political Rights (ICCPR). - International Covenant on Economic, Social and Cultural Rights (ICESCR). - African Charter on Human and Peoples Rights (ACHPR). - Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa.	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.

⁹ Disaster Risk Reduction objectives highlighted under UNDAF Outcome 4 are linked to the Government of Zambia's National Disaster Management Policy and Disaster Management Operations Manual of 2005, and to the Disaster Management Bill passed by Parliament in 2010.

ANNEX 1b

FACTORS CONSTRAINING GROWTH ADDRESSED BY THE SNDP

CATEGORY OF THE CONSTRAINT	DETAILS OF THE CONSTRAINT
Poor social infrastructure	- Poor access to healthcare and its effects on labour productivity, especially in agriculture; - Poor access to education, especially at tertiary level, increasing scarcity of specialized skills; and, - Absence of social protection nets, particularly for the elderly.
Inadequate economic infrastructure	- Inadequate supply of electricity as a result of aging transmission networks, an increasing demand for energy, and slow progress on rural electrification initiatives; - Declining quality of road infrastructure as a result of poor specification and construction, lack of regular maintenance, and a sub-optimally large core road network resulting in resources being spread too thin; - The dismal state of rail networks, creating an immense strain on the road network. In view of Zambia's position as a landlocked mineral exporter and the vast potential for export of agriculture produce, this challenge should be urgently addressed; and, - High degree of informality in enterprises and employment.
High Cost of Doing Business	- Compared to regional averages, transportation and telecommunications costs in Zambia are among the highest, leading to a significantly higher cost of doing business compared with other countries in the region; - There is an absence and/or failure of markets, particularly in rural areas, leading to coordination and information failures that result in high costs of doing business, and increased rural poverty levels; - High interest rates and limited access to affordable financing have reduced business competitiveness, particularly in the case of small and medium enterprises. The high cost of finance poses serious limitation on the ability of businesses to enter the market or expand their operations. Local firms are also at a comparative disadvantage vis-à-vis their foreign counterparts with access to external financing sources; - The existing tax system inequitably burdens businesses through higher income taxes, while the contribution of other tax types continue to under-perform; - Disruptions in fuel supply and inadequate national storage capacity of petroleum products has had a negative impact on the economy; and, - Poor business linkages between anchor industries, such as mining and agriculture, with the rest of the economy have inhibited broad-based economic growth, thereby excluding the majority of the poor from the benefits of high growth.
Inefficiencies in Public Expenditure	- Poor management and implementation of projects. Experience over the FNDP period has demonstrated significant weaknesses in planning and implementation of Government projects. This has resulted in wastage of public resources, and has led to substantial delays in project completion due to poor costing and specifications, insufficient funding or low absorption capacity, and an escalation of cost materials over time¹⁰; - Resources spread too thinly. - No comprehensive enforcement of standards in infrastructure development, resulting in poor workmanship and shoddy construction, leading eventually to dilapidation and reconstruction; - The lack of absorptive capacity by MPSAs, reducing the realization of some FNDP targets; - Annual budget allocation have not matched the FNDP annual projections; - Despite being a priority in the FNDP, areas such as irrigation development and livestock management have received little budgetary attention, and as a result have shown very little progress; and, - Poor coordination among the FNDP, the Medium Term Expenditure Framework and the Annual Budget has prevented effective monitoring of Development Plan resource allocations and utilization, and programme/project performance.

Source: Preliminary draft SNDP Macroeconomic and Fiscal Framework Paper (February, 2010), Section 1.

10. One example that clearly demonstrates the enormity of the problem is the project to construct and realign 90 kilometers of the Kasama-Luwingu Road. Started in 2001, the project was intended for completion within 24 months, at an estimated cost of US\$28.5 million. As of December 2009, Government had paid a total sum of US\$35.8 million, with only 22 kilometers of the road having been completed. The increase in the project cost has been driven mainly by interest accruing due to delays in the release of funds.

ANNEX 2

RESULTS MATRICES

National priority or goal: The SNDP goal on HIV/AIDS is to prevent and continue to reverse the spread and impact of HIV and AIDS by 2015. The SNDP goal and UNDAF Outcome 1 support the achievement of MDGs 3, 4, 5, 6 and 8, and the protection of the human rights of those living with HIV and AIDS.

UNDAF OUTCOME 1:

New HIV infections are reduced by 50 percent by 2015, while scaling up treatment, care and support.

Country Programme Outcomes	Country Programme Outputs	Role of partners	Resource mobilization targets
1.1 Government and partners scale up prevention services to enable the reduction of new infections by 50% by 2015.	1.1.1 Government and partner institutions have technical skills upgraded to revise and implement policies according to the latest guidelines. 1.1.2 Government and partner institutions have revised policies and procedures to scale up comprehensive PMTCT services according to the latest guidelines. 1.1.3 Government and partners have technical capabilities and procedures upgraded to integrate HIV into gender-related policies and plans.	Government: NAC: leading processes for development, coordination and monitoring of national prevention strategy. GIDD, Ministry of Health, Ministry of Education and other Line Ministries: development of policy and supporting implementation. Civil society: NZP+, CHAZ, THAPAZ, ZINGO, ZNAN, ZBCA, NGOCC, ZARAN, AMICAAL, SWAAZ, SFH, ZHECT, YWCA, WLSA, WILDAF, CIDRZ, World Vision, CRS, AAH, AHA, Youth Forum and Youth networks: advocacy, policy dialogue, implementation, monitoring with a focus on evidence of constraints and best practices. Cooperating partners: JFA group of donors, USG and its partners, CIDA, ADB, JICA, EU, DFID, GFTAM: financial and technical support.	USD 18,737,267
1.2 Government and partners scale up integrated and comprehensive ART services for adults and children especially in under-served rural and peri-urban areas by 2015.	1.2.1 Government and partner institutions have technical skills upgraded to scale up integrated ART services based on the latest evidence. 1.2.2 Government and partner institutions have improved mechanisms and procedures to manage essential medicines and ART supply for adults and children. 1.2.3 Government and partners have upgraded technical skills to provide integrated treatment services. 1.2.4 Community-based partners have upgraded skills to raise awareness on availability of integrated treatment services.	Government: NAC: Leading processes for development, coordination and monitoring of universal access strategy. MoH, MACO, MoE, MCDSS, MLGH, HoC, DMMU, MoJ, Human Rights Commission: policy development and support to implementation and monitoring. The National Steering Committee on OVC: leading process for national coordination with NAC, MCDSS and other partners as well as development and implementation of a decentralized National Plan of Action on OV¹¹. Civil society: contribute to advocacy, policy dialogue, implementation, monitoring with a focus on evidence. NZP+: to focus on advocacy and treatment preparedness. World Vision, Care International, CRS, OXFAM, SNV, Concern International, PCI: food distribution, and support to HBC CHAZ (HBC); ZINGO, ZNAN, CHEP, CCF, KARA, Youth Forum, SWAAZ, AAH, AHA.	USD 8,501,667
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.	1.3.1 Government and partner institutions have policies and systems in place to manage non-medical commodities and supplies to mitigate the impact of HIV and AIDS. 1.3.2 Community-based partners have upgraded skills to increase availability of social protection and mitigation services for children and adults affected by HIV and AIDS.	Government: Ministry of Community Development and Social Services, MoH, MoE, Ministry of Youth. Civil society: CBOs, FBOs, ZNAN, CHAZ, NZP+. Cooperating partners: USG, GFATM, JFA group, Canada, EU, ADB: technical, logistical and financial support.	USD 15,595,266

11. Membership NSC OVC includes MCDSS, NAC, MOE, MOH, FBOs, USG, DFID, UNICEF and other development partners

1.4 Government and partners coordinate a harmonized and sustainable multi-sectoral HIV response by 2015.	1.4.1 Government and partner institutions have technical and operational capabilities upgraded to manage and monitor a multi-sectoral response. 1.4.2 Networks of PLWHIV, NGOs, and other marginalized groups have increased capability to advance human rights-based implementation of the NASF.	Government: NAC: Lead processes to develop, monitor and evaluate the National AIDS Strategic Framework 2010-2015. Also leading processes for highlighting critical micro and macro financial issues related to HIV. All ministries (sector and district-level planning), Ministry of Gender and Development, PDCCs, DDCCs: policy and oversight. Cabinet office, MoFNP and Bank of Zambia: To develop fiscal and monetary mechanisms. Permanent Human Rights Commission: Provide policy guidance. Civil society: NZIP+, CHAZ, THAPAZ, ZINGO, ZNAN, ZBCA, NGOCC, ZARAN, Youth Forum, AAH, WVI, AHA: contribute to advocacy, policy dialogue, implementation, monitoring with a focus on evidence of constraints and best practices. Cooperating partners: JFA group¹², USG, GFATM, JICA, ADB, regional economic bodies for technical and financial support. 2 bilateral partners are sub-leads in JASZ support to AIDS sector together with the UN lead.	USD 2,964,400
COORDINATION MECHANISMS AND PROGRAMME MODALITIES:			
The UN will operate within the Sector Advisory Group (SAG) framework of the SNDP and ensure effective linkages and communication between the UNDAF Outcome Group and relevant SAGS and Cooperating Partners Groups (CP groups). Representation in SAGs and CP groups will be as, and on behalf of, the UN. A UN Joint Team on HIV/AIDS (UNJT) has been established at technical level to coordinate the various outcomes and outputs in this outcome area. Two Senior Advisers (Heads of Agencies) will provide strategic guidance on policy and advocacy related matters and ensuring that the outcome groups are on track (quality assurance). The Convener will be responsible for chairing and overall coordination of the UNDAF outcome area and represent the outcome area in the Programme Management Team (PMT). Joint programmes are potentially foreseen in the areas of: i) Mobile populations and transport corridors; ii) Young people and effective coordination on HIV prevention and youth networks. Agencies contributing to the implementation of programmes under each CP outcome are as follows: 1.1 Prevention: UN Joint Team on AIDS 1.2 Treatment: UN Joint Team on AIDS 1.3 Mitigation: UN Joint Team on AIDS 1.4 Coordination: UN Joint Team on AIDS			

¹² The "Joint Financing Agreement" group includes: DfID, Irish Aid, Royal Netherlands Embassy, Norwegian Embassy, Sida

National priority or goals: The SNDP goal on agriculture is 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. The 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. The SNDP goals and UNDAF Outcome 2 promote the right to food and the right to work, among other human rights, and the achievement of MDGs 1, 3, 7 and 8.

UNDAF Outcome 2: Targeted populations in rural and urban areas attain sustainable livelihoods by 2015.

Country Programme Outcomes	Country Programme Outputs	Role of partners	Resource mobilization targets
2.1 Government and partners enable vulnerable populations to be food secure by 2015.	2.1.1 Mechanisms and capacities of Government and partner institutions upgraded for increased access to appropriate financial products and agricultural inputs for small- and medium-scale farmers and other vulnerable groups¹³. 2.1.2 Systems and skills developed in Government institutions to design, implement and evaluate pro-poor and gender responsive food security policies and programmes in accordance with global and regional agreements/protocols/frameworks. 2.1.3 Procedures and capacities upgraded among Government and partners to enable small- and medium-scale farmers, rural producers to have more diversified opportunities for market linkages.	Government: NFNC, MOE, MCDSS, MOH, MACO, Ministry of Livestock and Fisheries, PRDRPII, MYSCD, MCTI, MSTVT, MLSS, MOJ, MCDSS, MoFNP, MGWD, MLDNAC, MLGH, NYDC, ZDA, CEEC, Zambia Bureau of Standards, UNZA: Evidence based planning, research, implementation, programming, policy development, monitoring and evaluation, partnership, legislation and enforcement. Civil Society: PAM, WVI, CRS, CARE, C-FAARM, ACF, CARE, CSPR, WV, SNV, ZCTU, FFTUZ, ZFE, ZAPD, ZAFOD, Association of Women in Business, ZNFU, media organisations, cooperatives: Implementation, policy dialogue, advocacy and lobbying, monitoring and evaluation, research, technical assistance. Cooperating Partners: Profit/USAID, Japan (JICA) World Bank, Netherlands, Finland, Sweden, EU, USAID, AfDB: Policy dialogue, technical assistance, financial support, monitoring and evaluation including MDGs, research, technical assistance. Private Sector: Millers, ZCSMBA, GART, ZNFU, Lloyd Financial Services, DUNAVANT, ZAMACE, Zambia Agribusiness Technical Assistance Centre (ZATAC): Partnerships, co-financing, implementation, corporate social responsibility, research and development.	USD 48,240,667
2.2 Government and partners provide targeted groups¹⁴ with opportunities for gainful and decent employment by 2015.	2.2.1 Skills and awareness developed among employers and employees in formal and informal sectors¹⁵ to adopt and implement Decent Work¹⁶ Principles. 2.2.2 Capacity among Government and partners developed to ensure access to economic resources and support services¹⁷ for vulnerable groups. 2.2.3 Systems and skills developed in Government and partner institutions to effectively design, implement and evaluate pro-poor and gender responsive employment and labour policies and programmes in accordance with global and regional agreements/protocols/frameworks.	Government: MCTI, MLSS, ZDA, CEEC, CRB, MACO, MOL, MSTVT, MLGH, MCTI, Min of Livestock and Fisheries, PRDRPII, MOE, MYSCD, MLSS, MOJ, MCDSS, MoFNP, MGWD, NAC, NYDC, Zambia Bureau of Standards, UNZA: Evidence based planning, research, implementation, programming, policy development, monitoring and evaluation, partnership, legislation and enforcement. Civil Society: ZBCA, ZFE, ZCTU, FFTUZ, ZWAP, HIV&AIDS workplace response coordination team, SHARE, ZCTU, Entrepreneurship Associations for Youth, Women and people with disabilities, ACF, CARE, CSPR, WV, PAM, SNV, Water Aid Zambia, ZAPD, ZAFOD, media organisations, cooperatives: Implementation, policy dialogue and advocacy and lobbying, monitoring and evaluation, research, technical assistance. Cooperating Partners: USAID, RNE, Finland, World Bank, Profit/USAID, JICA Netherlands, Finland, Sweden, EU: Policy dialogue, technical assistance, financial support, monitoring and evaluation including MDGs, research. Private Sector: Financial Institutions, BDS providers, DBZ, Micro Bankers Trust, AMIZ, ZCSMBA, ZNFU, GART, Lloyd Financial Services, DUNAVANT: Partnerships, co-financing, implementation, corporate social responsibility, research and development.	USD 11,781,333

¹³ Other vulnerable groups refers to refugees, the aged, persons with disabilities, HIV&AIDS affected households, People Living with HIV&AIDS, Female headed households, Child headed households, disadvantaged women, disadvantaged girls, disadvantaged children, youth and migrant populations

¹⁴ MSMEs, youth, women, people with disabilities and people living with HIV/AIDS

¹⁵ Zambia Federation of Employers; ZCTU; FFTUZ; ZDA; Associations of women, youth, people with disabilities; Ministry of Labour and Social Security

¹⁶ Decent Work Agenda- Rights at work, employment, social protection and social dialogue.

¹⁷ Land, Finance, Business Development Services, micro-insurance, skills development, appropriate technology, agriculture and non-agricultural inputs

COORDINATION MECHANISMS AND PROGRAMME MODALITIES:

The UN will operate within the Sector Advisory Group (SAG) framework of the SNDP and ensure effective linkages and communication between the UNDAF Outcome Group and relevant SAGS and Cooperating Partners Groups (CP groups). Representation in SAGs and CP groups will be as, and on behalf of, the UN.

Two Senior Advisers (Heads of Agencies) will provide strategic guidance on policy and advocacy related matters and ensuring that the outcome groups are on track (quality assurance). The Convener will be responsible for chairing and overall coordination of the UNDAF outcome area and represent the outcome area in the Programme Management Team (PMT).

Joint programmes are foreseen in the area of Broad-Based Wealth and Job Creation (existing and to be continued under this UNDAF). Issues to be addressed under the joint programme might include youth employment; creative industries; economic empowerment of women; and commercialisation of cassava, peanuts, honey, hides and skins.

Agencies contributing to the implementation of programmes under each CP outcome are as follows:

2.1: FAO, IFAD, WFP, IOM, ILO, UNFPA, UNDP, UNECA, UNHCR, UNICEF, ITC, IAEA

2.2: ILO, UNDP, UNFPA, UNECA, UNICEF, WFP, UNCTAD, UNESCO, UNIDO

National priority or goal: Several SNDP goals are relevant to UNDAF Outcome 3 including (among others) the goals in the areas of health, education and social security. The SNDP goal on health is to attain significant reductions in maternal and child mortality rates in line with health related MDGs. The specific SNDP goals on education include (for example) 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. The SNDP goal on social protection is to protect and promote the rights of all vulnerable Zambians by ensuring that incapacitated and low capacity households have sufficient knowledge and capacity to demand and utilize basic services, and are protected from the impact of risk, shocks and shifting vulnerabilities. The SNDP goals and UNDAF Outcome 3 contribute to the achievement of MDGs 1-7 and promote the rights to health, food, education and social security.

UNDAF Outcome 3: Vulnerable people living in Zambia have improved quality of life and well being by 2015.

Country Programme Outcomes	Country Programme Outputs	Role of partners	Resource mobilization targets
3.1 Government and partners improve equitable access of vulnerable groups¹⁸ to quality health, nutrition, water and sanitation services by 2015.	3.1.1 Government institutions and partners have skills and capacity to provide equitable quality preventive and curative health, nutrition, water and sanitation services in vulnerable communities. 3.1.2 Communities are enabled to demand, access and manage quality services for their health and nutrition needs. 3.1.3 Communities are enabled to demand, access and manage quality services for their water and sanitation needs.	Government: MoH, NAC, MoE, NFNC, MoLGH, DMMU, VAC, MACO: responsible for service provision but also leadership and standard setting and oversight of service delivery throughout the country in the health, nutrition and WASHE sectors. MoSYCD, MACO, MCDSS: support service delivery mechanisms (not directly responsible for service provision in the indicated sectors). NFNC, MoH, DMMU (VAC), MACO, NAC MoH, MoLGH, NAC, MoSYCD, MoE, MACO, NFNC, MCDSS, NAIS MoE (output 3.1.2): community empowerment for service demand, capacitation of community level actors to understand and respond proactively to their own health, nutrition, water and sanitation realities, training and service delivery at the community level to respond to increasing community awareness and demand for services. CSO, UNZA, MoFNP, MoH, MoLGH, NFNC, DMMU: co-ordinating information collection and analysis. Civil society: CHAZ, Family Health International, World Vision, CARE International and other USAID funded projects: health service delivery. NGO WASH forum: NGO-coordination in the WASHE sector with key actors such as WaterAid and AfriCare. Clinton Foundation and CDC: systems strengthening through technical and financial support. Clinton foundation Valid International, CHAZ and CRS, CARE, CFAM, World Vision, Society for Family Health (SFH): grass-roots level capacity development and mobilization. Cooperating Partners: USAID, DFID, CIDA, SIDA, GTZ, Netherlands, Danida, EU and JICA in the Health sector. Danida, GTZ, and AfDB in the Water and Sanitation sector: governmental and non-governmental programming in the sectors, providing funds and technical support, systems strengthening through planning, financial and technical inputs. EU, Dfid, Macepa, USAID: financial and technical support in the area of information collection and analysis.	USD 75,100,000

18. Strategically, all three Country programme Outcomes also centre on a concept of inclusion of the most vulnerable – those for whom services remain elusive. This would include but not be limited to the physically and mentally disabled, those affected by emergencies, migrants, the urban and rural poor, women and children. These would include, for example, out-of-school children, children not growing up with their parents, child labourers, children in very remote areas and people and households affected by HIV and AIDS.

3.2 Government and partners provide boys and girls with increased access to free and inclusive quality education by 2015.	3.2.1 Systems and skills in place within government and non-governmental organisations to provide equitable, inclusive and quality early childhood, basic and post basic education especially in rural communities. 3.2.2 Non-formal education providers have skills and capacity to give vulnerable out of school children youth and adolescents improved relevant formal and non-formal education and development.	Government: MoE, MSTVT and TEVETA: providing services and co-ordinating the work of other state and non-state actors. MCDSS, MoLGH, MoL, and MYSCD: provide support. MoE, CSO, MSTBT, MCDSS, MoSYCD: co-ordinate information collection and analysis. Civil society: ZOCs (community school co-ordination), ZANEC, CAMFED, FAWeza, Plan international, World Vision, Save the children and other community based FBOs, CBOs and NGOs which support community schools throughout the country: educational service provision and co-ordination. ZOCs, ZANEC, CAMFED, FAWeza, Plan international, World Vision, Save the children, FBOs, CBOs, NGOs: provision of non-formal education services, in partnership with government and UN. ZOCs, ZANEC, CAMFED, FAWeza and Save the children: support data collection, monitoring and evaluation actions to feed into national systems. Cooperating Partners: CPCC and PCC members. Netherland, IrishAid, Danida, JICA, USAID, EU: support data collection.	USD 69,600,000
3.3 Government-led social protection system protects vulnerable groups and families from human rights abuses and extreme poverty by 2015.	3.3.1 Effective models for delivery of social protection services in place in relevant government institutions. 3.3.2 Government and partners have technical capacity to promote protection of and support to vulnerable groups from violence, exploitation and abuse.	Government: MCDSS and MoLSS, with support from MoJ, MYSCD, MHA, MoE and MOFNP: co-ordination of social protection actions in the country, policy development and planning, internal systems strengthening to ensure sustainability. Key statutory, service delivery and co-ordination roles in this include MCDSS, MoLSS, MoJ, MoFA, MHA, MYSCD, Commissioner for Refugees, Permanent Human Rights Commission, VSU, and MoE, with additional support from GIDD and MoH. MCDSS, MoL, MoJ, MoFA, MHA, MYSCD, Permanent Human Rights Commission, VSU and MoE with secondary support from GIDD and MoH: set effective monitoring and evaluation frameworks. Civil society: WLSA, CHIN, YWCA, WILDAF, OXFAM, CARE International, CHIN, other NGOs and INGOs, FBOs, trade unions, employer organizations: provide services and co-ordinate among themselves and government partners for standard setting and implementation. JCTR, CSPR: focus on social protection work WLSA, CHIN, YWCA, WILDAF, OXFAM, Other NGOs and INGOs, FBOs, trade unions, employer organizations: supporting evidence generation. Cooperating partners: DFID, Irish AID and Norway: traditional funding role and technical support role, along with the UN. US Government, EU, DFID, Netherlands, Irish Aid: situation monitoring, research, evaluation, analysis and dialogue.	USD 19,200,000
COORDINATION MECHANISMS AND PROGRAMME MODALITIES:			
The UN will operate within the Sector Advisory Group (SAG) framework of the SNDP and ensure effective linkages and communication between the UNDAF Outcome Group and relevant SAGS and Cooperating Partners Groups (CP groups). Representation in SAGs and CP groups will be as, and on behalf of, the UN. Two Senior Advisers (Heads of Agencies) will provide strategic guidance on policy and advocacy related matters and ensuring that the outcome groups are on track (quality assurance). The Convener will be responsible for chairing and overall coordination of the UNDAF outcome area and represent the outcome area in the Programme Management Team (PMT). Joint programmes are potentially foreseen in the areas of (i) Human Trafficking (existing and to be continued under this UNDAF) (ii) Maternal and new-born health (integrated services), (iii) Community based malnutrition prevention, and (iv) Most vulnerable children/child labour. Agencies contributing to the implementation of programmes under each CP outcome are as follows: 3.1 WHO, IOM, UNFPA, UNHCR, UNECA, UNICEF, WFP, IAEA, OHCHR, UN-HABITAT 3.2 UNICEF, WFP, UNESCO, UNFPA, ILO, OHCHR 3.3 UNICEF, ILO, IOM, UNHCR, WFP, OHCHR			

National priority or goal: The SNDP goal on Environment is 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. The SNDP goals and UNDAF Outcome both contribute to the attainment of MDGs 1, 3, 7 and 8 and the protection of people's human rights against the threat of climate change and environmental degradation.

UNDAF Outcome 4: People's vulnerability reduced from the risk of climate change, natural and man-made disasters and environmental degradation by 2015.

Country Programme Outcomes	Country Programme Outputs	Role of partners	Resource mobilization targets
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.	4.1.1 A legal framework for coordination of disaster response and management developed. 4.1.2 The government has established a Geographic Information System (GIS) Hazard Risk Map on natural- and human-induced disasters. 4.1.3 Government sentinel sites have capacity to provide data on food security, nutrition, health, water and sanitation, and disaster information. 4.1.4 Skills of DMMU staff at national and provincial levels developed to use national disaster management and early warning systems.	Government: DMMU: overall management/coordination and implementation. MET: provision of climate-related data. MoH, Agriculture and Local Government: defining vulnerability profiles. Ministry of Energy through Department of Water Affairs and / ZESCO: provision of data and monitoring water levels (in dams). Civil society: NGOs and CBOs: Care, CRS, World Vision, Oxfam, Concern Worldwide: data provision. ZRDF, Africare, ADRA, Keepers Zambia: advocacy and coordination. Cooperating partners: USAID, DFID, EU and Germany: resource provision and technical assistance.	USD 8,458,000
4.2 Government promotes adaptation and provide mitigation measures to protect livelihoods from climate change.	4.2.1 Technical and operational capabilities developed in Ministry of Agriculture and Cooperatives to promote sustainable land management and agricultural practices to adapt to the risks of climate change among small scale farmers. 4.2.2 Agriculture, land and forestry policies and legal frameworks revised to take into account climate change. 4.2.3 Systems and skills developed in MTENR for improved mobilization and management of non-ODA funds from carbon financing and pro-poor ecosystem service markets. 4.2.4 Skills to promote energy saving, and renewable energy, developed in Government and national institutions.	Government: Ministry of Tourism, Environment and Natural Resources, Ministry of Agriculture, Local Government, community development, Communication and Transport (Meteorological dept): overall coordination; policy setting, programme design and implementation MOFNP, Ministry of Commerce: main implementers (4.2.4). Rural Electrification Authority, Energy Regulation Board, ZESCO Civil society: NGOs: Oxfam, World vision and others: delivery of services Conservation Farmers' Union, Peasant Farmers' association: training and advocacy. Cooperating partners: Norway, Finland, World Bank and Denmark: technical assistance, technical assistance, policy advice.	USD 18,979,000

4.3 Government implements policies and legal frameworks for sustainable community based natural resources management.	4.3.1 Mechanisms upgraded and functional to ratify/domesticate conventions on biodiversity conservation, combating desertification, climate change, ozone depletion substances, water and CITES. 4.3.2 Gender sensitive livelihood partnerships scaled up by MTENR and Ministry of Community Development and Social Services (MCDSS) to promote community participation in natural resource management. 4.3.3 Plans and mechanisms established by MTENR to promote environmental awareness at national and local levels. 4.3.4 Technical and operational capabilities developed in targeted Government institutions to introduce cleaner production practices and renewable energy alternatives.	Government: MTENR, Ministry of Trade and Industry, Forestry Department, Department of Water and Energy, Ministry of Community Development: overall coordination and implementation. Ministry of Education: curriculum development. Civil society: NGOs: IUCN, WWF, Africa Parks, World Vision, WCS. Cooperating partners: Norway, Finland, World Bank and Denmark: technical assistance, technical assistance, policy advice.	USD 10,419,548
COORDINATION MECHANISMS AND PROGRAMME MODALITIES:			
The UN will operate within the Sector Advisory Group (SAG) framework of the SNDP and ensure effective linkages and communication between the UNDAF Outcome Group and relevant SAGS and Cooperating Partners Groups (CP groups). Representation in SAGs and CP groups will be as, and on behalf of, the UN. The UN will also coordinate with the Disaster Management and Mitigation Unit (DMMU). Two Senior Advisers (Heads of Agencies) will provide strategic guidance on policy and advocacy related matters and ensuring that the outcome groups are on track (quality assurance). The Convener will be responsible for chairing and overall coordination of the UNDAF outcome area and represent the outcome area in the Programme Management Team (PMT). Joint programmes are envisaged in (i) DRR Information Management Platform; (ii) Reducing Emissions from Deforestation and Forest Degradation (REDD). Agencies contributing to the implementation of programmes under each CP outcome are as follows: 4.1: WFP, FAO, IOM, UNDP, UNFPA, UNHCR, UNICEF, WHO, UN-HABITAT 4.2: UNDP, FAO, IOM, UNHCR, UNICE, UNECA, WFP, UNIDO, UNCCD/Global Mechanism, UNEP, UNESCO, UN-HABITAT 4.3: UNDP, FAO, UNCCD/Global Mechanism, UNESCO, UNICEF, WFP, UNIDO			

National priority or goals: 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. The SNDP goal on gender is 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. The SNDP goals and UNDAF outcome 5 supports the attainment of MDG 3, other MDGs and the commitments expressed in the Millennium Declaration and the promotion of a broad range of human rights.

UNDAF Outcome 5: Targeted Government institutions ensure human rights-based and gender responsive policies, frameworks and services by 2015.

Country Programme Outcomes	Country Programme Outputs	Role of partners	Resource mobilization targets
5.1 Individuals have knowledge and ability to claim human rights for effective participation in development and democratic processes by 2015.	5.1.1 Skills and systems developed in targeted government institutions to domesticate, monitor progress and report on regional and international human rights treaties, conventions, and protocols. 5.1.2 Systems and skills developed in institutions responsible for democratic governance to increase participation in democratic processes and accountability. 5.1.3 Skills developed in governance institutions to systematically and independently monitor and oversee participation in development processes. 5.1.4 Participatory fora established and capabilities developed in civil society organisations (CSOs) and media organizations to educate communities, advocate, monitor and report on human rights.	Government: MoFA, MoJ and Cabinet Office: coordinate domestication of international treaties, conventions and protocols. Line ministries and Cabinet Office: leadership, coordination, resource mobilization, service delivery, monitoring and state party reporting. Electoral Commission of Zambia (ECZ): implementation of electoral policy and associated legal frameworks. National Assembly of Zambia (NAZ): Legislation and oversight on government resource management and performance. Human Rights Commission: Advocates for human rights, oversight, technical support and implementation of human rights programs. Ministry of Home Affairs: Maintenance of the civil registers and integrate registration database, data management and information sharing. The Judiciary will be responsible for implementation of child friendly courts, reporting and providing leadership in adjudicating human rights issues. Cabinet office: Coordinate policy formulation and evaluation. MLGH: Policy formulation and revision; coordination of programmes; resource mobilization and disbursement to local authorities; development of legal frameworks; formulating and implementing programs for decentralised governance; knowledge generation and dissemination; monitoring and evaluation of programmes, policies, institutions and frameworks, and reporting. The Local Government Association of Zambia (LGAZ): Coordinating programmes and putting in place rights based standards for local governance; advocate for increased implementation of the decentralization policy. NAZ: Responsible for legislation and oversight on decentralisation programmes and supporting participatory development processes through the constituency offices. Local authorities: responsible for coordination of activities at district level.	USD 14,090,667

5.2 Targeted government institutions reduce legal and cultural practices obstructing the realization of gender equality by 2015.	5.2.1 Skills and systems developed in targeted government institutions to mainstream gender into legal frameworks, policies, plans and programmes. 5.2.2 Skills and mechanisms of statutory and customary law-makers, enforcement agencies and adjudicators enhanced to promote and implement CEDAW provisions.	Government: Cabinet Office (GIDD): technical assistance, oversight, monitoring and reporting on gender mainstreaming in line ministries and other national institutions; collection of gender disaggregated data, analysis and dissemination. Central government, district and sub-district governance structures, CSOs, and the House of Chiefs: Advocacy, formulation, implementation and reporting on frameworks for implementation of CEDAW. All Line ministries, Cabinet Office, and other national institutions: responsible for coordination, implementation, and reporting on projects and programmes focused on data collection, analysis, management, and dissemination. Zambia Police Service and DPP: enforcement of gender laws. The judiciary: Adjudicating gender matters. NAZ: Support legislation and oversight on formulation and implementation of CEDAW based policies, institutions, frameworks, and programmes. Civil society: CSOs, NGOs, CBOs, Women groups: advocacy, implementation, monitoring and reporting on partnerships and women's empowerment programmes; design and implementation of empowerment programs for women. The Zambia Association of Research and Development: Collaboration with NGOCC and GIDD on a gender responsive budget programme.	USD 14,031,333
COORDINATION MECHANISMS AND PROGRAMME MODALITIES:			
The UN will operate within the Sector Advisory Group (SAG) framework of the SNDP and ensure effective linkages and communication between the UNDAF Outcome Group and relevant SAGS and Cooperating Partners Groups (CP groups). Representation in SAGs and CP groups will be as, and on behalf of, the UN. A UN Theme Group on Gender has been established. Two Senior Advisers (Heads of Agencies) will provide strategic guidance on policy and advocacy related matters and ensuring that the outcome groups are on track (quality assurance). The Convener will be responsible for chairing and overall coordination of the UNDAF outcome area and represent the outcome area in the Programme Management Team (PMT). Joint programmes are potentially foreseen in: i) Gender equality; ii) Support to Parliament (e.g. for the work of caucuses and in the areas of legislation, MDGs advocacy and human rights advocacy). Agencies contributing to the implementation of programmes under each CP outcome are as follows: 5.1: UNDP, ILO, IOM, UNESCO, UNECA, UNFPA, UNHCR, UNICEF, WHO, OHCHR, UN-HABITAT 5.2: UNDP, ILO, IOM, UNECA, UNESCO, UNHCR, UNICEF, UNIFEM, WFP, OHCHR			



ANNEX 3

M&E FRAMEWORK

UNDAF OUTCOME AREAS	PERFORMANCE FRAMEWORK			Means of Verification	Risk & assumptions
	Indicator	Baseline	Target		
UNDAF Outcome 1: New HIV infections are reduced by 50 percent by 2015, while scaling up treatment, care and support % of patient on ART and still alive after 12 months of enrollment - by age, sex and geographic area. Ratio of OVC at school versus non-orphans - by age, sex and geographic area.	50% reduction of new infections - by age, sex.	80,000* ¹⁹ 8000 / 72,000 (C/A)	40,000 4,000 / 39,000 (C/A)	MOT, Epidemiological synthesis Report	Availability of efficacious regime.
	85%*	95%	HMIS, NACMIS	Funding for treatment available as well as improvement in the quality of services	
	0.93*	1	SBS (DHS)	Current mitigation services on education sustained	
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
1.1 Government and partners scale up prevention services to enable the reduction of 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 geographic area.	48%*	80%	MOT, DHS, SBS	Regular and timely update of MOT and Estimate and Projections Report by government.
	% of 15-24 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 geographic area.	40%*	98%	MOT, DHS, SBS	Regular and timely update of MOT and Estimate and Projections Report by government. Address Social desirability bias.
	Percentage of (MARPs) female sex workers who received an HIV test in the last 12 months and who know their results.	71.3%	98.5%	MARP BSS	Government have funds to sustain the BSS.
	% of men circumcised in Zambia - by age and geographic area.	12.3%	45%	DHS, MOT	Government and traditional Leaders supports strongly MC services.
Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
1.1.1 Government and partner institutions have technical skills upgraded to revise and implement policies according to the latest guidelines.	Existence of NASF, NHSP, and other sector plans, which are based on the latest evidence. ²⁰	NASF/NHSP 2006-2010	NASF, HIV policy revised reflect a focus on women and girls and inequality	PAF, JAPR, UNJT Annual Reviews, special surveys	HIV is placed at top most priority of government.
	% of Sectors have integrated workplace policy and strategies based on the latest evidence.	60%	100%	PAF, JAPR, UNJT Annual Reviews, special surveys	Cabinet implements existing HIV workplace strategies and operational plan.
	TB/HIV policy revised.	2005 HIV Policy	HIV/TB Policy revised and approved	JAPR, UNJT Annual reviews	Government continue to scale-up integration of TB and HIV services

19. For baselines followed by an asterisk (*) disaggregated data will become available during the UNDAF cycle.

20. Focus on the six drivers of sexual transmission of HIV, gender inequality and other inequalities.

UNDAF OUTCOME AREAS	PERFORMANCE FRAMEWORK			Means of Verification	Risk & assumptions
	Indicator	Baseline	Target		
1.1.2 Government and partner institutions have revised policies and procedures to scale up comprehensive PMTCT services according to the latest guidelines.	% of pregnant women and their partners who were tested for HIV and know their results - by age and geographic area.	30%, 2009*	80%	HMIS, NARF, UA Report, UNGASS Report 2009, Evaluation studies.	Government develops policy that improves male involvement in PMTCT services.
	% of HIV + pregnant women who receive most efficacious ARVs to reduce the risk of MTCT - by age and geographic area.	60% 2009*	85%	PMTCT Evaluation studies, UNGASS, HMIS, NARF.	Government funding for PMTCT is scaled-up.
	Existence of revised National PMTCT Scale-up Plan.	2006-2010 PMTCT Scale-up Plan and guidelines	2011-2015 PMTCT scale-up Plan revised based on the latest evidence.	PMTCT Evaluation studies, UNGASS, HMIS, NARF.	
1.1.3 Government and partners have technical capabilities and procedures upgraded to integrate HIV into gender-related policies and plans.	Existence of Revised Gender Policies and strategies, which are based the latest evidence.	2006-2010 GIDD Strategic Plan	2011-2015 GIDD plan revised, based on the latest evidence and linked to the 2011-2015 NASF	UNJT Report NARF Report Special survey Self coordination groups; independent evaluation.	GIDD and NAC with improve collaboration.
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
1.2 Government and partners scale up integrated and comprehensive ART services for adults and children especially in under-served rural and peri-urban areas by 2015.	% of total ART centres in rural areas.	19%	35% accredited	HMIS, NACMIS.	Scale-up of the TB/HIV integration.
	% of ART service delivery points integrated into PMTCT and other services.	64%	100%	MCZ ART Accreditation Summaries.	MOH develop mechanisms of integration.
Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
1.2.1 Government and partner institutions have technical skills upgraded to scale up integrated ART services based on the latest evidence.	Existence of Revised HIV/AIDS policy disseminated to all provinces.	2005-2010 ART Scale-up Plan	2011-2015 ART Plan based on the latest evidence.	SMARTCARE, HMIS Report.	Government commitment is sustained. MOH strengthens its referral systems.
1.2.2 Government and partner institutions have improved mechanisms and procedures to manage essential medicines and ART supply for adults and children.	% ART facilities reporting stock-outs of OI medicines for adults and children - by province and district.	10%*	0%	HMIS Reports, DHS, SBS, Health facility survey.	MOH and NAC harmonize M&E system.
	% of adults 15-49 years with advanced HIV infection receiving most efficacious ARV therapy - by age bands, sex, and geographic area.	70%, 2009*	85%	HMIS Reports, DHS, SBS Health facility survey.	MOH sustained funding of ART commodities.
1.2.3 Government and partners have upgraded technical skills to provide integrated treatment services.	% of TB and HIV patients accessing ART and care - by age, sex, and geographic area.	39%, 2007	70%	HMIS Report, DHS, SBS Health facility survey.	MOH sustained funding of ART commodities.
	% of PLWHA on ART, in need, provided with nutritional supplements - by age, sex, and geographic area.	60%*	90%	HMIS Report, DHS, SBS Health facility survey.	MOH scale-up Integration.
1.2.4 Community-based partners have upgraded skills to raise awareness on availability of integrated treatment services.	Communication tool-kit, based on the latest evidence, exists for community-based partners to raise awareness of ART.	2007 Draft Tool exists.	Community tool-kit updated and disseminated.	HMIS, Special survey, NACMIS	New NASF strengthens community response.
	% of support groups and HBC organizations 'supported with skills and materials in catchment areas of ART centres - by province and district.	40%*	80%	HMIS, Special survey, NACMIS.	

UNDAF OUTCOME AREAS	PERFORMANCE FRAMEWORK			Means of Verification	Risk & assumptions
	Indicator	Baseline	Target		
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
1.3 Government and its partners develop and implement social protection policies and strategies to mitigate the impact of HIV&AIDS among vulnerable groups by 2015.	OVC aged 17 years and below whose households received free basic external support as % of projected number of AIDS-induced OVC - by region.	16-62 % (range)	50-80 % (range)	OVC Situation Analysis Report, MCDSS Annual Report, NARFs – NAC Annual Reports.	Government and partners continue to priorities most vulnerable children and scale-up child protection interventions.
	% of schools that provided life-skills based HIV&AIDS education in the last academic year - by geographic area.	60 % *	80 %	UNGASS, ZDHS, JAPRs, and EIMS Reports.	Government continues to promote free basic education policy and bursaries for vulnerable children.
	% of PLHIV who are accessing social protection mechanisms. – by sex.	10 % (PLHIV by sex accessing non cash sustainable livelihood services). 15% (HIV related support groups with access non cash sustainable livelihood services).	50 % 50%	NARF Report UNGASS Report UA Report Project Reports.	Government and partners remain committed to development of the GIPA strategy.
Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
1.3.1 Government and partner institutions have policies and systems in place to manage non-medical commodities and supplies to mitigate the impact of HIV and AIDS.	% of vulnerable adults and children with HIV known to be on treatment who need it, receiving adherence support (<i>nutrition, welfare, HBC etc</i>).	10%	50 %	NACMISS, HMIS, OVC situation analysis, Annual Reports and MTR SNDP 2010-2015, UNGASS Report, Project Reports.	Ongoing efforts by Government and Partners to strengthen the multi-sectoral response to HIV&AIDS continue.
	% Local/Municipal Authorities with HIV Workplace Policies, service directories and Response Committees - by district and province.	60% - 98 %*	100%	Operational Research, NARF Reports Annual LGAZ Reports.	Support for AMICAAL is sustained.
1.3.2 Community-based partners have upgraded skills to increase availability of social protection and mitigation services for children and adults affected by HIV and AIDS.	% of social protection interventions, incorporating being HIV-affected, as a targeting criteria.	Less than 5 %	75 % (PLHIV included as criteria)	Government criteria for support; MTR Social Protection Strategy and SNDP; UNGASS Report.	Government and partners remain committed to scaling-up HIV-sensitive social protection interventions as well as HIV&AIDS mainstreaming in development frameworks.
	% reduction in HIV-related stigma (internal and external).	80 – 90 %	Less than 50%	ZDHS, SBS, UNGASS Report, NARF Reports, Project Reports, Stigma Index.	Government and partners remain committed to development and implementation of Stigma Reduction strategies.

UNDAF OUTCOME AREAS	PERFORMANCE FRAMEWORK			Means of Verification	Risk & assumptions
	Indicator	Baseline	Target		
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
1.4 Government and partners coordinate a harmonized and sustainable multi-sectoral HIV response by 2015.	% of domestic funds available to support the national response.	14%	30 %	Expenditure tracking.	Options for alternative financing explored AIDS Fund Established.
Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
1.4.1 Government and partner institutions have technical and operational capabilities upgraded to manage and monitor the multi-sectoral response.	Evidence of NAC structure meeting its functional demands.	NAC exists	Structure revised base on review evidence and 'the three ones' principle.	Joint Funding Agreement Evaluation Report (JFA), NAC Report, UA Report, SIA Report, NAC Evaluated.	JFA funding does not stop.
	% of NASF funded.	80%	100%	NASA, JAPR	External funding will not increase.
1.4.2 Networks of PLWHIV, NGOs, and other marginalized groups have increased capability to advance human rights-based implementation of the NASF.	Evidence of participation of civil society and marginalized groups.	National Policy Composite Index (NPCI) 2010	NPCI 2015	NPCI/UNGASS	Government committed to increase genuine participation of civil society and marginalized groups.

UNDAF OUTCOME AREAS	PERFORMANCE FRAMEWORK			Means of Verification	Risk & assumptions
	Indicator	Baseline	Target		
UNDAF Outcome 2: Targeted populations in rural and urban areas attain sustainable livelihood by 2015.	Proportion of population living in extreme poverty - by sex and geographic area.	51% (T) 67/20% (R/U) 2006*	29% (T)	CSO reports LCMS	Government continues to implement pro-poor policies.
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
2.1 Government and partners enable vulnerable populations to be food secure by 2015.	% increase in the number of targeted households with an adequate food consumption score.	Tbd ²¹	Tbd	NFNC / WFP reviews and reports	Relevant Ministries are adequately funded in the budget.
	% of households with a dietary diversity score higher than 7.	68% 79.2/55.6% (R/U)	100%	NFNC / WFP reviews and reports	Government ministries have adequate capacity to implement policies and programmes.
	Proportion of population below minimum level of dietary energy consumption (%).	51 (2006)	29	LCMS	
Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
2.1.1. Mechanisms and capacities of Government and partner institutions upgraded for increased access to appropriate financial products and agricultural inputs for small- and medium-scale farmers and other vulnerable groups ²² .	Number of small and medium farmers and other vulnerable groups that have access to micro-finance.	Tbd ²³	> 60 %	Crop Forecasting Survey (CFS) and Post-Harvest Survey (PHS) Reports from MACO and Central Statistical Office (CSO).	Government has personnel that are willing to be equipped with knowledge and skills to enable small and medium scale farmers access appropriate financial products.
	Number of small and medium scale farmers and other vulnerable groups accessing adequate quantities of fertilizers ²⁴ .	500,000	1,000,000	Farmer input support programme reports	Government has in place the financial frameworks to support access to financial products. Financial institutions are willing to participate. Risk of high turn-over of staff.

2.1.2 Systems and skills developed in Government institutions to design, implement and evaluate pro-poor and gender responsive food security policies and programmes in accordance with global and regional agreements/protocols /frameworks.	Proportion of targeted institutions that implement pro-poor and gender responsive food security policies.	Tbd ²⁵	100%	Ministry reports and policies (MACO, MOH-NFNC, , MCDSS, MLFD, GIDD, MTENR) SNDP reviews.	Government has the appropriate structures in place to implement and evaluate pro-poor and gender responsive policies and programmes.
	Number of food security policies designed and evaluated that are gender responsive and pro-poor.	Tbd ²⁶	100 %	Policy Analysis and Coordination (PAC) Division of Cabinet Office.	
2.1.3 Procedures and capacities upgraded among Government and partners to enable small- and medium-scale farmers, rural producers to have more diversified opportunities for market linkages.	Number of farmers that are able to sell their produce as a percentage of producers.	28.4%	> 40 %	Report by MACO and Agriculture Consultative Forum, and Michigan State University 2007 Reports. Agency reports (FAO, WFP); Cooperatives Dept.-MACO Quarterly and Annual Reports; ZNFU Reports; ZCF Reports.	Government has adequate structures in place to support market linkages.
	Quantities of agricultural produce purchased by FRA from Small-scale Farmers each marketing season.	198,630 Mt-Maize 909 Mt-Rice; 0 Mt-Cassava, 0 Soybeans, 0 Groundnuts (2009)	450,000Mt-Maize 2000 Mt-Rice; 3,500 Mt-Cassava ; 1,000 Mt Soybeans ; 1,000 Mt Groundnuts	FRA yearly marketing season reports.	
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
2.2 Government and partners provide targeted groups²⁷ with opportunities for gainful and decent employment by 2015.	Employment to population ratio.	77.8% (T) 80.8/74.8% (M/F)	90% (T) 90/90% (M/F)	LFS	Relevant Ministries are adequately funded in the budget.
	Working poor.	3,618,000	500,000	LFS	
	Informal sector employment.	90%	30%	LFS	
Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
2.2.1 Skills and awareness developed among employers and employees in formal and informal sectors ²⁸ to adopt and implement Decent Work ²⁹ Principles.	Workers access to justice.	23 labour offices to working population 2 industrial relations courts to working population	38 labour offices to working population 8 industrial relations courts to working population	LFS, MOLSS reports. LFS, MOLSS reports.	Government remains committed to creation of gainful employment. Employers are willing to take on decent work principles.
	Number of child labourers.	895,246	<1,000	LFS, MOLSS reports	
2.2.2 Capacity among Government and partners developed to ensure access to economic resources and support services ³⁰ for vulnerable groups.	Number of people in targeted areas accessing: a) Land b) BDS (business development services) c) Finance*	2500 5000 2500	5000 10000 5000	Agency reports. Ministry of Lands/ZDA / CEEC/MCTI	Risk of insufficient attention to vulnerable groups.

21. "Tbd" means that baseline and target will be determined based on data to be provided by NFNC.

22. Households, Child headed households, disadvantaged women, disadvantaged girls, disadvantaged children, youth and migrant populations

23. "Tbd" means that baseline will be determined based on data from PHS.

24. Adequate as prescribed by the MACO

25. "Tbd" means that baseline will be determined following a review of secondary data by the UNDAF outcome group 2 with government partners during the 1st quarter of 2011.

26. "Tbd" means that baseline will be determined following a review of secondary data by the UNDAF outcome group 2 with government partners during the 1st quarter of 2011.

2.2.3 Systems and skills developed in Government and partner institutions to effectively design, implement and evaluate pro-poor and gender responsive employment and labour policies and programmes in accordance with global and regional agreements/protocols/frameworks.	Functional Labour Market Information mechanisms.	No LMI mechanisms in place	LMI mechanisms in place	MOLSS reports.	Government has adequate structures to support implementation for design and implementation of pro-poor and gender responsive policies and programmes.
	# of regular Labour Force Surveys supported by a wide spectrum of stakeholders.	Irregular	Every two years.	MOLSS reports.	

UNDAF OUTCOME AREAS	PERFORMANCE FRAMEWORK			Means of Verification	Risk & assumptions
	Indicator	Baseline	Target		
UNDAF Outcome 3: Vulnerable people in Zambia have improved quality of life and well being by 2015. Under-five mortality rate Maternal mortality rate Literacy rate 15-24 year-olds, women and men	Incidence of poverty	64 (T) (2006)	Tbd ³¹ (T)	LCMS	Risk - The outcome of general elections in 2011 could lead to changes in the political climate for investment in social sectors Assumption - To achieve the least ambitious growth scenario in SNDP, the real GDP growth rate required will be an average of 6.6 percent. Risk – Necessary investment and effort by GRZ may not be adequate to attain MDG targets, SNDP goals and sector target s by 2015.
	119/1,000 LB (2007)	62/1,000LB	DHS		
	591/100,000 LB (2007)	185/100,000 LB	DHS		
	75 (T) (2007)	100 (T)	UNESCO		
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
3.1 Government and partners improve equitable access of vulnerable groups²⁸ to quality health, nutrition, water and sanitation services by 2015.	Proportion of births attended by skilled health personnel.	47 (T) (2007)	80 (T)	DHS DHS	Risk – Cooperating partners including WB, GAVI, Global Fund freeze support to health sector Assumption – Improvement in relationships between GRZ (MoH) and Cooperating partners.
	Percentage of children age 12-23 months who are immunized against measles.	69 (T) (2007)	95 (T)	DHS	
	Proportion of under-five children sleeping under insecticide treated nets.	41 (T) (2008)	80 (T)	Malaria Indicator Survey	
	Unmet need for family planning among girls 15-19 years.	7 (T) (2007)	2 (T)	DHS	Assumption – MoH (sub-recipient global fund) and UNDP (principal recipient global fund) forms a functional strategic partnership in the transition.
	Proportion of population with sustainable access to an improved water source.	87/46 (U/R) 60 (T) (2010)	75 (T)	WHO & UNICEF Joint Monitoring Programme.	
	Proportion of population with access to improved sanitation.	59/43 (U/R) 49 (T) (2010)	73 (T)	JMP	

27. MSMEs, youth, women, people with disabilities and people living with HIV/AIDS

28. Zambia Federation of Employers; ZCTU; FFTUZ ; ZDA; Associations of women, youth, people with disabilities; Ministry of Labour and Social Security

29. Decent Work Agenda- Rights at work, employment, social protection and social dialogue .

30. Land, Finance, Business Development Services, micro-insurance, skills development, appropriate technology, agriculture and non-agricultural inputs

Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
3.1.1 Government institutions and partners have skills and capacity to provide equitable quality preventive and curative health, nutrition, water and sanitation services in vulnerable communities.	Proportion of health centers with at least 60% health workers trained in IMCI.	54 (T) (2008)	80 (T)	Health Facility Survey (HFS)	Risk- Uncertainties in funding can have significant negative impact on service delivery in vulnerable communities. Assumption – GRZ and MoH priorities vulnerable communities in a resource constraint environment.
	Prevalence of underweight children under five years.	15 (T) (2007)	11 (T)	DHS	
	Proportion of postnatal attendance with skilled care.	39 (T) (2007)	55 (T)	DHS	
3.1.2 Communities are enabled to demand, access and manage quality services for their health and nutrition needs.	Oral rehydration therapy with continued feeding.	56 (T) 59/55 (U/R)	80(T)	DHS	Risk – Capacity building efforts at community level do not translate into behavioral change.
	Proportion of pregnant women with at least 4 ANC visits.	60 (T) (2007)	80(T)	DHS	
	Proportion of U5 receiving Vit A supplementation.	60 (T) (2007)	80(T)	DHS	
3.1.3 Communities are enabled to demand, access and manage quality services for their water and sanitation needs.	Proportion of schools with no water supply.	16 (All Schools) 28 (Community) (2007)	Tbd (T) ³³	EMIS	Risk – Community schools are only recently included in Education policy which may delay resource allocation to these institutions.
	Average number of students in schools per sanitation facility.	41 (T) (2007)	Tbd (T) ³⁴	EMIS	
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
3.2 Government and partners provide boys and girls with increased access to free and inclusive quality education by 2015.	Net intake rate.	58 (T) (2008)	70 (T)	EMIS	Risk - The HIV and AIDS pandemic will negatively affect teachers and school age children in terms of access, completion and quality of education. Assumption - Strong education outcomes depend on sustained efforts and investment by Government and Cooperating partners.
	Completion rates (grade 7).	94 (T) (2008)	100 (T)	EMIS	
	Completion rates (grade 9).	49 (T) (2008)	70 (T)	EMIS	
	Learning achievement of grade 5.	36 (Eng) 39 (Math) 40 (Lifeskills) (2008)	40 (Eng) 50 (Math) 70 (Lifeskills)	EMIS	
Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
3.2.1 Systems and skills in place within government and non-governmental organisations to provide equitable, inclusive and quality early childhood, basic and post basic education especially in rural communities.	Proportion of pupils starting grade 1 who reach last grade of primary.	82/76 (M/F) (2008)	95/95 (M/F)	EMIS	Risk - Insufficient investment from public and private sectors to support ECD services may not adequately support progress in the area of ECD.
	Proportion of grade 1 entrants with pre-school experience.	16 (T) (2008)	30 (T)	EMIS	
	Proportion of basic schools which adopt and apply CFS principles ³⁵ .	None	3 (T)	MoE	
3.2.2 Non-formal education providers have skills and capacity to give vulnerable out of school children youth and adolescents improved relevant formal and non-formal education and development.	Number of out-of-school children.	35,200 (M) 169,059 (F) (2008)	20,000 (M) 60,000 (F)	EMIS	Risk - Government and partners may not be able to effectively address multiple vulnerabilities of out-of-school children, of particular concern is the possible impact of the new NGO Act which may severely limit NGO operations.

31. "Tbd" means that target are to be determined upon completion of the SNDP, Sector Strategies, Agency CPAPs and other programme cooperation (in 2010)

32. Strategically, all three Country programme Outcomes also centre on a concept of inclusion of the most vulnerable – those for whom services remain elusive. This would include but not be limited to the physically and mentally disabled, those affected by emergencies, migrants, the urban and rural poor, women and children. These would include, for example, out-of-school children, children not growing up with their parents, child labourers, children in very remote areas and people and households affected by HIV and AIDS.

Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
3.3 Government-led social protection system protects vulnerable groups and families from human rights abuses and extreme poverty by 2015.	Comprehensive cross-sectoral social protection policy adopted and implemented targeting the most vulnerable groups by 2015.	No policy	Policy in place	MCDSS	Risk - Insufficient political will to develop and increase funding to transparent social protection systems. Assumption – Cooperating partners maintain technical and financial support to Government for social protection system building.
	Coping strategy index for non-beneficiaries.	51	25	WFP	
	Incidence of child labour.	895,000	Tbd ³⁶	Labour Force Survey	
	Proportion of OVC with basic needs met.	49 (T) (2009)	(T)	Sexual Behaviour Survey	
Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
3.3.1 Effective models for delivery of social protection services in place in relevant government institutions.	Number of households receiving fertilizer, seed and other productive assets.	30,000 (T) (2009)	395,000 (T)	MCDSS	Risk – Government will not adequately replace phased out funding from cooperating partners for social cash transfer programme. Assumption – Results of impact evaluations of relevant social protection models lead to consolidation of efforts around most effective models.
	Number of households on cash transfer schemes.	20,000 (T) (2009)	64,250 (T)	MCDSS	
	Number of households on food transfer schemes.	Tbd ³⁷	Tbd	WFP	
	Households graduating from social cash transfer schemes.	Tbd ³⁸	Tbd	MCDSS	
3.3.2 Government and partners have technical capacity to promote protection of and support to vulnerable groups from violence, exploitation and abuse.	Systems and mechanisms in place for case management SGBV.	No	Yes	MoJ	Risk - Systems and mechanisms are ineffective and do not results in adequate protection services and prosecution to victims of human trafficking.
	Proportion of reported human trafficking cases receive protection services.	n/a	90 (T)	UNJPHT	
	Proportion of reported human trafficking cases result in prosecution.	n/a	50 (T)	UNJPHT	
	Proportion of population who agree that husbands are justified in hitting/beating their wife.	49/62 (M/F) (2007)	M/F	M/F	

UNDAF OUTCOME AREAS	PERFORMANCE FRAMEWORK			Means of Verification	Risk & assumptions
	Indicator	Baseline	Target		
UNDAF Outcome 4. People's vulnerability reduced from the risk of climate change, natural and man-made disasters and environmental degradation by 2015.	% reduction in households affected by disasters in years with extreme weather conditions (floods or drought).	6% (102,000) households (2008/9)		DMMU Vulnerability Assessment Committee (VAC) Reports.	Timely availability of funds from government for responding to disasters.
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
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.	Tbd ³⁹	Tbd	Disaster Response Study Report.	DMMU has full complements of staff at national and provincial levels.

33. "Tbd" means that target is to be determined upon completion of the SNDP, Sector Strategies, Agency CPAPs and other programme cooperation (in 2010)

34. "Tbd" means that target is to be determined upon completion of the SNDP, Sector Strategies, Agency CPAPs and other programme cooperation (in 2010)

35. Child Friendly School principles are; inclusive, effective, safe/healthy and protective, gender responsive and community participation

36. "Tbd" means that target is to be determined upon completion of the SNDP, Sector Strategies, Agency CPAPs and other programme cooperation (in 2010)

Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
4.1.1 A legal framework for coordination of disaster response and management developed.	Legal framework for coordination of disaster management and response is available.	Legal framework does not exist.	Legal framework developed	Parliament records on laws enacted, DMMU reports.	Sustained government commitment in strengthening DMMU.
4.1.2 The government has established a Geographic Information System (GIS) Hazard Risk Map on natural- and human-induced disasters.	GIS Hazard Risk Map is available.	No GIS hazard maps at national and district level exist.	60% of districts mapped for potential hazards by 2013	DMMU Reports Field visit reports.	Government commitment.
	Emergency Preparedness and Response Information Management Platform is available.	An integrated and shared emergency preparedness and response information platform does not exist.	An Emergency Preparedness and Response Information Management Platform in place.	DMMU Reports Annual National Development Plan Progress Reports.	
4.1.3 Government sentinel sites have capacity to provide data on food security, nutrition, health, water and sanitation, and disaster information.	Sector-based vulnerability profiles integrated into the Hazard Risk Map.	No district vulnerability profiles exist and GIS Hazard Risk Map does not use vulnerability profiles.	60% of the sector based vulnerability profiles created and GIS Hazard Risk Map uses vulnerability profiles	VAC Reports, Minutes of National Disaster Coordination meetings.	Disaster Management and Mitigation remains a high priority area during the Sixth National Development Plan.
	Sentinel sites produce reports with information on nutrition, health, water and sanitation.	Current sentinel site reports only show nutrition and food security data only.	Sentinel site reports also include data on health, water and sanitation.	National Sentinel Sites Surveillance System.	
4.1.4 Skills of DMMU staff at national and provincial levels developed to use national disaster management and early warning systems.	Number of DMMU staff at national and sub-national levels with skills on national disaster management and early warning systems.	At national level, five members of staff trained. At provincial level, two members of staff trained.	A total of 15 national level staff and 63 provincial staff equipped with skills.	DMMU National and Provincial Reports.	Disaster Management and Mitigation remains a high priority area during the Sixth National Development Plan.
	Number of provinces generating accurate and verifiable reports from the system.	None.	Nine (9) Provinces.	Reports of completed and on-going disaster responses.	
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
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.	1,500 Kgs per Hectare.	Small scale farmers yield greater or equal to 1,500 Kgs per hectare.	CSO's post harvest surveys MACO reports.	Promotion of sustainable land management is sustained by the Government.
Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
4.2.1 Technical and operational capabilities developed in Ministry of Agriculture and Cooperatives to promote sustainable land management and agriculture practices to adapt to the risks of climate change among small scale farmers.	# of small scale farmers adopting sustainable land management practices who have adopted at least one sustainable land management and agriculture practice.	120,000 (15%)	400,000 (50%)	MACO reports CCFU Communication Strategy.	Continued government promotion of sustainable land management practices and technologies.

37. "Tbd" means that baseline and target is to be determined upon completion of the SNDP, Sector Strategies, Agency CPAPs and other programme cooperation (in 2010)

38. "Tbd" means that baseline and target is to be determined upon completion of the SNDP, Sector Strategies, Agency CPAPs and other programme cooperation (in 2010)

39. "Tbd" means that baseline and target will be determined by the Disaster response study 2006-2010 and the Disaster response study 2011-2015.

4.2.2 Agriculture, land and forestry policies and legal frameworks revised to take into account climate change	Policies and legal frameworks agriculture, forestry and land take into account climate change issues.	The Draft Forest Policy has been reviewed to take into account climate change but the Act has not been reviewed.	Agriculture and Land policies and legal frameworks (policies and Acts) take into account climate change issues.	MACO and MTENR reports Copies of revised policies and ACTs Parliamentary records of ACTs and laws.	Continued Government commitment. Non-coordinated implementation.
4.2.3 Systems and skills developed in MTENR has systems and skills for improved mobilization and management of non-ODA funds from carbon financing and pro-poor ecosystem service markets.	Number of Clean Development Mechanism (CDM) projects implemented.	Government and partners have been sensitized on CDM.	Two (2) projects approved and implemented under voluntary carbon trading or/and REDD funding mechanism.	MTENR Reports.	Government provides a conducive environment for investment in carbon trading exists.
4.2.4 Skills to promote energy saving, and renewable energy, developed in Government and national institutions.	% of urban households using charcoal stoves that have adopted energy efficient cooking stoves.	70% of the urban householders use low efficient charcoal cooking stoves .	At least 20% of the urban households using charcoal stoves had adopted energy efficient cooking stoves .	Ministry of Energy and Water Development (MEWD) reports; ZESCO Reports; Forest Department.	Government continues to support energy saving and creates an enabling environment for investments in alternative renewable energy sources.
	% of energy generated from alternative renewable energy sources.	<1%	1.5%	MEWD reports.	
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
4.3 Government implements policies and legal frameworks for sustainable community based natural resources management by 2015.	% reduction in annual average deforestation rate.	0.91% (444,800 Ha) per year (1990 to 2000).	0.8% (393,846 Ha) per year	MTENR reports Cabinet Office Record.	Government will and commitment to domesticate and implement environment and related treaties, conversions and protocols. ILUA methodology expanded to cover REDD.
	Forest inventory, monitoring system for detecting forest cover changes/ rate of deforestation established.	Monitoring system exists but does not capture REDD standards and the last forest inventory was done in early 1970' and it is outdated.	Monitoring system supporting REDD established and functioning by 2013 and National Forest inventory completed by 2015.	MTENR (Forestry Department Reports) IUCN and ILUA Reports MDG progress reports prepared as part of NDP Annual Reports.	

Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
4.3.1 Mechanisms upgraded and functional to ratify/domesticate conventions on biodiversity conservation, combating desertification, climate change, ozone depletion substances, water and CITES.	Number of draft bills and by-laws incorporating - international environmental conventions' standards developed.	i) Draft bill on biodiversity exists. ii) Community natural resource management boards develop by-laws addressing deforestation, water and wildlife management.	i) Drafts bills for remaining four conventions developed. ii) At least three community natural resource management boards have developed and implemented by-laws addressing deforestation, water and wildlife management.	MTENR Reports and Records District Development Coordinating Committee Reports.	Government continues to promote community natural resource management and remains committed to domestication of environment treaties and conversions including CITES.
4.3.2 Gender sensitive livelihood partnerships scaled up by MTENR and Ministry of Community Development and Social Services (MCDSS) to promote community participation in natural resource management.	Number of partnerships for forest resources management established.	Two (2) Public-private partnerships in wildlife sector exist but none exist in forest resources management.	Two (2) partnerships established and functioning in forest resources management.	Signed and Partnership agreements. MTENR and MCDSS reports.	Government provides an enabling environment for PPP and community participation in natural resources management is sustained.
4.3.3 Plans and mechanisms established by MTENR to promote environmental awareness at national and local levels.	Plan of Action for environmental awareness raising activities developed and implemented at community level.	Environmental awareness have been undertaken as one off activities.	60% MPs trained, 60% House of Chiefs members trained, 50% law enforcement officers, judiciaries trained.	MTENR Reports CCFU reports.	Government sustains environmental awareness efforts at community level.
	Integration of disaster risk reduction into the basic school curriculum in including updates on climate change.	Curriculum for grades 1 to 7 has environmental issues but lacks DRR and climate information.	DRR and updated climate change information integrated into Basic school curriculum.	Ministry of Education (MoE) {Curriculum development department} reports.	
4.3.4 Technical and operational capabilities developed in targeted Government institutions to introduce cleaner production practices and renewable energy alternatives.	Number of households accessing solar energy under the Energy Service Companies (ESCOs) pilot projects.	400 Households.	1,000 Households.	MEWD reports.	Continued commitment of Government. Active participation by the privates sector.

UNDAF OUTCOME AREAS	PERFORMANCE FRAMEWORK			Means of Verification	Risk & assumptions
	Indicator	Baseline	Target		
UNDAF Outcome 5: Targeted Government institutions provide human rights-based policies, frameworks and services by 2015.	% of citizens satisfied with the state of governance.	2008; 49.5%	70% (2015)	State of Governance Report.	Political will to pursue and advance policies to protect human rights, promote equity, increase transparency and accountability and foster public participations in national processes.
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
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.	2006: All: 50.5% (2,789,114/5,517,443)	2011: All 60% (3,840,000/6,400,000)	ECZ reports and registration database.	Governance institutions for democratisation, oversight of the executive and human rights are fully funded by government and continue to operate in an autonomous manner. The human rights commission has full staff compliments at national and operational regional offices.
	% increase in reported human rights violations that have been investigated.	71% (2009)	75% (2015)	Records and reports from HRC and, PPCA.	
	% of citizens participating in local and national decision making fora.	39.4% (2008)	75% (2015)	State of governance survey.	
Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
5.1.1 Skills and systems developed in targeted government institutions to domesticate, monitor progress and report on regional and international human rights treaties, conventions, and protocols.	GAP reports for domestication of key regional and international human rights treaties, conventions, and protocols available.	GAP report for CEDAW has been completed.	GAP reports and domestication tool kits for other key treaties, conventions, and protocols available.	UN agencies' reports copies of completed gap analyses reports. MoJ reports Training workshop reports.	Continued political will and commitment to domesticate ratified regional and international treaties, conventions and protocols.
	Percentage of government institutions with skilled staff and tool kits for domestication of key regional and international human rights treaties, conventions, and protocols.	(No government institutions have been trained as toolkits have not yet been developed).	30% of government institutions trained in use of domestication tool kit.	MoJ and MOFA Reports.	
5.1.2 Systems and skills developed in institutions responsible for democratic governance to increase participation in democratic processes and accountability.	% of eligible voters registered as voters.	2006: All 70% (3,900,000/5,517,443)	2015: All 80% (5,120,000/6,400,000)	ECZ reports and registration database.	Government provides adequate resources for relevant infrastructure and systems to support database linkages.
	Registration database developed by MHA and linked to ECZ's continuous voter registration database.	No electronic registration database exist at MHA	Registration database developed by MHA and linked to ECZ's continuous voter registration database.	Ministry of Home Affairs (MHA)- Department of National Registration, Passport and Citizenship (DNRPC) and ECZ reports.	
	% of recommendations of the Public Accounts Committee of NAZ that have been addressed.	75% (2009)	100% (2015)	Public Accounts Committee (PAC) Reports.	

5.1.3 Skills developed in governance institutions to systematically and independently monitor and oversee participation in development processes.	% of DDCCs implementing recommendations of sub-district structures.	None	75% of DDCCs implementing recommendations of sub-district structures	Ministry of Local Government and Housing (MLGH) Survey and reports.	Government implements the approved DIP.
	% of districts with government ministries and councils posting public budgets, revenue, and actual expenditures on easily accessible public notice boards.	None	25% of districts.	Local governance survey and MLGH reports State of Governance Survey.	
5.1.4 Participatory fora established and capabilities developed in civil society organisations (CSOs) and media organizations to educate communities, advocate, monitor and report on human rights.	Annual state of human rights forum established.	No formal forum exists for Annual State of Human Rights Reports	Annual state of human rights forum established	Human Rights Commission Reports and Forum reports.	Government provides a conducive environment for participation of CSOs and Media organisations in development processes.
	% increase in human rights abuse cases reported	722 (2008)	50% (1,083) 75% (2015)	HRC Reports Police Public Complaints Authority (PPCA) reports and databases.	
	% of parallel state party reports submitted by CSOs to the human rights treaty bodies committee.	100% submission of parallel reports by CSOs to treaty body committees.	100% (2011-2015)	HRC reports and Copies of parallel human rights reports and treaty bodies committee.	
Country Programme Outcome	Indicator	Baseline	Target	Means of Verification	Risk & assumptions
5.2 Targeted government institutions reduce legal and cultural practices obstructing the realization of gender equality by 2015.	% of seats held by women in national parliament.	14% (2006)	30%	National Assembly of Zambia reports and website; ECZ reports.	Continued government commitment to attain gender equality and equity and by in of traditional societies.
	Gender empowerment measure (GEM)	0.42	TBD (when GIDD has established a target).	UNDP HDR and GIDD Reports.	
Country Programme Output	Indicators	Baseline	Target	Means of Verification	Risk & assumptions
5.2.1 Skills and systems developed in targeted government institutions to mainstream gender into legal frameworks, policies, plans and programmes.	% of government institutions with completed gender audits and addressing recommendations of gender audits.	10% - (Only 3 ministries (MoH, MACO, and MoE) have undergone gender audits and no ministry has started implementing a Gender Audit Action Plan.	33% (10) government institutions have undergone gender audits including MoH, MACO, MoLSS, MoL and MoE and implementing audit action plans.	Gender in Development Division (GIDD) Reports. Copies of Gender Audits and institutional Reports on Action Plans.	GIDD is fully supported by government ministries and national institutions as the body for coordinating, and monitoring government gender programmes. GIDD has full staff complements to effectively deliver its mandate.
	% of Government institutions utilizing most updated evidence on gender inequalities for policy development and programming.	8%	30%	GIDD Reports, UN Agency Reports, Government ministries and Government Ministry. NDP progress reports Annual reports of government ministries and national institutions.	
	National communication strategy for social change in place.	No communication strategy for social change in place.	National communication strategy for social change in place.	Cabinet office and GIDD Reports.	
5.2.2 Skills and mechanisms of statutory and customary law-makers, enforcement agencies and adjudicators enhanced to promote and implement CEDAW provisions.	% of customary courts that have adopted applicable provisions of CEDAW.	None	50%	GIDD Reports MoJ Reports.	Government commitment to domesticate CEDAW.
	% of reported Gender Based Violence (GBV) cases resulting in convictions.	10% (2008; FNDP Annual Report).	60% (2015)	NDP Progress reports.	

ANNEX 4

M&E CALENDAR

	Year 1 (2011)	Year 2 (2012)	Year 3 (2013)	Year 4 (2014)	Year 5 (2015)
UNCT M&E ACTIVITIES					
Surveys/studies UNCT surveys/studies with findings used to develop of refine a programme strategy and/or define baseline indicators	Baseline study by Outcome group 2.1 on implementation of pro-poor and gender responsive food security policies.				Study by Outcome group 2.1 on implementation of pro-poor and gender responsive food security policies.
Monitoring systems UNCT support to national information systems, with regular and fairly frequent reporting of data relevant to UNDAF results	KPIs in SNDP (M&E plans)				
	Support to the CSO including the Population and Housing Census, the Zambia Demographic Health Survey (ZDHS), and the Labour Force Survey (LFS)	Support to the CSO, including the Living Conditions Monitoring Survey (LCMS)	Support to the CSO, including the Zambia Demographic Health Survey (ZDHS)	Support to the CSO, including the Living Conditions Monitoring Survey (LCMS), and the Governance Survey	Support to the CSO, including the Zambia Demographic Health Survey (ZDHS)
	National information systems (health, education, social protection)	National information systems (health, education, social protection)	National information systems (health, education, social protection)	National information systems (health, education, social protection)	National information systems (health, education, social protection)
	SAG periodic progress reports	SAG periodic progress reports	SAG periodic progress reports	SAG periodic progress reports	SAG periodic progress reports
	Expenditure tracking (twice a year)	Expenditure tracking (twice a year)	Expenditure tracking (twice a year)	Expenditure tracking (twice a year)	Expenditure tracking (twice a year)
	Disaster Early Warning Monitoring and analysis (ZEPRIS)	Disaster Early Warning Monitoring and analysis (ZEPRIS)	Disaster Early Warning Monitoring and analysis (ZEPRIS)	Disaster Early Warning Monitoring and analysis (ZEPRIS)	Disaster Early Warning Monitoring and analysis (ZEPRIS)
	UN support to national reporting (CSOs) to human rights treaty bodies as per reporting schedule	UN support to national reporting (CSOs) to human rights treaty bodies as per reporting schedule	UN support to national reporting (CSOs) to human rights treaty bodies as per reporting schedule	UN support to national reporting (CSOs) to human rights treaty bodies as per reporting schedule	UN support to national reporting (CSOs) to human rights treaty bodies as per reporting schedule
	Harmonized multisectoral HIV M&E Plan developed by NAC and partners				
Evaluations All evaluations of agency programmes and projects contributing to the UNDAF and the UNDAF evaluation			UNDAF mid-term review		UNDAF end-of-cycle evaluation
	Terminal evaluation of the Joint Gender Support Programme				
Reviews Reviews which generally draw on agency and partners' monitoring systems as well as the findings of surveys, studies and evaluations	UNDAF annual review	UNDAF annual (mid-term) review	UNDAF annual review	UNDAF annual review	UNDAF annual review
	Annual review of UN Joint Programmes: • HIV/AIDS • Trafficking • Broad Based Wealth and Job Creation • Other joint programmes (as established)	Annual review of UN Joint Programmes: • HIV/AIDS • Trafficking • Broad Based Wealth and Job Creation • Other joint programmes (as established)	Annual review of UN Joint Programmes: • HIV/AIDS • Trafficking • Broad Based Wealth and Job Creation • Other joint programmes (as established)	Annual review of UN Joint Programmes: • HIV/AIDS • Trafficking • Broad Based Wealth and Job Creation • Other joint programmes (as established)	Annual review of UN Joint Programmes: • HIV/AIDS • Trafficking • Broad Based Wealth and Job Creation • Other joint programmes (as established)

	Year 1 (2011)	Year 2 (2012)	Year 3 (2013)	Year 4 (2014)	Year 5 (2015)
PLANNING REFERENCES					
UNDAF evaluation milestones Timing and sequence of the milestones in preparing and implementing the UNDAF Evaluation. These make use of the M&E activities above.			UNDAF mid-term review		UNDAF end-of-cycle evaluation
M&E capacity development A list of the major, planned capacity development activities to strengthen partner M&E capabilities.	M&E capacity building programme (HIV) at UNZA twice a year	M&E capacity building programme (HIV) at UNZA twice a year	M&E capacity building programme (HIV) at UNZA twice a year	M&E capacity building programme (HIV) at UNZA twice a year	M&E capacity building programme (HIV) at UNZA twice a year
		M&E capacity development on evaluation (process/ MTR) – UN and partners		M&E capacity development (impact assessment) – UN and partners	
Use of information	Preparation of Resident Coordinator Annual report (RC/UNCT, Nov-Jan)	Preparation of Resident Coordinator Annual report (RC/UNCT, Nov-Jan)	Preparation of Resident Coordinator Annual report (RC/UNCT, Nov-Jan)	Preparation of Resident Coordinator Annual report (RC/UNCT, Nov-Jan)	Preparation of Resident Coordinator Annual report (RC/UNCT, Nov-Jan)
		MDG progress report		MDG progress report	
Partner activities The major M&E activities of government and other partners that use and/or contribute to the M&E activities above.	Annual SNDP/sector reviews	Annual SNDP/sector reviews	Annual SNDP/sector reviews	Annual SNDP/sector reviews	Annual SNDP/sector reviews
			Mid-term SNDP review		
	Population and Housing Census and the Zambia Demographic Health Survey (ZDHS)	Living Conditions Monitoring Survey (LCMS)	Zambia Demographic Health Survey (ZDHS)	Living Conditions Monitoring Survey (LCMS) Governance Survey	Zambia Demographic Health Survey (ZDHS)
	In-depth Multi Sectoral Needs Assessment	In-depth Multi Sectoral Needs Assessment	In-depth Multi Sectoral Needs Assessment	In-depth Multi Sectoral Needs Assessment	In-depth Multi Sectoral Needs Assessment
	CVAA				CVAA



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