

Evaluation of the capacity and performance of the Zambia National AIDS Network under the Joint Financing Arrangement (2004-2007):

charting the way forward

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ZAMBIA NATIONAL AIDS NETWORK

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FINAL

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Abbreviations

AIDS	Acquired Immune Deficiency Syndrome
CBO	Community Based Organisation
CCM	Country Coordinating Mechanism
CHAZ	Church Health Association of Zambia
CHEP	Copperbelt Health Education Programme
CRIS	Country Response Information System
CSO	Civil Society Organisation
DAPP	Development Aid from People to People
DATF	District AIDS Taskforce
DCI	Development Cooperation Ireland
DFID	Department for International Development
FTC	Facing the Future
GFTAM	Global Fund for Tuberculosis AIDS & Malaria
HIV	Human Immunodeficiency Virus
IGA	Income Generating Activity
JFA	Joint Financing Arrangement
M&E	Monitoring & Evaluation
MHUNZA	Mental Health Users Network of Zambia
MOU	Memorandum of Understanding
NAC	National AIDS Council
NGO	Non-Governmental Organisation
NORAD	Norwegian Agency for International Development
OVC	Orphans and Vulnerable Children
PATF	Provincial AIDS Task Force
PR	Principal Recipient
SANASO	Southern African Network of AIDS Service Organisations
STARZ	Strengthening The AIDS Response in Zambia
STD	Sexually Transmitted Disease
STI	Sexually Transmitted Infection
THAPAZ	Traditional Health Practitioners of Zambia
ZDHS	Zambia Demographic Health Survey
ZNAN	Zambia National AIDS Network

Executive Summary

This evaluation is intended to assess the successes and challenges of the Joint Financing Arrangement (JFA) support to the Zambia National AIDS Network (ZNAN) during the period 2004 to 2007. The evaluation also makes concrete recommendations for building on success and addressing challenges that were faced during this period.

As the Principal Recipient (PR) of the Global Fund to Fight Against AIDS, TB and Malaria (GFATM) in 2003 and as the recipient of bilateral funding from multiple sources (i.e.: JFA, the United Kingdom's Department for International Development (DfID) and of the Development Cooperation Ireland (DCI)), ZNAN has experienced a phenomenal expansion in the scope and scale of its work. With this expanded role ZNAN has been providing funding support to member and non-member non-governmental organisation (NGOs) and community-based organisation (CBOs) to facilitate their delivery of HIV services to communities.

During the JFA period ZNAN has recorded significant successes in its work. Notably the organisation has been providing capacity building support to recipients of sub granting funding in the areas of proposal writing, financial management, and Monitoring and Evaluation (M&E). While the quality of this support has been consistently good, it has not been provided sufficiently due to the ever-increasing demand for it among recipient organisations. This has tended to overstretch the capacity of the ZNAN secretariat in providing this support. Overall however, with the JFA funding, ZNAN has enabled a wider spectrum of NGOs and CBOs to access JFA funding.

Generally, the support provided by ZNAN to NGOs and CBOs is characterised by institutionalised transparency and accountability, which is also, reflected in the service delivery patterns of these recipient organisations. As a clear depiction of good practices transfer, ZNAN is also promoting financial and institutional sustainability among these organisations. However, one of the noted shortcomings of this support is that it is not paying sufficient attention to linking the services of the different NGOs and CBOs in a given community for the purpose of attaining delivery of comprehensive services.

With JFA support, ZNAN has been able to scale up its geographical coverage as more NGOs and CBOs in far-flung and underserved areas are accessing this funding. ZNAN is using different strategies to achieve this including out reach visits to these areas and the media. Furthermore the JFA sub-granting support has also enabled ZNAN to strengthen networking and collaboration between member and non-member NGOs and CBOs. This support has facilitated increased exchange visits among these organisations, which directly contributes to stronger networking among them.

Overall the governance of ZNAN is characterised by well-established structures that have clearly defined roles. This governance structure forms the basis of ZNAN's culture of accountability and transparency. Lines of reporting and accountability are well defined from the Congress right down to the secretariat. These governance systems also facilitate inclusive and participative governance. Within the secretariat, communication among staff is open and guided by the principle of wide internal dissemination of information and adherence to teamwork. The secretariat has well qualified staff members in position and this contributes significantly to the high quality of services offered to member and non-member organisations. The Copperbelt provincial office has been a useful structure in promoting improved service delivery at provincial level. With the establishment of this office, there has been considerable improvement in the provision of on-spot technical support as well as processing of grant applications. Although this office was established for the

DCI orphans and vulnerable children (OVC) programme in the province, it is also meeting the needs of ZNAN's other programmes supported by other funding channels such as JFA and GFTAM. Provincial Committees have not been consistently playing their roles mainly due to their own internal weaknesses.

The JFA and GFATM are the sources of the largest component of funding received by ZNAN. A smaller proportion of funds are also received DCI and DfID. It is important to note that the JFA to ZNAN's core programmes is crucial for making GFATM, (and particularly, the GFATM and JFA sub-granting funds), work more effectively and efficiently for affected communities. Notably, even with the modest investment in the ZNAN core programmes, the JFA has had a catalytic effect, contributing to GFATM results as well as its own results and those of DCI and DfID.

One of the key JFA results has been its contribution to improving ZNAN's sustainability. More specifically, the JFA has contributed to strengthening of ZNAN's institutional capacity and ZNAN has been pursuing multiple channels of funding. Furthermore, as previously mentioned, ZNAN has been building the skills and capacity of its recipients and promoting a culture of financial sustainability within these organisations. With longer term predictable financing from the JFA, ZNAN could scale up and concomitantly strengthen the sustainability of the civil society responses. All ZNAN's donors are cost-sharing salaries and overheads.

The sub-granting programme has enabled the ZNAN secretariat to fulfil the part of its mandate relating to resource mobilisation for its member organisations. With the funding resources available for sub-granting from the JFA, GFATM and other bilateral donors, ZNAN members and other civil society organisations (CSOs) have been enabled to broaden the scope and depth of their response to HIV. Equally importantly, this sub-granting system has facilitated broader access to HIV funding resources by CSOs, as the sub-granting system is inclusive, open and transparent. Further, this sub-granting system has been instrumental in getting funding to NGOs and CBOs based in underserved rural areas. However, the sub-granting function has also placed ZNAN in a different relationship with the membership as it is widely perceived as a "donor" organisation rather than their focal networking organisation. This perception has tended to blind member organisations from the fact that they are ZNAN. The sub-granting tools were generally perceived as being adequate.

The current approval criteria in the ZNAN sub-granting mechanism are comprehensive in terms of service delivery areas. Since 2004 there has been a gradual increase in the amount of funding NGOs and CBOs outside Lusaka. Similarly, the service delivery areas being funded in other provinces have also diversified. With an active but limited skills and capacity building programme and wider information dissemination, the ZNAN secretariat has made significant strides to improve the accessibility of sub-granting funds to CSOs outside Lusaka province.

Currently, the M&E function is the responsibility of the ZNAN secretariat's Monitoring & Evaluation (M&E) Unit, which was established in 2003. Notwithstanding the adequacy and comprehensive nature of the M&E tool, ZNAN has insufficient capacity to undertake routine monitoring. With a limited staffing complement of two people in the M&E Unit, the ZNAN secretariat is not able to adequately meet the routine M&E needs given the large number of NGOs and CBOs being funded through the JFA and GFATM sub-granting programmes. As noted, M&E is largely focused at the grant approval stage (i.e.: the field appraisals process), while the rest of the monitoring activities are based on self-reporting by the grant recipients. Given the inadequate routine monitoring, incapable and ineffective sub-grantees may not easily be identified with the use of the M&E

system. Furthermore, the ZNAN secretariat has not had sufficient resources to adequately utilise monitoring data in its strategic thinking, planning and policy work.

Lead Agencies are important partners in the implementation of the sub-granting programme. Overall, the sub-granting programme has facilitated the scaling up of Lead Agencies' own core activities. As recipients of the sub-granting funds, Lead Agencies have been replicating the ZNAN culture of transparency and accountability and for this reason, the sub-granting standards set by ZNAN are adhered to across the board and have trickled down to the sub-grantees of Lead Agencies. With the availability of sub-granting resources, Lead Agencies have been enabled to build capacities of smaller NGOs, CBOs and the communities they serve to provide a wider range of quality HIV services. As previously mentioned, the performance of Lead Agencies in terms of skills and capacity building as well as M&E has been inconsistent. One of the reasons given by the Lead Agencies regarding sub-optimal performance is that of lack of adequate resources. Another major reason is the capacity of the Lead Agencies. Some of the older, more experienced and resourced Lead Agencies have better capacity to deliver on their roles than some of the newer Lead Agencies who have less relevant experience and fewer resources.

ZNAN is working within and contributing to Zambia's National HIV and AIDS Strategic Framework 2006 – 2010. ZNAN is also successfully meeting its objectives as a network organisation. The networking function has been substantially scaled up due to the expansion in sub-granting. ZNAN members appreciate ZNAN's support as do non-members. Many of them especially noted the flexibility, consistency, commitment to excellence and transparency as the outstanding features of the financial and technical support they receive from ZNAN. ZNAN has been carrying out skills and capacity building and information sharing activities. However, the sub-granting functions draw down on ZNAN's capacity to a significant extent thus hindering the capacity to further scale up skills and capacity building and information sharing functions. As a result, without an investment in expanding the capacity of the ZNAN secretariat, it will prove challenging for ZNAN to meet the demands for more information sharing and networking.

Communication between ZNAN and its members is generally good in terms of scope and content. ZNAN has evolved multiple channels for communication with its members and its constituency more broadly; these include resource centres, newsletters, publications, website, exchange visits, Provincial Committee meetings. Annual general meetings and the biennial Congress serve to facilitate communication amongst ZNAN members on policy related and strategic issues. However more could be done to expand communication amongst members.

In terms of communication and information exchange with other Zambian organisations working on HIV, ZNAN does regularly communicate and share information with CHAZ, the PR for faith based CSOs. Other key organisations include the National AIDS Council and the Ministry of Health. ZNAN also has fairly regular communication with NZP+, which is a member of ZNAN's Liaison Committee. However, communication with other Zambian NGOs appears to occur on an ad hoc basis. Communication and information sharing amongst NGOs and CBOs is taking place and could be enhanced through improved linkages with DATFs and strengthening the Provincial Committees.

ZNAN consistently portrays itself as: (1) a partnership-building organisation and (2) a partner in the Zambian HIV response. ZNAN is perceived as: (1) a competent, consistent, flexible and responsive partner and (2) both a network and a source of funding. It is interesting to note that whilst acknowledging ZNAN's networking role, many now identify ZNAN as primarily a funding source. This reflects the synergies between the information exchange and networking role and the sub-granting function.

It is clear that ZNAN now has efficient and effective systems in place and thus, with some additional investment in its capacity, it is well placed to scale up in terms of coverage, quality, and policy. Key priorities for ZNAN should be: (1) scaling up coverage in underserved areas in a phased manner, (2) attention to evolving capacity building, networking and information sharing needs of ZNAN and its constituencies and (3) enhancing quality of programmes. Donor confidence, increasing demands from communities and robust policies and systems are the key drivers for growth. With some consolidation of its organisational structure at secretariat level, ZNAN's expansion should largely be in the provinces.

An expanded JFA could leverage increasing resources from GFATM and will be crucial for making ZNAN's monies work more effectively. Tensions between the sub-granting and networking and information sharing functions do exist, but the synergies between these functions are also significant. While some tension between sub-granting and network and information sharing functions is inevitable, it is clear that both functions are crucial to ZNAN delivering on its strategic plan and contributing to the overall *Zambian National HIV and AIDS Strategic Framework 2006 – 2010*. An expanded and flexible JFA for a five-year period, with a comparable level of sub-granting and a significantly increased investment in core programmes (i.e.: increased by twenty to thirty percent), would support the effective scale up of ZNAN's activities.

Finally, in order to reduce transaction costs and in keeping with international commitments on donor alignment and harmonisation, all donors should consider pooling their resources in an expanded JFA as a universal financing mechanism for ZNAN. Since it may not be possible at this time for the GFATM to consider this arrangement, at the very least all other donors should consider putting their monies into an expanded JFA for ZNAN.

Key recommendations include:

Organisation: Secretariat

- 1 ZNAN should consider revising its structure as proposed in the organogram presented in Annex 4. Some key features of the proposed structure represented in this functional organogram are: (1) a more robust senior management structure, (2) the creation of an Office of the Executive Director, in recognition of the broadening scope of the ZNAN programme at national level. This office would also provide leadership for ZNAN's policy work; the Office of the Executive Director would include the a new post dedicated to policy and communications (3) the creation of a new post, Deputy Executive Director to oversee the day to day management of ZNAN's expanded operations and (4) the addition of three new posts in Grants, M&E and NGO/CBO Support, which are essential for delivering effectively on these functions (see recommendation 2)
- 2 ZNAN should invest in scaling up its internal capacity (i.e.: additional staff) in order to meet the skills and capacity building and information exchange needs of its constituency. As previously mentioned, the staffing of ZNAN's Grants and M&E Units should be increased by recruiting at least one additional member of staff for each unit. The implementation of ZNAN M&E framework will require stepping up capacity building activities at all levels and amongst a range of stakeholders. This includes M&E capacity at ZNAN secretariat to analyse and produce M&E annual reports as well as to more effectively use monitoring data for strategic planning, capacity building and policy. ZNAN will need technical guidance in rolling out and expanding the current database. The current staffing complement of two personnel in the ZNAN

secretariat's NGO/CBO Support Unit should be increased with the recruitment of an additional person. The marginal expansion of this Unit should be considered as an attempt to raise the internal capacity level of the ZNAN secretariat to provide support to sub-grantees while adhering to the principle of outsourcing much of this capacity building support from other partners such as Lead Agencies and Provincial Committees.

- 3 The senior management team should be formalised with: (1) a clear terms of reference, (2) leadership and management training inputs, (3) regular weekly meetings and (4) biannual/annual senior management retreats. This will also contribute to strengthening a second line of leadership in the organisation.

Organisation: Provincial Committees

- 4 Provincial Committees have an important role to play in promoting networking, collaboration and information sharing among member organisations. The ZNAN secretariat should take immediate measures to address the internal weaknesses of Provincial Committees, including reconstituting some of them, to ensure that they are adequately addressing the requirements of their terms of reference, especially with respect to capacity building. Provincial Committees should be supported with some form of capacity building intervention involving team building to ensure internal cohesiveness. In the case of the Copperbelt, the Provincial Office should become the Provincial Committee's secretariat. In addition, ZNAN should also ensure that Provincial Committees increasingly play the role of networking its member NGOs and CBOs with other capacity building initiatives at provincial level.

Organisation: Lead Agencies

- 5 ZNAN should develop strategies for increasing resources to Lead Agencies so that they are better able to invest in skills and capacity building and M&E functions. One of the possible approaches may include negotiating with donors to increase funding to core programmes and/or overhead of Lead Agencies. Another key strategy would be to invest in additional capacity building for Lead Agencies in capacity building and M&E.
- 6 Lead Agencies are critical partners in providing skills and capacity building support to sub-grantees. For this reason, ZNAN should consider leveraging their existing capacity building initiatives as a way of scaling up its own support to the sub-grantees. Organisations with expertise in capacity building such as CHEP could be supported to become capacity building partners. NZP+ has a functional capacity building programme for its district branches and support groups and for this reason, it could play a useful role as a technical assistance partner for ZNAN supported groups of people with HIV. Similarly, ZNAN should also identify other organisations, such as Facing the Challenge in Chongwe, that have shown reasonable advancement in their own capacity building efforts and skills and partner with them in scaling up capacity building support.
- 7 ZNAN should provide the Lead Agencies with tailored capacity building support through on-site mentoring and coaching. In fact, more robust Lead Agencies such as CHEP can play a role in mentoring newer, less experienced Lead Agencies such as THPAZ. There should be an annual information exchange and capacity building meeting amongst Lead Agencies.

Programmes

- 8 The Provincial Office in the Copperbelt province has proven to be instrumental in raising the level of capacity building support and provision of on-the-spot technical assistance in the province. An additional member of staff should be recruited for this Office as this would help to expand the capacity to provide routine monitoring and technical assistance. This model should be replicated in a phased manner in selected provinces, especially in those that are currently underserved such as Luapula, Southern and Western provinces. Lessons from the establishment of Copperbelt Provincial Office should be documented and used to inform the establishment of Provincial Offices in other underserved provinces.
- 9 In order to strengthen the delivery of comprehensive services, ZNAN should undertake a range of measures. These include: (1) consider giving high priority to project proposals that reflect comprehensiveness in service delivery, (2) joint proposals among NGOs and CBOs with multiple service delivery areas should be encouraged as a way of fostering synergised delivery of comprehensive services and (3) mechanisms for ensuring comprehensive services should be considered as key criteria for successful project proposals; the field appraisal tool and grants manual should be amended to include such criteria.
- 10 The internally driven scaling up and replication of FTC is an important lesson to the NGOs and CBOs being supported by ZNAN. The ZNAN secretariat should therefore document such lessons and proactively encourage its membership to adopt the model. More concretely, ZNAN should consider including potential for replication and scaling up as a key criteria for successful project proposals.
- 11 ZNAN should continue to implement strategies for reaching the underserved and hard to reach. More specifically, the following strategies should be employed: (1) phased establishment of Provincial Offices in Luapula, Northern and Western provinces, (2) outreach meetings (3) strengthening of Provincial Committees and (4) on-going use of widely accessible media.
- 12 The ZNAN secretariat should, through Provincial Committees and Secretariat staff, develop an explicit plan to assist weaker CSOs in underserved provinces to access sub-granting funds. This assistance should include on-the-spot assistance in proposal writing and other skills for accessing these funds.
- 13 The ZNAN secretariat should embark on a programme of encouraging CSOs outside Lusaka to shift their attention to other service delivery areas that are underserved. Such encouragement should be through provision of incentives to NGOs and CBOs that prepare proposals that address existing needs, which are not receiving much attention.
- 14 ZNAN should, in a systematic manner, put in place and scale up mechanisms for strategic partnerships with existing structures at district and community levels, especially DATFs and PATFs. ZNAN should clearly spell out its requirements and commitments on collaborating on M&E with stakeholders such as DATFs, PATFs and NAC.
- 15 ZNAN should strengthen internal communications by adding some key mechanisms including; (1) regular staff/team meetings and (2) intranet section on the ZNAN website for the secretariat and provincial office(s).

- 16 ZNAN should facilitate more communication amongst its membership. For example, ZNAN could: (1) create a space on its website for member case studies, (2) include Provincial Committee meeting minutes on the website, (3) strengthen Provincial Committees, (4) have more regular information sharing between Lead Agencies, (5) Lead Agencies and Provincial Offices could organise exchange visits in their operational areas etc.
- 17 ZNAN should develop an explicit policy and communications strategy. Based on this, the ZNAN secretariat should devote specific resources to policy activities.

1.0 Background

HIV is recognised as a major threat to Zambia's social and economic development. According to the National HIV/AIDS Policy (2005) the country has an estimated HIV prevalence of 16%¹. Further, it is estimated that among women in the age group 15 to 49 years the prevalence rate stands at 30% (ZDHS 2002). Given that this age group constitutes the economically active labour force, this high rate of infection has severe repercussions on the economy as this productive labour force is continuously being eroded by the pandemic. Invariably, HIV/AIDS has become a major contributor to poverty at national level as it is eliminating the most productive sector of society through premature loss of this human capital.

The Zambian HIV response has drawn the participation of different players including government, civil society, and private sector organisations. By and large each of these players has made and continues to make significant contribution to the national response. ZNAN was established in June 1994 with the primary objective of promoting liaison, collaboration and co-ordination among NGOs and CBOs involved in HIV prevention and care. Prior to the establishment of ZNAN, the civil society response to the HIV was characterised by lack of cohesion, co-ordination and information sharing. ZNAN was formed as a direct response to the need articulated by Zambian CSOs to strengthen liaison, coordination and collaboration in their efforts to prevent and control HIV.

As a network organisation, ZNAN focuses on assisting its member organisations develop and sustain optimal capacity to provide various types of HIV services and support to affected communities. In keeping with internationally accepted standards of good practice in CSO support, ZNAN provides both financial and technical support to member and non-member organisations; along with sub-granting, sharing good practice, capacity building and advocacy are key components of ZNAN's mandate. Furthermore, ZNAN is committed to promoting cohesion and a common sense of purpose among HIV service organisations in order to create a more efficient and effective CSO response to HIV.

Since inception in 1994, ZNAN had been mobilising funds from the Norwegian government. In 2003 ZNAN was selected to be one of the four PRs of funds from the GFATM. Additionally, funds were mobilised from the Netherlands government, DCI and DfID. The DCI funding agreement is specifically for an OVC programme on the Copperbelt. As shown in Figure 1, this has resulted in a rapid and substantial scale up of funds being managed by ZNAN. In keeping with donor commitments and principles of the Paris Declaration for Improving Aid Effectiveness,² the Royal Netherlands Embassy and the Norwegian Ministry of Foreign Affairs entered into a JFA with ZNAN. This culminated in an agreement between these two donors and ZNAN for supporting the implementation of the ZNAN's core and sub granting programmes over the period 2004 to 2007. The JFA provided ZNAN with approximately USD \$ 4,600,000 between 2004 – 2007 for sub-granting, core programmes and overhead expenses.

¹ Government of Zambia. Ministry of Health; National HIV/AIDS/STI/TB Policy. June 2005

² Organisation for Economic Co-operation and Development. The Paris Declaration for Improving Aid Effectiveness. March 2005.

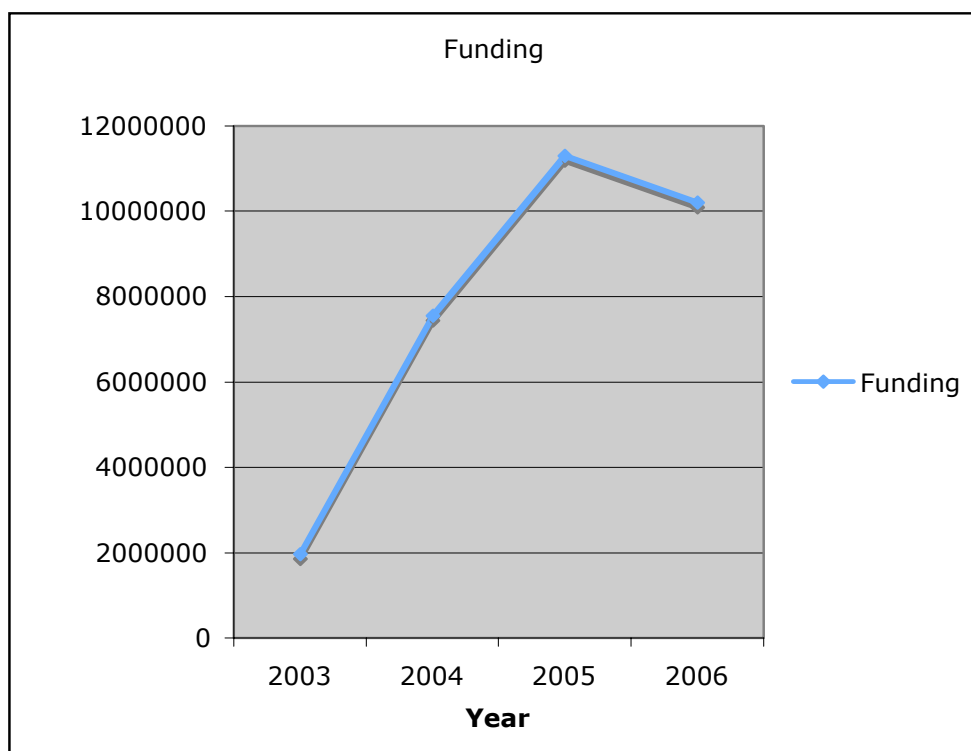


Figure 1: ZNAN funding from 2003 – 2006 (in USD)

1.1 Purpose

This evaluation is intended to assess the successes and challenges of the JFA support to ZNAN during the period 2004 to 2007. The evaluation also makes concrete recommendations for building on success and addressing challenges that were faced during this period. Specifically, the objectives of the evaluation are to:

1. Assess the results of ZNAN during the JFA period 2004 – 2007 with the funding provided from the JFA partners against ZNAN's objectives;
2. Assess the managerial and organisational set up of ZNAN including the functioning of the funding arrangements under the present JFA and ascertain the extent to which the secretariat contributed to the achievement of the ZNAN objectives;
3. Analyse and review the successes and challenges of ZNAN's sub-granting activities;
4. Assess the effectiveness of the advocacy and networking role of ZNAN.

For the detailed terms of reference, please see Annex 1.

1.2 Methodology

While ZNAN has a national scope the sample for the evaluation covered Lusaka, Eastern and Copperbelt provinces. These areas were chosen so as to be representative (e.g.: urban, peri-urban, provincial, underserved/remote and national) of the range of settings in which ZNAN operates. The evaluation was conducted during May – June 2007.

The evaluation team comprised an international consultant and a local Zambian consultant. The team had combined expertise in HIV programming, civil society responses, programme management and organisational development. The ZNAN Secretariat ably provided logistical support for the evaluation. A combination of the following methodologies was used:

- literature review
- semi- structured interviews
- focus group discussions
- field visits to project sites

The evaluation team consulted a broad range of stakeholders, namely: ZNAN personnel including personnel from the Provincial Office, representatives of donor agencies, recipient NGOs and CBOs, Lead Agencies, government, and multilaterals and partner organisations. Due to the time frame, it was not possible to meet with all stakeholders, respondents were randomly selected with the aim of consulting as broad and representative a sample as possible. The full list of respondents, is provided in Annex 2 and the documents reviewed for the evaluation are included in Annex 3.

2.0 Main findings

As per the agreed terms of reference included in Annex 1, the evaluation focuses on four areas: (1) results, (2) management and organisation, (3) the sub-granting system and (4) network and communication. Main findings are discussed in sub-sections 2.1 to 2.4. Conclusions and recommendations are presented in section 3.0 of the report.

2.1 Assessment of the results of ZNAN during the JFA Period – 2004 – 2007

This section discusses ZNAN results during the JFA period 2004-2007 against the agreed objectives of the JFA.

The primary purpose of the JFA was to support the implementation of ZNAN's core and sub-granting programmes over the period 2004 to 2007. Accordingly, this programme had the following three objectives:

1. Improve the capability of the ZNAN secretariat to provide capacity building to members and affiliates through training, outreach, monitoring and evaluation, as well as facilitating coordination, networking, collaboration, information exchange and liaison;
2. Improve and raise the level of support to NGOs, CBOs and the private sector with programmes and activities in HIV prevention, mitigation, and care;
3. Strengthen the capacity of members and affiliates in networking, collaboration, and information exchange among themselves through sub granting, skills development and transfers, mobilisation and advocacy, outreach and research programmes.

In the context of the ZNAN Constitution, the JFA's three objectives are entirely consistent with ZNAN's core mandate.

Since its selection as the Principal Recipient (PR) of GFATM in 2003 and as the recipient of bilateral funding from multiple sources (i.e.: JFA,, DCI and DfID), ZNAN has experienced a phenomenal expansion in the scope and scale of its work. Becoming a GFATM PR has resulted in a marked expansion of the sub-granting function, which was initiated by NORAD. ZNAN members have increased from sixty eight in 2003 to over one hundred and sixty in 2007; as per the GFATM requirements ZNAN supports both member and non-member recipients. Linked to the expansion of the sub-granting, has been a concomitant increase in skills and capacity building activities; the increase in skills and capacity building activities has been in direct response to needs articulated by recipient NGOs and CBOs. In keeping with good practice in HIV programming, ZNAN has continually strived to remain responsive to the evolving needs (i.e.: both capacity and implementation needs) arising from the HIV epidemic in Zambia. Over the past four years the mandate of ZNAN has broadened as the organisation has become a major policy actor occupying positions of influence in key provincial, national and international structures including the Copperbelt Provincial AIDS Task Force (PATF), National AIDS Council (NAC), Country Co-ordinating Mechanism (CCM), Southern African Network of AIDS Service Organisations (SANASO), the GFATM Board of Directors and the United Nations.

It is important to note that the assessment of ZNAN's performance against its previous strategic objectives (2003 – 2005) showed that ZNAN achieved its objectives and surpassed its targets.³ ZNAN's consistently good performance has resulted in increasing the confidence of donors and other key stakeholders (e.g.: government, communities). ZNAN has successfully managed a relatively rapid increase in the scope and scale of its funding and activities.

2.1.1 Capacity building

Capacity building is an important element of the mandate of ZNAN. With the expanded number of member organisations, the demand on the ZNAN secretariat for this service has soared to a level where the organisation's existing capacity is overstretched. The ZNAN secretariat has been providing skills and capacity building support to member and non-member organisations in a range of areas, including proposal writing, financial management, M&E etc.; instances of on-the-spot technical support on HIV programming have increased markedly since 2003. Led by its NGO/CBO Support Unit, the ZNAN Secretariat has been undertaking regular skills and capacity building interventions for both members and other non-member recipients.

Notwithstanding the mounting pressure from NGOs and CBOS for capacity building support, ZNAN has been delivering quality skills and capacity building services to its intended beneficiaries. In addition, the established linkages between grants application and capacity building processes have enhanced the relevance and appropriateness of this support. As a matter of practice, needs assessment for skills and capacity building is done during the field appraisals part of the grants application process. As observed, there is an appreciable level of satisfaction among CSOs regarding the quality of services being provided to them by ZNAN in the aforementioned areas. The ZNAN secretariat continues to make tremendous effort to provide comprehensive support to NGOs and CBOs, as per its mandate. However, due to the magnitude of the demand, this support seems insufficient and the ZNAN secretariat is overstretched by the ever-increasing demand for skills and capacity building among member and non-member organisations. Currently, the Secretariat has two staff members responsible for providing this support; the efforts of these staff members are complemented by other ZNAN personnel in the M&E and Finance units. Notably, the combined effort of these players falls far short of meeting the evolving demands for skills and capacity building from CSOs. Capacity building interventions are planned for as reflected in the annual work plans of recipient CSOs. With the staffing limitations of the ZNAN secretariat, these plans are addressing only a limited range of the skills and capacity building needs of recipient organisations. Notably, these needs are being addressed with a high level of proficiency and professionalism.

The establishment of ZNAN's Provincial Office on the Copperbelt has proven to be a cost-efficient and effective way of extending its skills and capacity building efforts. With the establishment of the ZNAN Provincial Office, there has been an increased level of skills and capacity building support, including on-the-spot technical assistance to organisations in the Copperbelt. Provincial Office staff report spending a large portion of their time providing technical assistance to NGOs and CBOs in the Copperbelt. Despite this achievement however, this support is not meeting existing needs due to the limited capacity of the Provincial Office. (*see section on Provincial Office*)

One of the terms of reference for the ZNAN Provincial Committees is to facilitate skills and capacity building. It was reported that this has not been happening consistently and that is primarily attributable to the internal weaknesses of the Provincial Committees. However, it is

³ Report on the Review of ZNAN : 2005

acknowledged that Provincial Committees will continue to be important structures for moving forward the capacity building agenda of ZNAN at provincial level.

Lead Agencies are expected to, among other things, provide skills and capacity building support to their sub-grantees. However, these have been playing a limited role in this regard, firstly, due to the fact that they do not have adequate resources available to them for this purpose. Secondly, Lead Agencies have their own priorities and competing agendas related to their specific mandates and therefore would not be expected to be fully committed to addressing capacity building needs related to the ZNAN sub-granting programme. It is acknowledged that some Lead Agencies have been exceptionally effective in providing capacity building support to sub-grantees in the areas of proposal writing and financial management. These include DAPP in Southern province, Africare in Lusaka, and CHEP in the Copperbelt. It is however quite evident that these organisations have their own limitations as mentioned above and cannot be completely relied upon to provide this service at the required scale.

2.1.2 Improve level of support to NGOs and CBOs in HIV prevention, mitigation and care

With the expansion of ZNAN's sub-granting function, the secretariat support to NGOs and CBOs has increased significantly in scope and scale. With the funding made available through the JFA, the Secretariat has been able to provide meaningful and practical support to member and non-member organisations; NGOs and CBOs report that this has, in turn, had the effect of improving services at the community level. A notable example of this improved level of support is the increased instances of on-the-spot technical support that the ZNAN secretariat has been providing to NGOs and CBOs albeit its capacity limitations.

With its innovative funding of marginalised or underserved groups as well as its support to promoting sustainability and strategic public-private partnership in implementation of community projects, ZNAN has enabled a wider spectrum of NGOs and CBOs to access JFA funding. The Mental Health Users Network of Zambia (MHUNZA) represents a group of people who would ordinarily not easily benefit from donor funding due to limited organised mechanisms for supporting their access to such funding. Through support from ZNAN, this organisation has established its own secretariat and has thus been empowered to respond effectively to HIV issues affecting people with mental illness. Similarly the Malimba Basic School in Mambwe district of Eastern province is a good illustration of ZNAN's commitment to promoting sustainability and supporting private-public partnerships in community projects. ZNAN's funding innovations are further illustrated by its inclusion of the Traditional Healers and Practitioners of Zambia (THAPZ) in the HIV response. ZNAN's support to Facing The Challenge (FTC), which is a project in Chongwe district that is responding to evolving needs of communities and scaling up, demonstrates the ability to support NGOs and CBOs to move progressively towards scaling up with a focus on financial and institutional sustainability. *(Brief case studies on FTC, Mulimba Basic School & MHUNZA, presented on the following page further illustrate these points.)*

“Consistently, we have been receiving quality support from ZNAN”

...Thandizani Community Based HIV/AIDS Prevention, and Care

“ZNAN support is reaching out to districts all over Zambia.”

...Traditional Healers and Practitioners Association of Zambia

Malimba Community School is situated in Mambwe district in the Eastern province. The school was started in 2001 as a community effort to meet the education needs of an increasing number of vulnerable children in the area who were not attending regular school. Having started with the construction of a makeshift classroom structure to accommodate 80 children and hiring voluntary teachers, the community secured a partnership with Tribal Textiles Carr (TTC), a local business organization that took interest in working with this community to address the education needs of these children. Through this partnership, and particularly resulting from the fundraising efforts of TTC, the school managed to secure funding to meet its needs for teacher allowances, procurement of sporting equipment, and teacher training. With the sub-granting funding from ZNAN, the school has constructed teachers' houses and improved its classroom infrastructure, which now accommodates 247 pupils. The school project implemented with this funding evolved out of the strong partnership commitment of the community and the business organization. Currently this project is being managed by a Committee comprising 4 teachers and 6 elected community members. This Committee manages the project bank account and holds quarterly meetings to report on progress to the larger community and ZNAN.

Facing the Challenge (FTC), a project located in Chongwe district of Lusaka province, was established in 2003 with the primary aim of providing support to people living with HIV. The original concept of the project was to mobilize nutrition support for people in the area who were on ARV treatment. With an initial membership of seven people, FTC was a recipient of food supplements from ZNAN for its members. In February 2006, the project secured funding under the ZNAN sub-granting mechanism to engage in poultry rearing as an income generating activity to meet the nutrition requirements of its membership. With this support, the focus of the project shifted from receiving food supplements for its members to food production for sale. With the income realized from the sales, members are now provided with fertilizer and seed to grow their own food and thus meet their own nutrition requirements. Since 2005, FTC has scaled up and replicated its IGA model to other areas outside Chongwe. With a current membership of 267 members, the project has established 5 branches involved in vegetable growing, beekeeping and poultry rearing.

The **Mental Health Users Network of Zambia (MHUNZA)** was established in 2001 and is registered with registrar of societies. It was established to address the inequalities in the mental health sector with regard to service delivery and after care services. With the observed gaps in the delivery of mental health services, it was apparent that there was need to form a mouth piece organisation to speak for mental health users in the country many of whom were subjected to neglect and a life of abject poverty on grounds of mental illness. Of greater concern, the national response to HIV/AIDS was not adequately taking care of the needs of people with this mental condition and as a result they were increasingly becoming vulnerable to infection through various forms of abuse. Since 2004 ZNAN has provided support to MHUNZA in terms of helping them build a strong institutional framework to pursue their mandate. Starting with the development of a strategic plan for the period 2005 to 2007, the support from ZNAN has culminated in the establishment of a full-fledged secretariat for the organisation, which is now providing coordination and networking services for its membership. Further, with this support, MHUNZA has been active in the public awareness campaigns in the World Mental Health day trying to educate the public on mental illness, its treatment and recovery.

Overall, ZNAN has institutionalised good practices in the services and support it provides to NGOs and CBOs. ZNAN's commitment to transparency and accountability is visible in the services it provides and this has given rise to a culture of dedication to providing services with transparency, accountability and excellence among NGOs and CBOs. Through the skills and capacity building support (i.e.: transferring good practice), ZNAN is also promoting financial and institutional sustainability among its member and non-member organisations. As an example of this, DAPP has prepared a sub-granting manual for its recipients based on the ZNAN grant manual. Similarly, NZP+ Kitwe branch is promoting transparency and accountability in its policies and practices; Malimba Basic School in Eastern province is mobilising private sector resources, while FTC is promoting financial sustainability and replicating its model beyond Chongwe district. All these examples illustrate the flexible, innovative and responsive nature of the ZNAN Secretariat's support to NGOs and CBOs responding to the challenges of HIV.

While it is widely acknowledged that with JFA support ZNAN has significantly improved its support to NGOs and CBOs in HIV prevention, mitigation and care, it is important to note that ZNAN is not paying sufficient attention to linking the services of the different players within communities to ensure that they deliver comprehensive programmes. As a result services provided by different NGOs and CBOs within a given community are fragmented and as a result there are missed opportunities to synergise programmes for improved impact and optimal use of resources. For example, in line with national priorities and good practice in HIV programming, more efforts should be made to ensure that opportunities for prevention are not missed and that services for people with HIV, OVC and community based care and support are adequately linked to appropriate prevention services.

With regard to geographical coverage, ZNAN has developed and implemented specific strategies for reaching the underserved and hard to reach areas. For example, ZNAN has held outreach meetings in underserved areas such as Shangombo, in order to encourage NGOs and CBOs to come forward and access ZNAN support. Community radio and newspaper articles have also been used extensively to broaden ZNAN's reach across the nation. It was observed that communities in underserved areas appreciate the services and support provided through ZNAN supported programmes and the demand for these is ever increasing.

2.1.3 Strengthen capacity of members in networking, collaboration and information exchange

Within the context of its mandate, one of ZNAN's key responsibilities is to promote collaboration, networking, and information exchange among NGOs and CBOs. With JFA support to ZNAN's core programme activities, these tasks have been performed with significant success. Furthermore, the expansion of sub-granting has contributed significantly to strengthened networking and collaboration. This is evidenced by the expanded membership in the network, as noted above, which implies that more NGOs and CBOs are collaborating within the ZNAN network. Furthermore, the number and frequency of exchange visits among these organisations have increased with two visits organised at national level to which groups from all provinces are brought together to visit selected projects. Several Provincial Committees have also organised exchange visits at their levels. However, as previously mentioned, due to some internal weaknesses, these Committees have not been consistently supportive in expanding networking and information sharing. In addition to the increased number of exchange visits, networking and information exchange have also been enhanced as evidenced by the establishment of resource centres by some Lead Agencies, such as Thandizani in Eastern province. ZNAN members are also reporting their increased participation in national and regional HIV events. Finally, one of the indicators of success of ZNAN's networking and information sharing activities is the ever-increasing demand from NGOs and CBOs for more opportunities for information exchange and networking.

Notably, networking and exchange visits have proven to be useful means for improving communication among NGOs and CBOs. This communication is further enhanced by ZNAN's use of a range of communication channels including its website, newsletter, other publications and use of public media such as radio and newspapers. It is also important to note that outside the well-served cities and towns, use of the website is limited due to poor quality communication systems. Thus ZNAN's on-going use of multiple channels is particularly important for enhancing access for a broad range of stakeholders.

"ZNAN is a leader in partnership building for positive development."

...Malimba Community School

2.2 Management and Organisation

This section of the report discusses ZNAN's managerial and organisational set-up. This section will discuss the functioning of the funding arrangements under the preset JFA, and ascertain the extent to which the Secretariat contributed to the achievement of ZNAN's objectives.

2.2.1 Governance

ZNAN's governance structure (i.e.: Congress, Liaison Committee, ZNAN secretariat and Copperbelt Provincial Office, Technical Committee, Provincial Committees, Provincial office) forms the basis of its culture of accountability and transparency. The biennial Congress, attended by ZNAN members, elects the Liaison Committee, which is essentially the ZNAN Board of Directors. The ZNAN's Executive Director, who has the overall responsibility of managing the secretariat and the Provincial Office, reports to the Liaison Committee on a quarterly basis. The Provincial Committees are loose arrangements, comprising of members and non-members representing different interests in HIV at provincial level. These committees are ZNAN forums and are meant to facilitate communication, information exchange and skills and capacity building in the provinces. Provincial committees have not been performing consistently as they are voluntary arrangements and their operations are largely influenced by the level of commitment of key individuals. With the establishment of the Provincial Office in the Copperbelt province, ZNAN has two structures in that province. Notably, the relationship between the Provincial Committee and Provincial Office requires to be formalised as the latter is a permanent component of the secretariat while the former is merely a voluntary association of individuals contributing to ZNAN's work at the provincial level.

As a network organisation, ZNAN has well established and consistently applied governance systems. Programme and financial reports are presented at the Annual General Meeting and the Congress; these reports are also made available on the ZNAN website.⁴ These systems also facilitate an inclusive and participative governance process as demonstrated by the consultative process of ratifying the ZNAN Constitution, a process that involved the participation of two hundred and twenty two CSOs from eight provinces. It is important to note that ZNAN's strategic plans are also developed in a consultative manner.

2.2.2 ZNAN secretariat

With a current staffing complement of twenty-nine and considering its outstanding performance in relation to its strategic objectives⁵ the structure of the ZNAN secretariat can be described as being effective. However, it is important to note that the capacity of this Secretariat is quite overstretched in terms of providing optimal support to NGOs and CBOs, and as such it is evident that this structure is struggling to do more than cope with its current work load. The Secretariat has a well-organised work allocation framework, which is patterned on a semi-matrix management system. This is exhibited in the current practice of grouping people around tasks as demands arise. As an example, field verification visits often involve staff members drawn from all sections of the Secretariat. It is also important to mention that the Executive Director has been highly facilitative in maintaining a cohesive team of Secretariat staff members. The appointment of ZNAN's Executive Director as the UN Special Envoy on AIDS to Africa and the Vice-Chair of the GFATM Board of Directors offer important policy and representation opportunities for the CSOs in Zambia involved in HIV. However, these appointments also pose management challenges, which can be addressed with pragmatic solutions. In the current structure the Executive Director has a very wide span of control. With this span of control almost all senior management positions have a direct one-on-one

⁴ Accessed at <http://www.znan.org.zm/>.

⁵ Report on the Review of ZNAN : 2005

reporting relationship with the Executive Director, resulting in a structure that is fragile in terms of its over-dependence on the Executive Director. Given the demands on the Executive Director's time, there is an urgent need to establish an Office of the Executive Director, which is staffed in a manner which facilitates effective and sustainable management. There is a functional but nascent senior management structure which needs to be formalised and strengthened. Given the workload, increasing demands and the current structure there is need to invest in creating a robust second line of leadership in ZNAN, which includes a Deputy Executive Director who takes on more of the day to day management and operational responsibilities currently carried out by the Executive Director. It is important to note that the Executive Director has already initiated some measures in this regard. A revised structure that facilitates effective management of ZNAN's current and future work is presented in the proposed organogram in Annex 4.

ZNAN secretariat personnel are committed, high calibre individuals who share a common vision and purpose and are committed to high levels of cohesion and team working. The Secretariat has a well-articulated human resource policy and offers competitive salaries and benefits,⁶ as evidenced by the low levels of staff turnover. ZNAN has also invested in building the HIV competence of its staff and should continue this process. In terms of staff development, there is a good culture of self-assessment and learning which ZNAN should continue to foster. Notwithstanding the high competence of its staff, the capacity of the Secretariat to fully meet the demands of its members is drawn down by the highly demanding sub-granting functions (i.e.: grants, accounts, M&E), especially given GFATM's and DCI's quarterly sub-granting requirements.

Technical assistance is provided to ZNAN members and non-members on a range of technical and programme management issues. ZNAN has retained the flexibility to respond to evolving technical assistance needs of its membership and non-members. However, as previously mentioned the capacity to meet technical assistance needs is quite over-stretched. Often this has meant that technical assistance is predominantly reactive and there is little opportunity for proactive technical assistance. This reiterates the issue regarding the need for additional human resource capacity in ZNAN's grants, NGO/CBO support and M&E. units.

Generally ZNAN's support services are of good quality. Partners view the services as being inclusive, responsive and transparent. Manuals for grants and accounting have been developed; these manuals outline relevant processes and requirements in an accessible manner and speak to ZNAN's commitment to transparency and inclusion. Additional capacity in grants and M&E would improve communication and make services timelier. Financial systems are generally robust as is evidenced by ZNAN's consistently excellent performance in external audits. A functional internal audit system also contributes to ZNAN's efficient and effective financial systems.

2.2.3 Provincial office

It is important to note that although the Copperbelt Provincial Office was set up through bilateral funding support from DCI in the context of its Copperbelt OVC programme, the skills and capacity building support it provides is relevant to the needs of JFA recipients.

The Provincial Office has three staff members (i.e.: two programme staff and one support staff) who are generally competent and committed to ZNAN's vision and values. With an operating budget of approximately USD \$ 93,000 per year, the Provincial Office is efficiently and effectively providing support to ZNAN membership in the Copperbelt. The establishment of this office has demonstrably expanded the scope and scale of ZNAN's support to NGOs and CBOs in the

⁶ Human resource policies are included in ZNAN's Human Resources Manual. The HIV Policy is available as a separate document.

province as the recipients report that this physical presence of ZNAN in the province facilitates better communication, information sharing and skills building and capacity building support. Generally, there is good flow of information between the Provincial Office and the ZNAN secretariat. However, more could be done to strengthen information flows from the ZNAN secretariat to the Provincial Office. For example, the creation of an intranet section on ZNAN's website for internal communication could improve the flow of communication with the Provincial Office. In addition, regular annual retreats with all staff could help to strengthen cohesion and communication between the Secretariat and the Provincial Office.

The Provincial Office staff members spend approximately sixty to seventy percent of their time on sub-granting and technical assistance especially as part of the grant approval field verification process. Staff members of this office reported that on a daily basis, they are responding to anywhere between five to ten technical assistance requests and as a result, there is often insufficient time for routine monitoring, information exchange and networking. It is important to note that the Provincial Office has established excellent linkages with the Copperbelt PATF and Kitwe DATF. This should be institutionalised as a practice with respect to establishing linkages with other relevant structures at provincial level, such as Lead Agencies. Currently, the Provincial Office's linkage with CHEP and the Provincial Committee appears to be weak. In this respect, the review team also noted that with the presence of the Provincial Office, the continued housing of the Copperbelt Provincial Committee secretariat somewhere else contributes to this weak linkage between the two structures.

2.2.3 Funding arrangements

ZNAN receives the largest component of its funds from JFA and GFATM. A smaller proportion of funds are also received from DCI and DfID, Figure 2 below shows the breakdown of funding received in 2006. The JFA is committed to the principles of alignment and harmonisation, which reduce transaction costs and management burdens for ZNAN. However, it was noted that the reporting and grant approval requirements of GFATM and DCI neither adhere to these principles, which are built on the Paris Declaration on Aid Effectiveness,⁷ nor do they conform with the Three Ones.⁸ As a result, the funding requirements of these two donors increase ZNAN's transaction costs and management burden, thereby limiting its capacity to perform other functions such as regular M&E. Given the nature of GFATM funding, it may for now be difficult for it to become part of the next JFA. In keeping with their internationally agreed commitments, other donors, such as DfID and DCI, should consider aligning and harmonising their support to ZNAN within a future JFA.

⁷ Organisation for Economic Co-operation and Development. The Paris Declaration for Improving Aid Effectiveness. March 2005.

⁸ UNAIDS. Three Ones: Key Principles. (accessed at http://data.unaids.org/UNA-docs/Three-Ones_KeyPrinciples_en.pdf).

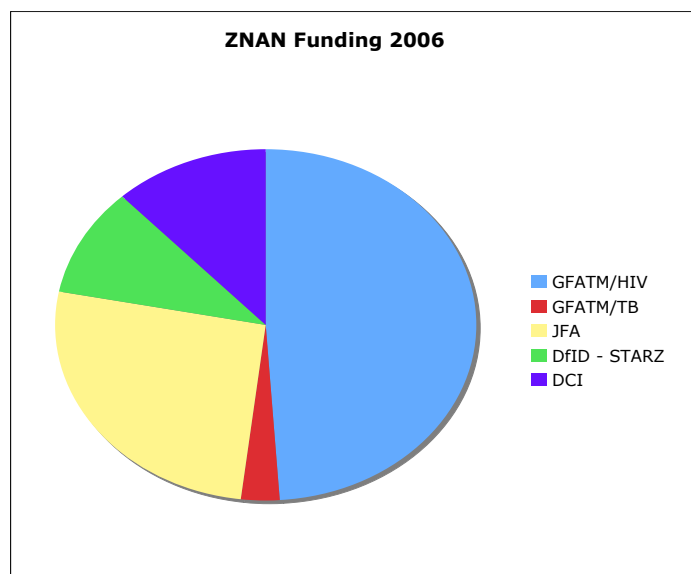


Figure 2: ZNAN's Funding

Funding from GFATM is based on principles of '*additionality*' and '*scaling up*', hence adequate levels of funding from other sources, viz. JFA, DCI and DfID are critical. It is important to note that GFATM funding is restricted and focused on achieving targets in a range of service delivery areas, thus underscoring the on-going need for more flexible funding of core programmes (i.e.: skills and capacity building, communication, information sharing and networking) from other donors. The JFA investment in ZNAN's core programmes is crucial for making GFATM, (and particularly, the GFATM and JFA sub-granting funds), work more effectively and efficiently for affected communities. It is interesting to note that twenty-one of twenty-three JFA recipients also receive GFATM money; monies from these two sources fund separate thematic activity areas, thus allowing recipient organisations to further scale up their work. It is important to note that the more flexible funding from the JFA is crucial for ensuring more comprehensive programmes are delivered to communities. For example, along with funding skills and capacity building, information sharing and networking functions, some JFA funds could be allocated for ensuring that ZNAN's care, treatment and support grantees are effectively linking to appropriate prevention services and vice-versa. Even with the modest investment in core programmes, as shown in Figure 3, the JFA has had a catalytic effect, contributing to GFATM results as well as its own results and those of DCI and DfID. With an increased investment in core programmes, the JFA's impact in terms of making the money work for Zambian communities more effectively could be significantly scaled up.

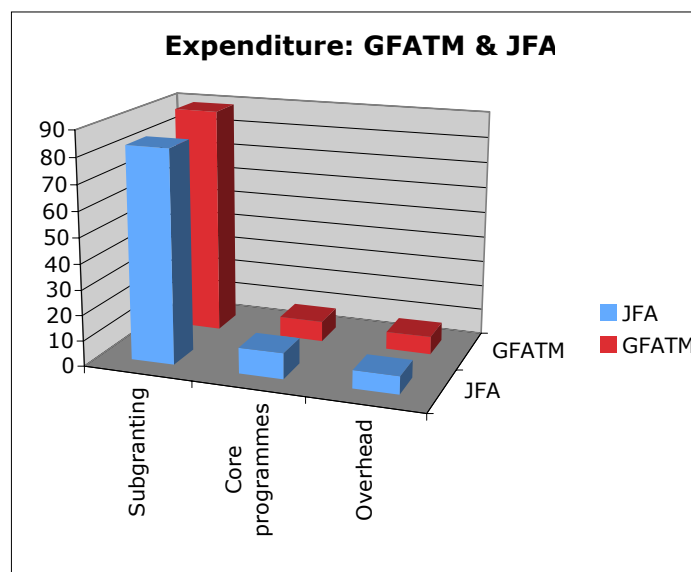


Figure 3: Allocation of JFA & GFATM resources

One of the key JFA results has been its contribution to improving ZNAN's financial and institutional sustainability. More specifically, the JFA has contributed to strengthening of ZNAN's institutional capacity and ZNAN has been pursuing multiple channels of funding. Furthermore, as previously mentioned, ZNAN has been building the skills and capacity of its recipients thus strengthening their institutional capacities and promoting a culture of financial sustainability within these organisations. With longer term predictable financing from the JFA to match the ZNAN's GFATM, ZNAN could scale up and concomitantly strengthen the institutional and financial sustainability of the civil society responses.

2.2.5 Overheads & ZNAN staff salaries

All ZNAN's donors are cost-sharing salaries and overheads. It is interesting to note that even with such cost sharing, individual donor funds are traceable through ZNAN's financial systems. GFATM allocates fifteen percent overhead costs, which ZNAN passes on its entirety to sub-recipients. JFA allocates seven percent overhead, which is considered to be insufficient. Obviously, a harmonisation of overheads would reduce ZNAN's management burden. However, if it is not possible to raise the JFA overhead to fifteen percent, then JFA programme costs could be allocated in a way that would cover the eight percent gap.

2.3 ZNAN Sub-Granting System

This section of the report discussed the successes and challenges of the ZNAN sub-granting programme.

The sub-granting programme has enabled the ZNAN secretariat to fulfil its mandate relating to resource mobilisation for member organisations. It is important to note that even though ZNAN receives sub-granting funding from different sources (i.e.: GFATM, JFA etc.), it has, in keeping with good practice, established a single harmonised sub-granting system. With the funding resources available for sub-granting from the JFA, GFATM and other bilateral donors, ZNAN members and other CSOs have been enabled to broaden the scope and depth of their response to HIV. Equally importantly, this sub-granting system has facilitated broader access to HIV funding resources by CSOs as the sub-granting system is inclusive, open and transparent. Further, this sub-granting system has been instrumental in getting funding to NGOs and CBOs based in underserved rural areas.

2.3.1 Sub-granting tools

ZNAN has managed its sub-granting function with a high degree of proficiency and commitment. Generally, the sub-grantees acknowledge that the system is transparent and the grants manual and template are accessible and relevant tools. The grants manual adequately outlines the application process and as such, all applicants of grants are properly informed on the approval and rejection procedures. With the posting of the manual on the ZNAN website, NGOs and CBOs targeted by the sub-granting programme are openly provided with information on accessing the resources. The media also serves as a useful tool for disseminating information on the availability and disbursement of sub-granting funds as all requests for proposals and approved grants are advertised in the government and private media. A further positive attribute of the ZNAN sub-granting system is that it is responsive to the diversity in CSOs as the tools adequately differentiate the terms for accessing resources based on the capacities of the applicants. In this respect funding criteria are differentiated between smaller and larger CSOs to suit their particular characteristics. It was also acknowledged that decisions on approved and rejected proposals are often communicated in a timely manner and that the Secretariat also makes efforts to provide an explanation for most rejected proposals. However, it was also acknowledged that any delays in communication were mainly due to limited human resources capacity.

While the sub granting tools were generally perceived as being adequate, several respondents concurred that the grant manual requires further clarification on certain issues. As an example, there is general concern that the manual does not specify whether or not organisations can be funded through more than one funding stream simultaneously from the same funding source. An example of this is the question whether an NZP+ district branch may access sub-granting funds through its umbrella body and directly from ZNAN simultaneously. With regard to funding from different sources and preventing duplication/ensuring complementarity, a sound system has been put in place involving sharing of information among recipients on potential grantees. In this respect, ZNAN shares this information with its Lead Agencies and the Churches Health Association of Zambia (CHAZ), also a GFATM PR, through the use of a database of organisations being funded.

2.3.2 Approval criteria

The approval criteria are comprehensive in terms of service delivery areas. As can be seen in Figure 4, sub-granting funds support quite a wide range of interventions. In the two sampled provinces at least ten service delivery areas are supported.

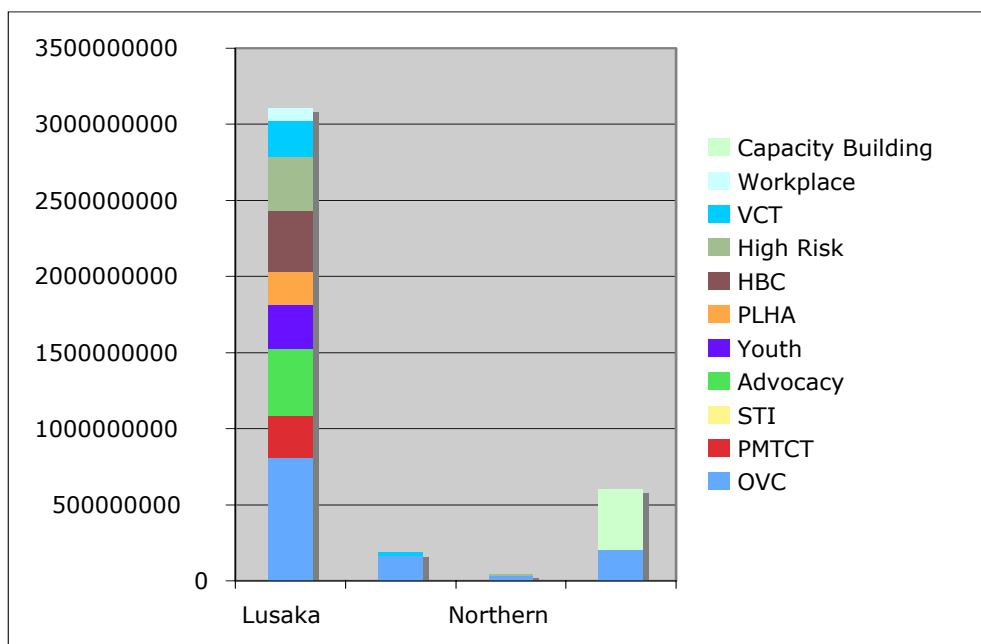


Figure 4: Funding Distribution: Service Delivery Areas (in Kwacha)

Generally with respect to all sub-granting funding sources, the geographical distribution of these service delivery areas is heavily skewed towards Lusaka province in which most of the interventions are taking place while in the Northern province the interventions are concentrated in OVC and capacity building. With regard to distribution of resources, there has been a significant shift over the period 2004 to 2006. As can be seen in Figure 5, in 2004 just under ninety percent of the sub granting resources were disbursed to Lusaka province; since then there has been a gradual reduction in this percentage as more resources were being directed to other provinces with Lusaka receiving just over forty percent in 2006. This trend reflects the specific efforts made by ZNAN to scale up its work in other provinces.

It is important to note that coverage of service delivery areas depends on successful proposals and is consequently dependant on capacity of NGOs and CBOs to submit good proposals. The uneven distribution in terms of service delivery areas and resources can be attributable to the lack of capacity among CSOs in other underserved provinces to access these resources. It was acknowledged, for example, that NGOs and CBOs in rural areas lacked proposal writing skills and adequate information to make informed and sound applications for sub granting funds from ZNAN.

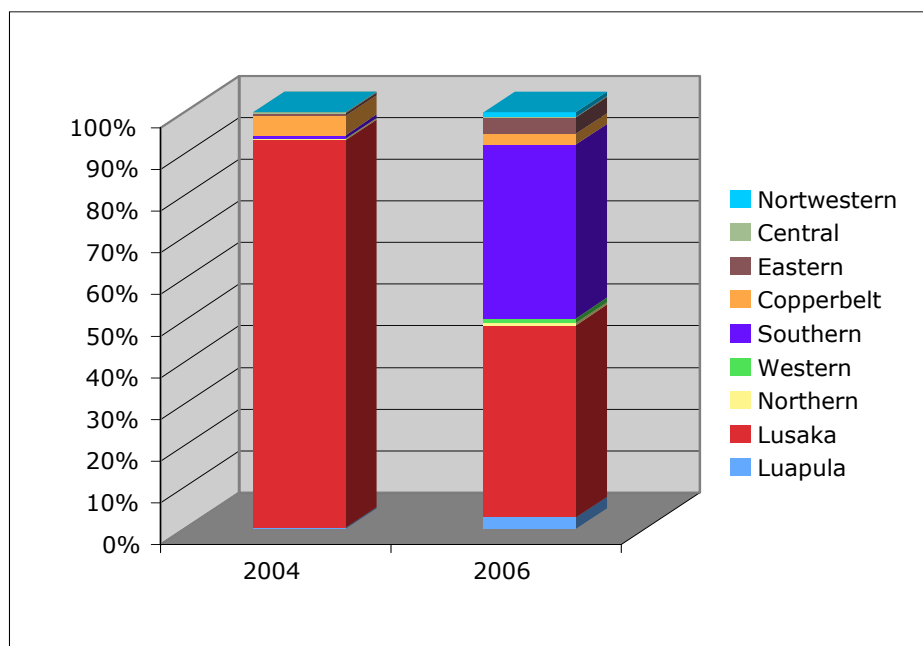


Figure 5: ZNAN's Funding Distribution: Provinces

With an active but limited skills and capacity building programme and wider information dissemination, the ZNAN secretariat has made significant strides to improve the accessibility of sub-granting funds to CSOs outside Lusaka province. Almost all ZNAN member organisations have been helped to access funding through this skills and capacity building programme. In collaboration with Lead Agencies, ZNAN has also been assisting non-member NGOs and CBOs to access funding under the sub-granting programme. Training in proposal writing has been conducted and in many cases on the spot technical support in this area has also been provided to these organisations. This support has contributed to the increased number of recipients outside Lusaka in the year 2006 as shown in Figure 5 above.

2.3.3 Monitoring and evaluation system

In 2004, ZNAN developed an M&E framework through a consultative process involving key M&E partners such as the Lead Agencies, NGOs and CBOs. In keeping with one of the key principles of the Paris Declaration for Improving Aid Effectiveness⁹ and the Three Ones¹⁰, one of the key characteristics of the ZNAN M&E framework is that it is harmonised across funding partners supporting ZNAN's HIV sub-granting programme. In addition, this framework was developed in conformity with the National HIV/AIDS/STI/TB M&E Plan. With the support of GFATM funding, the M&E framework has been disseminated to stakeholders and Lead Agencies as well as sub-recipients who have also received some training in its requirements.

“ZNAN has created a spirit of participation through its participatory methods in M&E.”
...Facing The Challenge

⁹ Organisation for Economic Co-operation and Development. The Paris Declaration for Improving Aid Effectiveness. March 2005.

¹⁰ UNAIDS. Three Ones: Key Principles. (accessed at http://data.unaids.org/UNA-docs/Three-Ones_KeyPrinciples_en.pdf).

Currently, the M&E function is the responsibility of the ZNAN secretariat's M&E Unit, which was established in 2003. The M&E Unit has two full time staff members who are tasked with ensuring that all grantees adhere to planned programme activities. The Internal Auditor monitors the use of funds to ensure NGOs and CBOs adhere to the budgets and funding requirements.

Financial monitoring, which is done separately under the internal audit, is adequate with a coverage of about ninety percent of recipients. The adequacy of this aspect of monitoring is due to the fact that recipients are obliged, as part of the contract, to report on their financial performance as opposed to programmatic monitoring which requires physical field visitations by ZNAN staff. While incidents of financial malpractices among sub-grantees are not common, current financial monitoring is adequate to detect such incidents among sub grantees.

Notwithstanding the adequacy and comprehensive nature of the M&E tool, ZNAN has insufficient capacity to undertake routine monitoring. With a limited staffing complement of two people in the M&E Unit, the ZNAN secretariat is not able to adequately meet the routine M&E needs given the large number of NGOs and CBOs being funded through the JFA and GFATM sub-granting programmes. As noted, M&E is largely focused at the grant approval stage (i.e.: the field appraisals process), while the rest of the monitoring activities are based on self-reporting by the grant recipients. Given the inadequate routine monitoring, incapable and ineffective sub-grantees may not easily be identified with the use of the M&E system.

With the overstretched human resource capacity of the M&E Unit, very limited information is collected from the field for use in assessing the impact of the sub-grants. For this reason, the M&E system measures inputs, activities and outputs only as this information is collected at project approval and end-of-project reporting stages. Therefore ex-ante monitoring is largely done owing to the fact that it is part of the project approval process, while little attention is paid to post-ante monitoring to determine the impact of sub grants. The problem of weak post-ante monitoring is compounded by the fact that NGOs and CBOs have weak capacity to support the M&E function. As observed, output and impact reporting is anecdotal as both the ZNAN secretariat and its sub-grantees do not have adequate capacity to do it routinely.

Lead Agencies are key to the implementation of ZNAN's M&E framework. As ZNAN sub-recipients, they are responsible for ensuring that the approved work plans for funded NGOs and CBOs are implemented. Using the standardised reporting guidelines and formats produced by the ZNAN secretariat, they assess the evidence of achievement against the stated objectives in the work plan and linkages to the financial inputs. The Lead Agencies then compile consolidated M&E reports and submit them to the ZNAN secretariat. Many Lead Agencies have insufficient capacity to monitor and evaluate their HIV programme and the activities of their sub-grantees. This lack of capacity is attributable to lack of or inadequate computer equipment and software, inadequate staff training in M&E and inadequate financial resources for M&E. For this reason, M&E information provided by Lead Agencies is usually not adequate and is inconsistently provided. Lead Agencies appreciated ZNAN's support in providing them with vehicles, computers and financial support to hire M&E officers. It was also noted that although some training in M&E was being provided, the needs gap still remains wide.

At the ZNAN secretariat a central database has been established. This database is linked to programme activities, targets to be achieved against performance and financial tracking of programme activities; staff training on the database needs to be rolled out. However, the current data management system has few indicators for assessing the quality of services provided and for this reason the level of quality of programme outputs is not being closely monitored. Furthermore, the ZNAN secretariat has not had sufficient human resource capacity to adequately utilise monitoring data in its strategic thinking, planning and policy work.

Many consider M&E on HIV is the prime responsibility of NAC and support from NAC is crucial, but the appropriate capacities are not in place at the moment at NAC and from the national level down to the grass-root level, such capacity needs to be created or strengthened. The PATFs and the DATFs, which are part of the NAC institutional framework, have insufficient capacity to monitor and evaluate HIV activities. This further contributes to the link between ZNAN and the provincial/district structures being weak.

The Country Response Information System (CRIS) developed by UNAIDS has been adopted to provide support to M&E activities. CRIS has been adopted as the overarching M&E system for the Zambian HIV response. Although this is yet to be operationalised, key M&E staff members at ZNAN have been trained on the use of the package. CRIS will be adapted to facilitate the entry, analysis, exchange, reporting, of information on Lead Agencies and sub-recipients funded by ZNAN. The results will fit into the national M&E system. Stakeholders particularly the Lead Agencies recognise ZNAN as the coordinating authority for the new M&E framework to feed into the national M&E framework.

In spite of the participatory process built to develop the ZNAN M&E framework, there is insufficient ownership of the information generated. There is little evidence to demonstrate that Lead Agencies and sub grantees use the information for planning purposes. Most are pre-occupied with collecting data and sending it to ZNAN. Creating ownership of the system by staff responsible for M&E particularly in the Lead Agencies still remains a challenge. Some of the Lead Agencies have weak information systems to cope with the extra responsibilities of sub-granting. The weak financial capacity particularly at sub-grantee level compromises the links required between programmatic and financial aspects of the M&E system. Although reporting by the Lead Agencies and sub-grantees has gotten better, the quality of data and information generated particularly from the sub-grantees requires improvement. ZNAN have invested substantial time and resources in the verification of the data. Much of this is attributed to inadequate capacity of the implementers to report appropriately.

2.3.4 Lead Agencies

Lead Agencies are important partners in the implementation of the sub-granting programme. The benefits that ZNAN has derived from the Lead Agency model include:

- Wider geographical coverage of the ZNAN sub-granting programme as Lead Agencies are relatively well established in their operational areas and are networked with smaller NGOs and CBOs which are target of the programme;
- Lead Agencies provide a reasonable amount of capacity building support to smaller NGOs and CBOs, thereby filling in the gap for ZNAN whose capacity limitations prevent it from reaching many of these sub-grantees;
- Lead Agencies provide an institutional framework for supporting the sustainability of projects supported by sub-granting funds.

Overall, the sub-granting programme has facilitated the scaling up of Lead Agencies' own core activities. As recipients of the sub-granting funds, Lead Agencies have been replicating the ZNAN culture of transparency and accountability and for this reason, the sub-granting standards set by ZNAN are adhered to across the board and have trickled down to the sub-grantees of Lead Agencies. DAPP and CHEP are examples of Lead Agencies and their sub-grantees who have adopted the ZNAN sub-granting model and are applying its principles. From this perspective, the sub-granting programme has been instrumental in scaling up good practices and strengthening partnerships between Lead Agencies, sub-grantees and communities as the availability of resources has enhanced their commitment to providing HIV services with a high level of

accountability and transparency. Accountability is further enhanced by the existing requirement of subjecting Lead Agencies and sub-grantees to external auditing.

With the availability of sub-granting resources, Lead Agencies have been enabled to build capacities of smaller NGOs, CBOs and the communities they serve to provide a wider range of quality HIV services. Some of these services have also contributed to the success of other HIV programmes (e.g.: the government HIV programme). As an example, the nutritional support programme being implemented by some NGOs and CBOs is supporting the public sector ART programme as more people are able to benefit from this life-sustaining treatment with adequate nutritional requirements.

As previously mentioned, the performance of Lead Agencies in terms of skills and capacity building as well as M&E has been inconsistent. One of the reasons given by the Lead Agencies regarding sub-optimal performance is that of lack of adequate resources. Many Lead Agencies reported that the percentage of resources to cover their overhead costs was too low to cover their actual costs for staff time and communication. Another major reason is the variable capacity of the Lead Agencies. Some of the older, more experienced and resourced Lead Agencies (e.g.: CHEP & DAPP) have better capacity to deliver on their roles than some of the newer Lead Agencies (e.g.: THPAZ) who have less relevant experience and fewer resources. Therefore, there is a need for ZNAN to provide tailored, on going capacity building support to Lead Agencies in their evolving roles.

2.4 ZNAN's Network and Communication

This section of the report discusses the effectiveness of the advocacy, communication and networking role of ZNAN.

2.4.1 Communication

Among ZNAN Secretariat staff, there is a good sense of commitment to good internal communication. The large majority of staff members are well informed of what is going on in the organisation. The systems of communication are largely informal and could be strengthened with the addition of some regular meetings. As previously mentioned, communication between the ZNAN secretariat and the provincial office is reasonable but more could be done to strengthen the two-way information sharing between the two offices.

ZNAN is successfully meeting its objectives as a network organisation. As previously mentioned, the networking has been substantially scaled up due to the expansion in sub-granting. ZNAN members appreciate ZNAN's support as do non-members. Many of them especially noted the flexibility, consistency, commitment to excellence and transparency as the outstanding features of the financial and technical support they receive from ZNAN. The only areas of networking that members and non-members would like to see ZNAN doing more of are the skills and capacity building and information sharing. As previously mentioned, ZNAN has been carrying out skills and capacity building and information sharing activities. However, as already mentioned, the sub-granting functions draw down on ZNAN's capacity to a significant extent thus hindering the capacity to further scale up skills and capacity building and information sharing functions. As a result, without an investment in expanding the capacity of the ZNAN secretariat, it will prove challenging for ZNAN to meet the demands for more information sharing and networking.

ZNAN's membership has grown considerably since 2003. Notably, ZNAN has exceeded its membership targets. The membership of ZNAN is multi-sectoral (i.e.: support groups of people with HIV, TB, health and development) and reflects the diversity of CSOs involved in the Zambian HIV response. Furthermore, ZNAN has made explicit efforts to reach out CSOs in the underserved and hard to reach areas of Zambia.

Communication between ZNAN and its members is generally good in terms of scope and content. ZNAN has evolved multiple channels for communication with its members and its constituency more broadly; these include resource centres, newsletters, publications, website, exchange visits, Provincial Committee meetings. Annual general meetings and the biennial Congress serve to facilitate communication amongst ZNAN members on key strategic issues. However more could be done to expand communication amongst members.

In terms of communication and information exchange with other Zambian organisations working on HIV, ZNAN does regularly communicate and share information with CHAZ, the PR for faith based CSOs. Other key organisations include NAC and the Ministry of Health. ZNAN also has fairly regular communication with NZP+, which is a member of ZNAN's Liaison Committee. However, communication with other Zambian NGOs appears to occur on an ad hoc basis. Communication and information sharing amongst NGOs and CBOs is taking place and could be enhanced through improved linkages with DATFs and strengthening the Provincial Committees.

2.4.2 Perceptions of ZNAN

ZNAN consistently portrays itself as: (1) a partnership-building organisation and (2) a partner in the Zambian HIV response. ZNAN is perceived as: (1) a competent, consistent, flexible and responsive partner and (2) both a network and a source of funding. It is interesting to note that whilst acknowledging ZNAN's networking role, many now identify ZNAN as primarily a funding source. This reflects the synergies between the information exchange and networking role and the sub-granting function. However, the sub-granting function has also placed ZNAN in a different relationship with the membership as it is widely perceived as a "donor" organisation rather than their networking focal organisation. This perception has tended to blind member organisations from the fact that they are ZNAN.

Given that the GFATM has consistently categorised ZNAN's as a well performing grant, this is clear indication that it perceives ZNAN to be a successful PR, consistently delivering results.

NAC acknowledges ZNAN as a key partner in the Zambian HIV response. While this relationship may from time to time be affected by the traditional tensions underlying government and civil society relationships, it is clear that the NAC and ZNAN partnership is functional and valuable. CHAZ and ZNAN share a relationship of mutual respect based on solid collaboration, reciprocity, and mutual respect.

"ZNAN has played a tremendous role in promoting innovative and creative programmes and has performed well in terms of funding NGOs and CBOs. They have successfully decentralised and scaled up by using Lead Agencies and funding NGOs and CBOs in underserved communities."

...Dr Ben Chirwa, NAC

ZNAN operates within the principles and parameters of Zambia's National HIV/AIDS Strategic Framework 2006 – 2010.¹¹ ZNAN contributes significantly to the Zambian civil society response, which is a crucial element of the multi-sectoral response promoted by the Zambian strategic framework. Furthermore, ZNAN also contributes to the strategic framework's six key objectives, namely: (1) intensifying HIV prevention, (2) expanding treatment, care and support, (3) mitigating the socio-economic impact of HIV and AIDS, (4) strengthening the decentralised response and mainstreaming HIV and AIDS, (5) improving the monitoring of the multi-sectoral response and (6) integrating advocacy and coordination of the multi-sectoral response.

ZNAN has made some efforts to ensure better co-ordination and collaboration with existing structures at provincial and district levels. For example, the head of ZNAN's Provincial Office is also the chair of the Copperbelt's PATF and he works in collaboration with the Kitwe District AIDS Task Force (DATF). Such mechanisms will ensure that ZNAN's networking and collaboration efforts are integrated into broader frameworks involving other structures such as PATFs and DATFs. ZNAN should make a systematic effort to institutionalise and expand strategic partnerships with PATFs and DATFs.

¹¹ National HIV/AIDS/STI/TB Council. National HIV and AIDS Strategic Framework 2006 – 2010.

2.4.3 Communicating ZNAN's mission and objectives

.ZNAN's current mission statement, noted below , remains relevant.¹²

To promote and facilitate liaison and coordination among HIV/AIDS service organisations and provide assistance in strengthening member organisations' capacities to respond to the challenges of HIV/AIDS in Zambia. ZNAN will do this in collaboration with government and other cooperating partners.

Influencing policy is a key dimension of scaling up.¹³ As per its mandate, ZNAN participates in a range of key policy bodies (e.g.: NAC, CCM, PATFs, SANASO, GFATM Board of Directors). Through its network of members and its representation in aforementioned bodies, ZNAN is able to communicate its mission and objectives across the myriad levels of the HIV response, locally, nationally, regionally and internationally. Additionally, ZNAN, through its membership, has accumulated a wealth of experience, which is crucial for creating and sustaining an enabling environment for the Zambian HIV response. For example, experiences of ZNAN members on the issue of community schools could usefully influence the policy agenda of having the government officially recognise community schools. Given its body of experience, positioning and reputation, ZNAN could more effectively and proactively influence the policy agenda in Zambia and internationally. ZNAN is well placed to scale up its policy and advocacy work.

¹² ZNAN. ZNAN Strategic Plan 2006 – 2010. (draft)

¹³ DeJong J, Population Council, Horizons & International HIV/AIDS Alliance, Making an Impact in HIV and AIDS: NGO Experiences of Scaling Up. 2003.

3.0 Conclusions & Recommendations

ZNAN now has efficient and effective systems in place and thus, with some additional investment in its capacity, it is well placed to scale up in terms of coverage, quality, and policy. Key priorities for ZNAN should be: (1) scaling up coverage in underserved areas in a phased manner, (2) attention to evolving capacity building, networking and information sharing needs of ZNAN and its constituencies and (3) enhancing quality of programmes. Donor confidence, increasing demands from communities and robust policies and systems are the key drivers for growth. With some consolidation of its organisational structure at secretariat level, ZNAN's expansion should largely be in the provinces.

An expanded JFA could leverage increasing resources from GFATM and will be crucial for making ZNAN's monies work more effectively. Tensions between the sub-granting and networking and information sharing functions do exist, but the synergies between these functions are also significant. While some tension between sub-granting and network and information sharing functions is inevitable, it is clear that both functions are crucial to ZNAN delivering on its strategic plan and contributing to the overall *Zambian National HIV and AIDS Strategic Framework 2006 – 2010*. An expanded and flexible JFA for a five-year period, with a comparable level of sub-granting and a significantly increased investment in core programmes (i.e.: increased by twenty to thirty percent), would support the effective scale up of ZNAN's activities.

Finally, in order to reduce transaction costs and in keeping with international commitments on donor alignment and harmonisation, all donors should consider pooling their resources in an expanded JFA as a universal financing mechanism for ZNAN. Since it may not be possible at this time for the GFATM to consider this arrangement, at the very least all other donors should consider putting their monies into an expanded JFA for ZNAN.

Key recommendations include:

Organisation: Secretariat

- 1 ZNAN should consider revising its structure as proposed in the organogram presented in Annex 4. Some key features of the proposed structure represented in this functional organogram are: (1) a more robust senior management structure, (2) the creation of an Office of the Executive Director, in recognition of the broadening scope of the ZNAN programme at national level. This office would also provide leadership for ZNAN's policy work; the Office of the Executive Director would include the a new post dedicated to policy and communications (3) the creation of a new post, Deputy Executive Director to oversee the day to day management of ZNAN's expanded operations and (4) the addition of three new posts in Grants, M&E and NGO/CBO Support, which are essential for delivering effectively on these functions (see recommendation 2)
- 2 ZNAN should invest in scaling up its internal capacity (i.e.: additional staff) in order to meet the skills and capacity building and information exchange needs of its constituency. As previously mentioned, the staffing of ZNAN's Grants and M&E Units should be increased by recruiting at least one additional member of staff for each unit. The implementation of ZNAN M&E framework will require stepping up capacity building activities at all levels and amongst a range of stakeholders. This includes M&E capacity at ZNAN secretariat to analyse and produce M&E annual reports as well as to more effectively use monitoring data for strategic planning,

capacity building and policy. ZNAN will need technical guidance in rolling out and expanding the current database. The current staffing complement of two personnel in the ZNAN secretariat's NGO/CBO Support Unit should be increased with the recruitment of an additional person. The marginal expansion of this Unit should be considered as an attempt to raise the internal capacity level of the ZNAN secretariat to provide support to sub-grantees while adhering to the principle of outsourcing much of this capacity building support from other partners such as Lead Agencies and Provincial Committees.

- 3 The senior management team should be formalised with: (1) a clear terms of reference, (2) leadership and management training inputs, (3) regular weekly meetings and (4) biannual/annual senior management retreats. This will also contribute to strengthening a second line of leadership in the organisation.

Organisation: Provincial Committees

- 4 Provincial Committees have an important role to play in promoting networking, collaboration and information sharing among member organisations. The ZNAN secretariat should take immediate measures to address the internal weaknesses of Provincial Committees, including reconstituting some of them, to ensure that they are adequately addressing the requirements of their terms of reference, especially with respect to capacity building. Provincial Committees should be supported with some form of capacity building intervention involving team building to ensure internal cohesiveness. In the case of the Copperbelt, the Provincial Office should become the Provincial Committee's secretariat. In addition, ZNAN should also ensure that Provincial Committees increasingly play the role of networking its member NGOs and CBOs with other capacity building initiatives at provincial level.

Organisation: Lead Agencies

- 5 ZNAN should develop strategies for increasing resources to Lead Agencies so that they are better able to invest in skills and capacity building and M&E functions. One of the possible approaches may include negotiating with donors to increase funding to core programmes and/or overhead of Lead Agencies. Another key strategy would be to invest in additional capacity building for Lead Agencies in capacity building and M&E.
- 6 Lead Agencies are critical partners in providing skills and capacity building support to sub-grantees. For this reason, ZNAN should consider leveraging their existing capacity building initiatives as a way of scaling up its own support to the sub-grantees. Organisations with expertise in capacity building such as CHEP could be supported to become capacity building partners. NZP+ has a functional capacity building programme for its district branches and support groups and for this reason, it could play a useful role as a technical assistance partner for ZNAN supported groups of people with HIV. Similarly, ZNAN should also identify other organisations, such as Facing the Challenge in Chongwe, that have shown reasonable advancement in their own capacity building efforts and skills and partner with them in scaling up capacity building support.
- 7 ZNAN should provide the Lead Agencies with tailored capacity building through on-site mentoring and coaching. In fact, more robust Lead Agencies such as CHEP can play a role in mentoring newer, less experienced Lead Agencies such as THPAZ. There should be an annual information exchange and capacity building meeting amongst Lead Agencies.

Programmes

- 8 The Provincial Office in the Copperbelt province has proven to be instrumental in raising the level of capacity building support and provision of on-the-spot technical assistance in the province. An additional member of staff should be recruited for this Office as this would help to expand the capacity to provide routine monitoring and technical assistance. This model should be replicated in a phased manner in selected provinces, especially in those that are currently underserved such as Luapula, Southern and Western provinces. Lessons from the establishment of Copperbelt Provincial Office should be documented and used to inform the establishment of Provincial Offices in other underserved provinces.
- 9 In order to strengthen the delivery of comprehensive services, ZNAN should undertake a range of measures. These include: (1) consider giving high priority to project proposals that reflect comprehensiveness in service delivery, (2) joint proposals among NGOs and CBOs with multiple service delivery areas should be encouraged as a way of fostering synergised delivery of comprehensive services and (3) mechanisms for ensuring comprehensive services should be considered as key criteria for successful project proposals; the field appraisal tool and grants manual should be amended to include such criteria.
- 10 The internally driven scaling up and replication of FTC is an important lesson to the NGOs and CBOs being supported by ZNAN. The ZNAN secretariat should therefore document such lessons and proactively encourage its membership to adopt the model. More concretely, ZNAN should consider including potential for replication and scaling up as a key criteria for successful project proposals.
- 11 ZNAN should continue to implement strategies for reaching the underserved and hard to reach. More specifically, the following strategies should be employed: (1) phased establishment of Provincial Offices in Luapula, Northern and Western provinces, (2) outreach meetings (3) strengthening of Provincial Committees and (4) on-going use of widely accessible media.
- 12 The ZNAN secretariat should, through Provincial Committees and Secretariat staff, develop an explicit plan to assist weaker CSOs in underserved provinces to access sub-granting funds. This assistance should include on-the-spot assistance in proposal writing and other skills for accessing these funds.
- 13 The ZNAN secretariat should embark on a programme of encouraging CSOs outside Lusaka to shift their attention to other service delivery areas that are underserved. Such encouragement should be through provision of incentives to NGOs and CBOs that prepare proposals that address existing needs, which are not receiving much attention.
- 14 ZNAN should, in a systematic manner, put in place and scale up mechanisms for strategic partnerships with existing structures at district and community levels, especially DATFs and PATFs. ZNAN should clearly spell out its requirements and commitments on collaborating on M&E with stakeholders such as DATFs, PATFs and NAC.
- 15 ZNAN should strengthen internal communications by adding some key mechanisms including; (1) regular staff/team meetings and (2) intranet section on the ZNAN website for the secretariat and provincial office(s).

- 16 ZNAN should facilitate more communication amongst its membership. For example, ZNAN could: (1) create a space on its website for member case studies, (2) include Provincial Committee meeting minutes on the website, (3) strengthen Provincial Committees, (4) have more regular information sharing between Lead Agencies, (5) Lead Agencies and Provincial Offices could organise exchange visits in their operational areas etc.
- 17 ZNAN should develop an explicit policy and communications strategy. Based on this, the ZNAN secretariat should devote specific resources to policy activities.

Annex 1: Terms of Reference

Results

Assess the results of ZNAN during the JFA period 2004-2007 with the funding provided from the JFA partners, against ZNAN's objectives.

Management and organisation

The evaluation will therefore assess ZNAN's managerial and organisational set-up, assess the functioning of the funding arrangements under the preset JFA, and ascertain the extent to which the Secretariat contributed to the achievement of ZNAN's objectives.

- Given ZNAN's rapid growth, triggered by the large demand and its broadened mandate, the *central question* would be whether ZNAN's Secretariat (including its Provincial office(s)) would be appropriately equipped for its tasks. In addition, the evaluation will also be expected to assess whether sufficient funding for ZNAN's Secretariat would be available to administer its future activities in the context of a renewed JFA. In this respect, the following will be expected to be done by the consultants:
- To assess the organisational set up (including its provincial offices), its personnel composition and quality, its support services in relation to fulfilling ZNAN's present and future mandate, the funding arrangements and to identify possible needs for TA in specific areas;
- To assess whether the funding of ZNAN's Secretariat is done in a sustainable manner, with reasonable overhead costs and proportional cost-sharing thereof between all donors;
- What would be an appropriate balance between ZNAN's further growth and consolidation?

ZNAN's Sub-Granting System

Analyse and review the successes and challenges of ZNAN2's sub-granting activities. The following issues will be examined:

- Are the Grants Manual and Template adequate instruments;
- Are the approval criteria adequate given the nature, dynamics and gender dimension of the pandemic;
- How is possible double funding being prevented;
- Is the Monitoring and Evaluation System (including the ex-ante M&E) adequate;
- Does the existing M&E system measure outcome and impact of the sub-grants;
- Do the lead agencies perform their delegated responsibilities in an effective, transparent and accountable manner and what is the perception of sub-grantees about the lead agencies functioning;
- Are the external auditing requirements for the lead agencies and sub-grantees adhered to and are they adequate;
- How effective is the existing system in timely detecting incapable, ineffective, and/or corrupt sub-grantees;
- Is the decision making process as regards approval/rejection of applicants adequate and is it being applied properly and in a transparent manner;

- What would the outcome and impact of the approved sub-grants be;
- Applying a cost/benefit analysis on the approved sub-grants would the existing categories of applicants be adequate;
- Is the geographical spread of the approved sub-grants an appropriate reflection of the magnitude of the needs on the one hand and the physical and financial facilities for help on the other;

ZNAN's Network and communication

Assess the effectiveness of the advocacy and networking role of ZNAN. Focus will be on the following:

- Is the internal communication, including the standard meeting schedule, adequate;
- Does ZNAN achieve its objectives as a network organisation;
- Would ZNAN's network organisations be representative and adequate given its objectives;
- Is the quantity and quality of communication for and amongst the members adequate;
- How is ZNAN perceived by the Global Fund and its Principal Recipients;
- Is the sub-granting facility properly communicated to potential applicants and does this also apply to approved grants;
- What is the quantity and quality of the communication and information exchange with other Zambian organisations active in HIV/AIDS prevention, care and treatment;
- Does ZNAN portray itself consistently to the general public and how is this perceived;
- Are all appropriate channels being used by ZNAN to communicate its mission and objectives?

Annex 2: List of Respondents

Lusaka

- | | | |
|-----|----------------------|--|
| 1. | Julia Ng'ambi | ZNAN Programme Officer – NGO/CBO Support |
| 2. | Barnabas Chibobola | ZNAN Sub-granting Manager |
| 3. | Dr Suba Lungu | ZNAN HIV Specialist |
| 4. | John Banda | ZNAN Internal Auditor |
| 6. | Caroline Kaunda | MHUNZA Secretariat |
| 7. | Dr Ben Chirwa | Director General, National AIDS Council |
| 8. | Raymond Mwanza | Programme Officer, NZP+ |
| 9. | Miriam Banda | Chairperson , NZP+ |
| 10. | Mrs Elizabeth Mataka | ZNAN Executive Director |
| 11. | Karen Sichinga | Past ZNAN Board Chairperson/CHAZ |
| 12. | John Musanje | Executive Director, Family Health Trust |
| 13. | Peter Chibesa | Chairperson, Facing the Challenge |
| 14. | Patricia Nawa | Zambia HIV/AIDS Alliance |
| 15. | Dr Vongo | THPAZ |
| 16. | Dr Mwale | THPAZ |
| 17. | Catherine Sozi | UNAIDS |
| 18. | Jake Ross | STARZ, DfID |
| 19. | Peter de Haan | Netherlands Embassy |
| 20. | Dorothy Hamuwele | Norwegian Embassy |
| 21. | Patricia Malasha | Development Cooperation Ireland |

Copperbelt

- | | | |
|-----|------------------------|--|
| 1. | Mr Simpokolwe | ZNAN Provincial Co-ordinator |
| 2. | Theresa Mukeya | ZNAN Programme Assistant |
| 3. | Simon | ZNAN Office Assistant |
| 4. | Amos Luando | DAPP Ndola |
| 5. | Mathias Paradzai | DAPP Ndola |
| 6. | Regina Kalongo | DATF/NAC Kitwe |
| 7. | Chewe Mulenga | Roan Youth Development |
| 8. | Charlene Bangwe | CINDI , Kitwe |
| 9. | Emilio Kunda | Twafane Community Care – Kitwe |
| 10. | Dennis Mulenga | CHEP |
| 11. | Alec Nyirenda | CHEP/Vice-Chair ZNAN Liaison Committee |
| 12. | Issac Mumba | CHEP |
| 13. | Forward Katukula | NZP+, Kitwe |
| 14. | Major Barnabas Mulenga | NZP+ Kitwe |
| 15. | Adington Lombo | NZP+ Kitwe |
| 16. | Riana Chisulo | NZP+ Kitwe |
| 17. | Ella Mulenga | NZP+ Kitwe |
| 18. | Jelita | Copperbelt Provincial Committee |

Mambwe District

- | | | |
|----|-----------------|-----------------------------------|
| 1. | Justine Kalongo | Chairperson, Malimba Basic school |
| 2. | Kena Banda | Treasurer, Malimba Basic School |
| 3. | Ben Malasha | Member, Malimba Basic School |
| 4. | Peter Chisenga | Member, Malimba Basic School |
| 5. | Adrian Carr | Proprietor , Tribal Textiles Carr |
| 6. | Christina Carr | Proprietor , Tribal Textiles Carr |

Thandizani Community-Based HIV/AIDS Prevention and Care

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|----|---------------------|---------------------------------|
| 1. | Geoffrey Chikunjiko | Thandizani , Executive Director |
| 2. | Kennedy Mazara | Thandizani , Accountant |

CINDI Katete

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| 1. | Richard Banda | Secretary |
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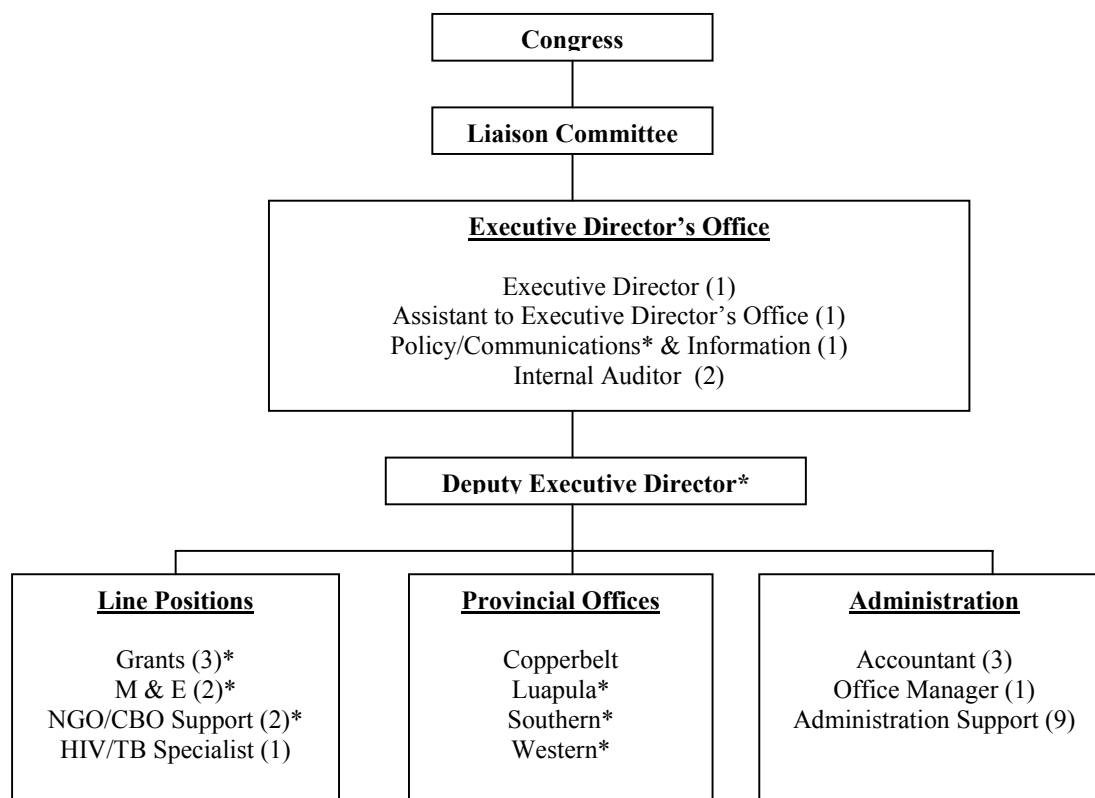
Chipata

- | | | |
|-----|------------------|---|
| 1. | Rosemary Mwale | Programme Officer, CODEP |
| 2. | Maureen Muzumara | VCT Coordinator, Tikondane HBC |
| 3. | Francis Lungu | Programme Manager , Tikondane HBC |
| 4. | Joseph Mwale | Project Coordinator, CODEP |
| 5. | Moses Njovu | Publications Officer, Kwacha Kum'mawa |
| 6. | Florence Zimba | Accountant, Kwacha Kum'mawa |
| 7. | Richard Lukonde | Programme Officer , NZP+ |
| 8. | Nestone Zimba | Project Manager , CPST |
| 9. | Andrew Phiri | Finance Officer, CPST |
| 10. | Cecilia Phiri | Behaviour Change Coordinator, Chisomo HBC |
| 11. | Amanda Callard | Fundraiser, Chisomo HBC |
| 12. | Richard Francis | Organizational Development , Chisomo HBC |

Annex 3: Documents Reviewed

1. Republic of Zambia: National HIV/AIDS/STI/TB Policy; Ministry of Health, 2005
2. Craviolatti, P., Analysis of Available Financing for the National HIV & AIDS Response. NAC. 2006.
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Annex 4: Proposed Organogram^{14 15}



¹⁴ Please note that this is a functional organogram, representing the various organisational functions. The existing numbers of staff positions are included in parentheses. New positions/offices are marked with a star and each star represents 1 post/1office.

¹⁵ Please note that the Deputy Executive Director is placed outside the Office of the Executive Director as the functions of this post would be focus much more on operational management.

