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# EVALUATION OF THE REGIONAL PROGRAMME FOR AFRICA (2008-2013)

Evaluation Office

United Nations Development Programme





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May 2013

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## **EVALUATION OF THE REGIONAL PROGRAMME FOR AFRICA (2008-2013)**

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The Evaluation Office could not have completed this report without the full support from colleagues in the Regional Bureau for Africa, its two regional centres and the Ethiopia

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# FOREWORD

The United Nations Development Programme (UNDP), in addition to supporting the development of 177 countries and territories through its country and multi-country programmes, runs global and regional programmes to address issues of global and regional nature, provide coherence to its technical support and facilitate exchange of knowledge and experience across the countries it serves.

During 2012, the Evaluation Office conducted a series of evaluations of these global and regional programmes. This evaluation covered the Regional Programme for Africa 2008-2013, implemented by the UNDP Regional Bureau for Africa (RBA). It examined the contributions made to development results through the implementation of regional projects and various aspects of work undertaken by the regional service centres in Dakar and Johannesburg, including the provision of technical advisory services and support to knowledge management.

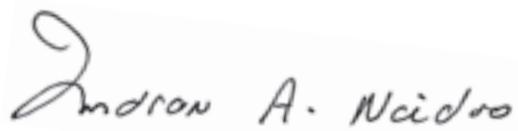
The evaluation found that the regional programme was relevant, responding to ongoing and emerging development challenges in the vast and diverse region of sub-Saharan Africa. In light of the increasing emphasis on African integration, regional programme engagement with the African Union and regional economic communities (RECs) was appropriate. The regional programme was well-positioned within UNDP, and focused on issues with regional dimensions, collaborating with the global programme and country programmes to contribute to development results.

Holistic approaches, drawing on the ability of the regional programme to work with regional institutions and the country programme presence

at the national level, were particularly effective. The report recommends that, given its limited resources, the regional programme should continue to focus on interventions where a regional approach brings significant value added, notably strategic initiatives that strengthen the capacity of and support regional institutions to develop and implement priority frameworks, policies and programmes, and high-level advocacy for issues pertinent to the region.

The late start-up of many initiatives limited the overall progress towards results, but the regional programme nevertheless made some useful contributions towards intended programme outcomes. The evaluation also found that the regional programme contributed in a significant manner to knowledge generation and sharing, including the production of high-quality knowledge products. However, the potential of the regional programme and the regional service centres to function as a regional knowledge hub was only partially realized, and the report recommends expanding their learning and knowledge management role for greater development effectiveness.

As UNDP prepares to develop a new Strategic Plan, I hope this series of evaluations will shed light on how UNDP can further enhance the value of its services by utilising these global and regional programme instruments more effectively and efficiently.



Indran A. Naidoo  
Director, UNDP Evaluation Office

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# ACRONYMS AND ABBREVIATIONS

AfDB	African Development Bank
AFIM	African Facility for Inclusive Markets
AGF	African Governance Forum
AGI	African Governance Institute
AMSHER	African Men for Sexual Health and Rights
APDev	Africa Development Effectiveness Platform
APRM	African Peer Review Mechanism
BCPR	Bureau for Crisis Prevention and Recovery (UNDP)
BDP	Bureau for Development Policy (UNDP)
CAMPS	Conference of African Ministers of the Public Service
CD-PGA	Capacity Development for Pro-poor Growth and Accountability
CDM	Clean Development Mechanisms
CEMAC	Economic and Monetary Community of Central Africa
CEN-SAD	Community of Sahel-Saharan States
COMESA	Common Market for Eastern and Southern Africa
COP	Conferences of the Parties
CSO	Civil Society Organizations
EAC	East African Community
EANNASO	East African Network of National AIDS Service Organizations
ECCAS	Economic Community of Central African States
ECOWAS	Economic Community of West African States
ECREEE	ECOWAS Centre for Renewable Energies and Energy Efficiency
EIA	Environmental Impact Assessment
FAO	Food and Agriculture Organization of the United Nations
GEF	Global Environment Facility
GEMPI	Gender Economic Management and Planning Initiative
GIZ	<i>Deutsche Gesellschaft für Internationale Zusammenarbeit</i> (German Agency for International Cooperation)
HDI	Human Development Index
HRBA	Human Rights-Based Approach
IANSA	International Action Network on Small Arms
ICT	Information and Communications Technology
IGAD	Intergovernmental Authority on Development
ILO	International Labour Organization
IMF	International Monetary Fund
IPCC	Intergovernmental Panel on Climate Change

JPO	Junior Professional Officer
MAF	MDG Acceleration Framework
MDGs	Millennium Development Goals
MFP	Multifunctional Platform
MIP	Minimum Integration Programme
MOU	Memorandum of Understanding
NEPAD	New Partnership for Africa's Development
NPCA	NEPAD Planning and Coordinating Agency
OECD	Organisation for Economic Cooperation and Development
PES	Payment for Ecosystems Services
PRSP	Poverty Reduction Strategy Paper
RBA	Regional Bureau for Africa (UNDP)
RBAS	Regional Bureau for Arab States (UNDP)
RCF	Regional Cooperation Framework
ROAR	Results-Oriented Annual Report
RPD	Regional Programme Document
SADC	Southern Africa Development Community
SE4ALL	Sustainable Energy for All
SME	Small and Medium-Sized Enterprises
TRIPS	Trade-related Aspects of Intellectual Property Rights
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCDF	United Nations Capital Development Fund
UNDP	United Nations Development Programme
UNECA	United Nations Economic Commission for Africa
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNV	United Nations Volunteers
UNOPS	United Nations Office for Project Services
WAEMU	West African Economic and Monetary Union
WAMZ	West African Monetary Zone
WHO	World Health Organization
WTO	World Trade Organization

# EXECUTIVE SUMMARY

## I. INTRODUCTION

The Evaluation Office of the United Nations Development Programme (UNDP), as part of its annual work plan approved by the Executive Board, conducted regional programme evaluations for all five UNDP regions and the global programme evaluation in 2012. The present document summarizes the background, key findings, conclusions and recommendations of the evaluation of the Regional Programme for Africa for the period 2008-2013.

A regional programme evaluation is an independent programmatic evaluation with the objectives of providing substantive support to the Administrator's accountability function in reporting to the Executive Board; facilitating learning to inform current and future programming at the regional and corporate levels, particularly in the formulation and implementation of the new regional programme to be approved in 2014; and providing stakeholders in the programme countries and development partners with an objective assessment of the development contributions achieved through UNDP support and in partnership with other key players through the regional programme.

Following the previous regional programme evaluation for Africa covering the period 2002-2007, the present evaluation examined the regional programme for the current programme period, 2008-2013. The regional programme evaluation assessed two aspects of UNDP performance: the organization's contribution to regional development results through its thematic programmes and its strategic position in the Africa region. The contribution of the regional programme to development outcomes was assessed according to a standard set of evaluation

criteria used across all regional programme evaluations: relevance, effectiveness, efficiency and sustainability. The evaluation examined not only interventions designed specifically under the regional programme but also various aspects of work undertaken by the Dakar and Johannesburg Regional Service Centres that contributed to regional programme results, including the provision of technical advisory services and support to knowledge management.

The evaluation was conducted by using a combination of desk reviews, field visits to eight countries and interviews with various stakeholders. A survey, which was developed and administered by the Evaluation Office for all five regional programme evaluations and the global programme evaluation, was used to obtain critical insights into the regional programme operations from the UNDP country offices in the region. The evaluation also included a cybermetric analysis commissioned by the Evaluation Office to gauge the use of the regional-programme knowledge products on the Internet.

## II. BACKGROUND

The UNDP Regional Bureau for Africa (RBA) now covers 46 countries, which collectively have shown robust economic growth, political and social progress, and advancement towards the Millennium Development Goal (MDG) targets for more than a decade. This has brought a renewed sense of optimism about the future of the region. The region continues to show overall progress in gender equality and women's empowerment, and many of the conflicts affecting the Western and Central African subregions have been largely contained. Also evident is the significant progress made towards

democratic governance and the protection of human rights. Electoral processes are taking root, and civil society and the media are participating in public accountability processes and human rights advocacy.

Yet Africa and Africans continue to face considerable development challenges. Steady economic growth has yet to impact meaningfully on poverty reduction, decent employment, private-sector expansion and the reversing of growing social inequalities. Despite the improvements in women's condition in Africa, gender-based inequalities continue to persist, not only impinging on women's human rights but also limiting the socioeconomic development of the region. Disease also remains a challenge to the development of human capital and the attainment of the MDGs: sub-Saharan Africa remains the region most heavily affected by HIV. Progress in democratic governance has been uneven, and peace and conflict resolution in several subregions remain fragile. The lack of energy access is another serious constraint to sustainable and inclusive growth. The continent also continues to witness widespread losses of critical ecosystems on which the majority of the continent's population depends for survival. In addition, the African continent is prone to natural disasters such as droughts, floods and other extreme weather events that constitute significant threats and challenges to livelihoods. In recent years, these threats have been compounded by the impacts of climate change.

In response to these issues, African Union Heads of State and Government have adopted and are pursuing regional integration as an overarching continental development strategy. At the continental level stands the African Union, which seeks to accelerate the process of integration on the continent while addressing multifaceted social, economic and political problems. In addition to the African Union, 14 regional economic communities (RECs) exist, of which the African Union recognizes eight.

The regional programme was developed in 2007 for the period 2008-2011 and was later extended until 2013. Guiding principles for the programme include the maximization of the benefits of public regional goods through regional and sub-regional interventions, the promotion of African ownership and leadership, and the reinforcement of regional institutions.

The regional programme focuses on four broad areas: poverty reduction and achievement of the MDGs; consolidating democratic and participatory governance; conflict prevention, peace-building and recovery; and energy, environment and sustainable development. The programme, at the time of its design, was further divided into 10 key results areas and 17 intended programme outcomes.

### **III. KEY FINDINGS**

#### **POVERTY REDUCTION AND ACHIEVEMENT OF THE MDGS**

Given the context of the United Nations Millennium Declaration, adopted in 2000, subsequent world summits on the MDGs and commitments to meet the 'special needs of Africa,' the support of the regional programme to the development of regional, subregional and national strategies for pro-poor growth, reduction of gender inequalities and attainment of the MDGs was very relevant to the human development challenges of the countries in the region. Support to related strategies to promote youth employment and gender equality was also highly relevant. The emphasis on developing capacities of African institutions along this line was appropriate.

The regional programme contributed to mainstreaming MDGs in national development strategies and frameworks and helped governments to build capacities for developing and implementing pro-poor, MDG-based development strategies. The presence of economic advisers

in the countries, complemented by support from technical advisers in regional centres, was an important factor that enabled the initiatives to be anchored in the countries. Results included the development of MDG-based national development and poverty reduction strategies, MDG Acceleration Frameworks (MAFs), and national and regional MDG progress reports. The Pôle de Dakar, a collaborative effort with the Government of France, also made positive contributions to strengthening capacities for public finance, complementing MDG mainstreaming efforts by supporting MDG planning and financing.

The support to promote youth employment had mixed results. Regional frameworks were developed, laying the foundation for future work, and some countries integrated youth employment into policy documents. Country-level interventions created employment opportunities but results were fragile. Learning from successes and failures of this initiative in different countries would still be needed to ensure the effectiveness of interventions.

The regional programme raised interest in, and awareness of, the need to mainstream gender into national economic frameworks and other policies. It was too early to discern impacts of the global Gender Economic Management and Planning Initiative (GEMPI) but indications were positive. The regional programme raised the profile of gender-responsive budgeting, although institutionalization of gender-responsive budgeting by countries had a long way to go. Results in promoting women's economic empowerment were moderate; a pilot initiative in Burundi to introduce gender-responsive public-private partnerships for local service delivery generated lessons but had not progressed sufficiently for replication. The regional programme facilitated high-level learning exchanges on the issue of women's leadership in the political sphere and there was evidence that this was leading to results.

Some progress was made towards developing capacities of the African Union Commission to manage partnerships with the establishment of a partnerships and coordination mechanism. It would take further efforts to solidify the gains. The regional programme engaged with other RECs to provide capacity development support but limited results have been achieved in part due to a delayed start to implementation and challenges within the regional institutions. A foundation has been laid for achieving results in the medium-term. Support to the New Partnership for Africa's Development (NEPAD) Planning and Coordinating Agency (NPCA) resulted in the establishment of the African Union/NEPAD Africa Platform for Development Effectiveness (APDev), which shows great potential.

While strengthening trade capacity for poverty reduction and human development is relevant to the challenges facing African countries, UNDP's comparative advantages and the role of the regional programme in this area are a concern. The regional programme raised awareness of the human development dimension of trade policies but its impact on trade negotiations at the global level was questionable. Results of the various initiatives to develop trade capacity were not yet visible.

The HIV and AIDS programme made full use of the UNDP comparative strengths and capacity development mandate. Efforts to develop regional capacities to mitigate the impact of AIDS on human development have been effective, particularly for the Southern African Development Community (SADC). Engagement with other regional institutions was in its initial stages. The regional programme, as part of a joint United Nations effort, also helped to strengthen local government responses to HIV in selected African cities. The collaboration with the Global Commission on HIV and the Law has led to positive emerging results in the region, with some African countries now taking action to review their legislative and regulatory environments.

The support to promote private-sector and inclusive market development for poverty reduction in Africa was a highly relevant initiative, though it was only in its initial stages. Given the ability of UNDP to convene diverse actors, it was beginning to show positive results.

With respect to sustainability, sustainable capacities were created to promote inclusive growth and the achievement of the MDGs in national institutions where staff turnover had been low. Strong ownership by the African Union Commission and NEPAD of capacity development initiatives such as the Africa Platform for Development Effectiveness (APDev) meant that these results are likely to be sustainable. Multi-country initiatives without exit strategies have proven to be less sustainable since they depend on follow-up by national governments and/or country offices, which was not always evident. Results of other initiatives in this focus area may not be sustainable without further support. For example, while results of the regional HIV and AIDS support to SADC are likely to be sustainable, the same cannot be said for other regional institutions since the work with them was in its early stages. The gender programme had an exit strategy that proposed a transition to African institutions but the capacity of the gender divisions in the African Union Commission and similar units in the RECs is not strong. Moreover, these institutions would need, and indeed expect, ongoing support.

## **CONSOLIDATING DEMOCRATIC AND PARTICIPATORY GOVERNANCE**

In the area of political participation and elections, the regional programme provided appropriate support to regional institutions and country programmes, enhancing capacities of national and regional institutions to ensure transparent and credible electoral processes, systems and results. UNDP assisted the African Union to develop the 'African Charter on Democracy, Elections

and Governance,' which came into force in February 2012. There were signs that advocacy for women's political participation and capacity development for women parliamentarians had made positive contributions. The regional programme helped to ensure that issues of youth and their participation in political processes were on the continental agenda.

Regional programme support to strengthen governance and enhance service delivery responded to regional priorities for more effective public services and better governance. Given that working through regional institutions has the potential to accelerate improvements at the national level through knowledge-sharing among countries facing similar challenges, the regional approach to issues was appropriate. Results, however, were mixed. Assistance provided to the Conference of African Ministers of Public Service led to the approval of the 'African Charter on Values and Principles of Public Service and Administration,' although work remained to be done since only 19 countries had signed and six countries had ratified the Charter. UNDP was able to engage with a number of institutions in the sensitive area of anti-corruption, helping the African Union to draft a five-year anti-corruption strategy, for example. Other intended results of the programme in this area were not realized owing partly to the challenges in achieving results in the area of political economy and partly to lack of implementation of planned interventions.

Since the African Union and other regional institutions have the potential to accelerate or impede the development of Africa, regional programme support to capacity development in the area of democratic and political governance was highly relevant. UNDP has supported the African Peer Review Mechanism (APRM) since its inception in 2003. During the programme period under review, UNDP provided technical advisory services to the APRM panel, the APRM Secretariat and country focal points, helping to

bring the total number of country assessments completed since the start of the APRM to 17. UNDP did not, however, address sufficiently one central issue in its support to the APRM: the APRM requires countries to invest considerable time and resources, and unless the APRM can demonstrate value added to existing national development plans and other governance instruments, implementation of national programmes of action resulting from the APRM process will remain limited.

The regional programme strengthened NEPAD's capacity to carry out a number of its tasks but UNDP support tended to be fragmented. UNDP had taken steps to strengthen the partnership. It assisted the Pan-African Parliament in its advocacy work leading to ratification of the 'African Charter on Democracy, Elections and Governance.' However, it did not achieve much success in other work with the Pan-African Parliament, which is still on its way to gaining political relevance and powers. UNDP had also made small but useful contributions to enhance the capacity of subregional parliamentary forums to discuss policy issues. It made little progress, however, in generating greater popular awareness of the plans and activities of the RECs despite the stated intentions of the regional programme. Although results are at an early stage, the regional programme strengthened capacities of regional organizations and structures to promote the rule of law and human rights. With UNDP assistance, the African Union Commission developed the Human Rights Strategy for Africa, adopted by the African Union in 2011, to accelerate implementation of the 'African Charter on Human and People's Rights.'

One of the core values of the African Union, NEPAD and RECs is that of African ownership and leadership of the governance agenda of the continent. To lead the governance agenda, Africa needs to strengthen its knowledge base. The regional programme made positive contributions to the codification and sharing of good

governance practices in Africa by, for example, supporting the African Governance Forum on 'Democracy, Elections and the Management of Diversity in Africa,' which mirrored the theme of the 'African Governance Report III.' UNDP also helped establish the Africa Governance Institute but financial support to build the capacity of the Institute was delayed as a result of problems with funding modalities.

Results of some of the interventions in this focus area had good prospects for sustainability. NEPAD and the African Union had strong ownership and leadership of the APRM, and even though the implementation of national plans was slow, the APRM was likely to continue as a continental initiative for the foreseeable future. Other results were fragile. A general challenge to the sustainability of results in working with the African Union Commission and the RECs was the lack of sufficient capacity within the organizations to absorb the support. Insufficient attention was given to exit strategies.

## **CONFLICT PREVENTION, PEACEBUILDING AND RECOVERY**

The regional programme responded to the need of the African Union Commission to be able to respond to and manage conflicts on the continent by supporting the African Union peace and security agenda. UNDP also responded to the need to strengthen capacities at the regional and subregional levels to manage and reduce the proliferation of small arms and light weapons. The intended support to strengthen capacities for disaster risk reduction was in line with the 'Africa Regional Strategy for Disaster Risk Reduction.'

Some results were achieved in building the capacity of the African Union Peace and Security Department, but the Department is not yet fully capacitated and understaffing may be a chronic problem. UNDP support to operationalize the African Union 'African Peace and Security Architecture' was beginning to yield results.

The regional programme enabled the African Union to begin operationalizing aspects of the ‘Common African Defence and Security Policy’ – for example, the African Union ‘Strategy on the Control of Illicit Proliferation, Circulation and Trafficking of Small Arms and Light Weapons’ was adopted at a meeting of Member States experts in September 2011 – but implementation was slower than expected. At the subregional level, the regional programme made a good start towards enhancing capacities to control small arms and light weapons. Owing to the short period in which the activities were implemented, however, only some progress was made in delivering the ambitious intended outputs. Procedures within the RECs also slowed implementation. Nevertheless, there were good elements from the work initiated that could be taken forward in the future. The regional programme helped the African Union develop a border management strategy but fell short of achieving effective enforcement of international agreements for the management and control of cross-border arms trade. UNDP enabled two RECs in post-conflict settings to develop regional frameworks for United Nations Security Council resolutions S/RES/1325 (2000) and S/RES/1820 (2008).

Shifts in the donor environment and capacity constraints within the Peace and Security Department are among the factors affecting the achievement of results. UNDP did not succeed in achieving coherence in funding mechanisms for the African Union peace and security agenda, one of the programme’s intended results.

With respect to sustainability in this focus area, while UNDP helped to advance the African Union peace and security agenda, including in the area of control of small arms and light weapons, the future role of UNDP among the African Union partners in this area appeared unclear. As the work on disaster risk reduction had only just begun, it was too early to assess effectiveness or sustainability.

## ENERGY, ENVIRONMENT AND SUSTAINABLE DEVELOPMENT

Although Africa has experienced considerable improvement in its economic development in recent years, progress continues to be threatened by low levels of access to sustainable energy, continued and in some cases increasing loss of ecosystems, and the negative impacts of climate change. In this context, the work of UNDP to mainstream energy, environment and climate change into the development processes of the continent addressed emerging global, regional and national issues.

UNDP built on the foundation laid under the previous regional programme to enhance the capacities of the Economic Community of West African States (ECOWAS) to implement its energy-access framework and to assist member countries to implement the regional policy. Piloting and scaling up of decentralized and locally managed energy-services delivery models – the multi-functional platforms (MFPs) – increased the access of rural populations to energy and led to the development of full-fledged national MFP programmes. The regional programme had only limited success in enhancing capacities of the other RECs but results in the ECOWAS region were generating interest.

UNDP strengthened the capacity of African Governments to participate in climate change negotiations by training over 100 African climate change negotiators. Results of the eighteenth session of the Conference of the Parties to the United Nations Framework Convention on Climate Change (UNFCCC) in Doha suggested that African participation in international climate change negotiations was contributing to shaping global governance on climate change. UNDP helped the East African Community (EAC) and SADC prepare regional positions that were tabled at the Rio+20 Conference. UNDP also laid the groundwork for greater participation by African countries in clean development mechanisms. The

regional programme strengthened some regional capacities for natural resource management but the interventions were not part of a coherent overall strategy.

With respect to sustainability in this focus area, interventions in the area of energy have been institutionalized at the level of the RECs, as well as the national level through the development of enabling policy frameworks. National governments have begun investing in MFP programmes, which bodes well in terms of sustainability, although overall financial sustainability remained a concern. The capacity development approach adopted by the environment programme has laid a foundation for sustainability.

Efficiency of programme operations emerged as a concern cutting across all focus areas. The overall delivery rate of the regional programme was below expectations owing in part to severe start-up delays and to fluctuating management arrangements at the regional service centres. Programme design and monitoring arrangements as well as processes and capacity constraints in UNDP and in partner institutions hindered efficiency. The replication and application of lessons learned strengthened efficiency; for example, regional advisers working on MAFs were able to bring experience from earlier MAFs to speed up the exercise in new countries. However, overall knowledge-management mechanisms were weak, resulting in some missed opportunities for learning.

## **STRATEGIC POSITIONING OF THE REGIONAL PROGRAMME**

All the regional programme initiatives had regional components, at least in their design, justifying a regional-level intervention. Many initiatives addressed issues most appropriately handled at the regional level or included a strong regional knowledge-sharing component. Some projects were primarily multi-country

programmes, components of which could have been handled at the country programme level.

The regional programme generated and shared knowledge through a number of high-profile publications, including the 'Africa Human Development Report 2012,' which were used by a wide range of actors. It also organized and participated in conferences, workshops and seminars designed to promote knowledge-sharing. The regional programme was well-positioned to further contribute to regional knowledge-generation based on the UNDP experience in Africa and to manage that knowledge to support UNDP operations in Africa but it had only partially realized its potential.

Technical advisory services provided by the regional service centres were highly appreciated by country offices, and regional and national stakeholders, and were considered for the most part to be of good quality and cost-effective and, while difficult to measure, to be contributing to development results. However, services were unevenly distributed across countries, not always with clear justification, and some advisers and/or experts were perceived to lack sufficient understanding of the regional and/or national contexts or to lack sufficient experience.

The regional programme intersected with the global programme at the level of the regional service centres, and both programmes provided inputs designed to lead to results at the country level. The ways and extent to which the programmes worked together and achieved synergies varied across the thematic areas and across the regional projects. The regional programme interacted with country programmes, providing catalytic inputs that were taken forward by country programmes. Regional programme interventions at the country level that were coordinated with country programme initiatives strengthened results; where linkage was weak, results were also weak.

The regional programme was responsive to emerging issues and implemented a series of complementary and potentially strategic initiatives. For example, food security, which was not mentioned in the regional programme document (RPD), was such a recurring theme. In five countries, MDG 1 and, in particular, food security, were the focus of MAFs. The ‘Africa Human Development Report 2012’ also took on this theme, and work on youth employment also focused on food security. However, results in these new areas of convergence were not being clearly communicated.

In the context of increasing African integration, the UNDP regional programme was strategically positioned to interact with the African Union and the RECs; however, it was lacking an overall strategy for engagement. UNDP support to the African Union was situated within the United Nations-African Union 2006 cooperation framework for the Ten-Year Capacity-Building Programme for the African Union. United Nations system support to the African Union was coordinated through a regional coordination mechanism, with UNDP co-convening the governance cluster. UNDP established a UNDP-African Union Liaison Office, responsible for coordinating with the African Union and the United Nations Economic Commission for Africa (UNECA). Engagement with other regional institutions, notably the RECs, was, however, not guided by similar institutional agreements or frameworks that set rules of engagement or areas of support required by the institution as a whole.

The RPD and its constituent projects recognized the potential of cross-practice linkages but including too many linkages in results frameworks led to confusion. Cross-practice work led to results. For example, the HIV and AIDS, environment and gender teams collaborated to integrate gender and HIV into environmental impact assessment tools. Yet such initiatives

were due largely to individual initiatives and relationships since formal mechanisms to foster cross-practice approaches to address multidimensional development challenges were inadequate.

The regional programme drew on the UNDP country presence in its collaboration with other partners and built on the UNDP reputation for neutrality to convene and coordinate regional-level interventions.

## CROSS-CUTTING ISSUES AND STRATEGIES

The regional programme incorporated gender-equality considerations across the focus areas. Gender equality featured prominently in the design of projects and programmes. The evaluation of the previous regional programme found that the integration of gender equality considerations into the programme had been modest. From the available evidence, the current regional programme addressed this deficit to a significant extent, although the degree to which gender was mainstreamed varied from project to project.

Capacity development underpinned many of the regional programme interventions but adopting a capacity development approach was not without its challenges owing to differing understandings of the concept among stakeholders. While not explicit, the regional programme supported efforts to mainstream South-South approaches in line with the UNDP Strategic Plan (2008–2013).

## IV. CONCLUSIONS

**Conclusion 1. The regional programme has been highly relevant, responding to ongoing development challenges in the vast and diverse region of sub-Saharan Africa. The regional programme has also been responsive to emerging issues and has implemented a series of complementary and potentially strategic initiatives.**

The Regional Programme for Africa was designed to address interlinked issues of poverty reduction and governance, with a strong emphasis on promoting regional integration. The largest programme component, poverty reduction and achievement of the MDGs, has focused on strengthening regional, subregional and national strategies for pro-poor growth and the reduction of gender inequalities while promoting inclusive globalization, regional integration and private-sector development. The second-largest component of the programme has promoted the consolidation of democratic and participatory governance, working not only to promote results that are realized at the country level, such as elections, but also supporting an accelerated pace of regional and subregional integration. Regional programme initiatives in the areas of crisis prevention and recovery, and energy, environment and sustainable development also complemented the efforts to strengthen governance and achieve the MDGs.

The regional programme has been responsive to issues not initially articulated in the RPD, such as food security, which the programme addressed through complementary initiatives, such as the 'Africa Human Development Report 2012,' MAFs on food security, the promotion of agribusiness value chains through the African Facility for Inclusive Markets (AFIM) and support to youth employment. Access to energy through MFPs also contributed to improving food security, as may nascent work on disaster risk mitigation. Youth was another theme on which several initiatives converged. The relevance of this theme was highlighted in 'African Economic Outlook 2012,' which had as its special theme the promotion of youth employment. The regional programme supported youth employment through a project focused on this theme in the poverty portfolio as well as through activities under the energy project and supported youth empowerment in the governance portfolio.

**Conclusion 2. In light of the increasing emphasis on African integration and the promise that regional integration holds for supporting inclusive growth and accelerating and sustaining human development, the regional programme engagement with the African Union and the RECs has been appropriate. Many of these institutions have weak capacity, requiring long-term engagement for capacity development. The reliance of the regional programme on short-term interventions has been inadequate in this area.**

As already noted in the 'Evaluation of UNDP's Second Regional Cooperation Framework for Africa 2002-2006,' working with and through regional institutions as partners is an effective model for producing synergies between partners and countries in the region. The regional programme has been able to engage with the African Union to promote normative frameworks such as the 'Human Rights Strategy for Africa' and the 'African Charter on Democracy, Elections and Governance.' It has also been able to support the implementation of continental frameworks such as the APRM or the piloting of the harmonized indicators for labour information management systems.

Working with the RECs has been mutually advantageous: UNDP has been able to engage with them on issues that are difficult to take up at the country level, and they benefited from the UNDP country presence to support the implementation of regional initiatives. For UNDP, the RECs also provided an existing mechanism for addressing multi-country issues and facilitated engagement with countries that are accustomed to working together. Furthermore, engagement at the level of the RECs facilitated the sharing of experiences between different subregional groupings and not just between countries. For example, the ECOWAS experience with promoting access to energy has increased the interest of the

Economic and Monetary Community of Central Africa (CEMAC) in engaging with UNDP on energy issues.

Engagement with the RECs has been uneven across the programme, however. As was also pointed out in the ‘Management and Technical Review,’ nowhere in the documentation shared with the evaluation team was there evidence of a systematic, strategic analysis of the numerous and overlapping continental, regional and subregional bodies that have been established nor did UNDP appear to have a clear strategy to engage with these institutions or with some institutions over others. While coordination mechanisms such as the United Nations Regional Coordination Mechanism and the UNDP-African Union Liaison Office in Addis Ababa (Ethiopia) have facilitated engagement with the African Union, coordination with the RECs has been more ad hoc. UNDP has engaged with the RECs on a sectoral basis: for example, the HIV team has engaged with the directorate or unit covering health and the energy team has engaged with the directorate or unit responsible for infrastructure or energy. There is, however, no focal point for each REC in the regional service centres, and no one appeared to have a complete understanding of what UNDP is doing with any one REC. In addition, many of these institutions have weak capacity, requiring long-term engagement for capacity development. The reliance of the regional programme on short-term interventions has been inadequate in this area, especially in the absence of a longer-term strategic plan of engagement. Given that support to regional integration is a central element in the regional programme, a more strategic and coherent approach appears desirable.

**Conclusion 3. The regional programme, for the most part, has been appropriately positioned within UNDP and has focused on issues with regional dimensions. The regional programme collaborated with country programmes to**

**contribute to development results. Where coordination with country programmes was weak, there were challenges in yielding results and the value added of the regional programme was questioned. Holistic approaches, drawing on the ability of the regional programme to work with regional institutions and the country programme presence at the national level, were particularly effective.**

Most of the regional programme initiatives had a strong regional dimension, supporting the regional institutions to develop and implement regional frameworks and implementing programmes designed to address issues of relevance to multiple countries. The regional programme provided catalytic inputs that country programmes have been able to take forward. For example, in the case of Kenya, well-timed, informative studies led the Government to take actions to increase youth employment, and, in the case of the Central African Republic, support to its poverty reduction strategy paper and MAF has helped to position the UNDP country office as an advocate for pro-poor development strategies. Linkages between regional and country-level interventions took different forms. For example, the regional youth employment programme supported, and in some cases directly implemented, country-level youth employment projects, whereas AFIM was designed to provide support to existing and emerging country-level private-sector projects. In the case of the directly implemented youth employment projects, some stakeholders saw little value added in having these managed by a regional project. Where the regional initiatives were weakly linked with country programmes, results were negligible. In the case of the agri-enterprise programme, for example, participants in regional training had no support structures to help them to apply their learning on their return home. The work on energy in West Africa, which engaged at the REC level to strengthen regional policies and frameworks, at the national level through support

to national multisectoral groups and at the community level through implementation of the MFPs, was very effective in this region.

**Conclusion 4.** The regional programme collaborated with the global programme. The degree and forms of integration between the support provided by the global and regional programmes varied to a great extent. Both programmes provided technical advisory support to country programmes. In terms of the efficacy of the support, the merit of having parallel global and regional support structures was not very clear.

With respect to technical advisory support to country programmes, there were many cases where advisers from the global and regional programmes collaborated through effective role-sharing. In the area of the MDGs, for example, the global programme provided the tools for development of the MAFs and funded some of the advisers in the regional poverty practice teams that also supported the application of the MAF at the country level along with the regional programme-funded MDG advisers at the regional centre and the economic advisers in the country offices. In terms of efficacy and lines of accountability, however, the merit of having a parallel support structure, with both the global and regional programmes directly delivering services to the country level, was not very clear (as opposed to having a vertical structure, with the global UNDP structure supporting the regional UNDP structure, which supports the UNDP country programmes as well as regional institutions). Collaboration between the two programmes was often based on individual initiatives rather than on clear strategies, as evidenced by the great variation in the degree and forms of collaboration across focus areas. The uneven, and in part unexplained, distribution of support services across recipient country offices implies the lack of strategic allocation of services. The parallel structures of the global and regional programmes may in some cases have hindered the

strategic allocation of limited service resources across countries.

**Conclusion 5.** The regional programme was designed taking into consideration UNDP corporate priorities, emphasized normative values, addressed sensitive issues and, in particular, was highly responsive to gender issues. Its dual approach of having a gender-equality project as well as integrating gender equality into other projects ensured that gender equality remained visible in the regional programme, although to varying degrees across different interventions. The limited capacity to deal with gender equality in country offices undermines the efforts of the regional programme as do the capacity constraints within the regional gender teams.

The regional programme has been able to promote United Nations values, engaging with partners at the regional level on issues that can be challenging to address at the country level, such as anti-corruption, HIV and AIDS, and gender. The issue of gender equality is inextricably bound up with the social, economic and political development of Africa as well as being a fundamental human rights issue. The regional programme has demonstrated good examples of integrating gender equality. The mainstreaming of gender and HIV into environmental impact assessments (EIAs), the integration of gender into economic analysis, regional initiatives to address gender-based violence, the development of gender statistical capacity and the integration of gender into climate change are some of the examples explored in the evaluation.

However, the extent to which the regional programme can achieve results at the country level is dependent on capable gender focal points and the commitment of leadership in country offices to promoting gender equality. Weaknesses in the country office gender machinery have been noted in evaluations of UNDP country programmes. The regional programme, even though its stated

intentions on gender equality were good, failed to allocate human resources commensurate with its goals and necessary to overcome the weak capacity of country offices in gender mainstreaming.

**Conclusion 6. The late start-up of many initiatives and the fragmented nature of some interventions limited the overall progress towards the intended results of the regional programme. The resulting short time frame for interventions was at odds with the long-term capacity development needs of regional institutions. The programme nevertheless made some useful contributions towards the intended programme outcomes, particularly in the case of longer-term initiatives.**

Delays in initiating many of the regional programme initiatives until late 2009 or 2010 limited the time frame for the achievement of development results. The delays were due in part to insufficient consultation with stakeholders during the development of the regional programme, necessitating a longer consultation phase for individual initiatives, and were compounded in some cases by delays in recruitment. Some projects such as the support to contract negotiations and agri-enterprise development, initiated under the previous programme or at the beginning of the current programme, suffered from weak oversight and yielded very few results. Other initiatives have, despite the short period of their operation, made important contributions. For example, the regional HIV and AIDS project laid a good foundation for further strengthening of regional responses to HIV and AIDS and the removal of discriminatory laws that hinder access to treatment, care and support. Implementation of human-security initiatives, though started late, yielded some results that can be built on in the next regional programme. Initiatives building on previous interventions under the earlier regional programme (Regional Cooperation Framework [RCF] 2002-2007), such as the support to energy initiatives in West Africa, to MDG-based poverty reduction strategies, to the ARPM and

NEPAD, made useful contributions towards intended outcomes.

**Conclusion 7. The lack of a clear programme framework, weak communication, and poor monitoring, evaluation and reporting have been doing UNDP a disservice since regional programme results have not been clearly recorded, shared, reported or otherwise communicated.**

The current programme framework and project results frameworks attempt to capture complex realities where interventions in one area contribute to results in another. This approach may be theoretically valid but in practice leads to an unwieldy document. The resulting framework, with 17 outcomes many of which overlap in substance and with programme components contributing to several outcomes, has been difficult to use as a strategic communication tool. In addition, the reporting against multiple outcomes has not only been weak but it has also not captured well synergistic work or work converging on key emerging issues.

Reporting of results was scattered and usually confined to listing activities conducted, with little information on how results of activities were leading towards intended outcomes. The indicators in the original results framework, with their inconsistent baselines and targets, have hardly been used to track progress. Project evaluations provided some useful assessments of project-level contributions to results but are not available across all programme areas. The single outcome evaluation that sought to cover all programme outcomes at once was unable to provide an in-depth assessment of progress against any one outcome.

As a consequence, programme results are not clearly communicated either internally through the 'Results-Oriented Annual Report (ROAR)' or externally through the UNDP public website, and the achievements of UNDP at the regional level have not been as visible as they

could be. This weakens public accountability and could damage the image of UNDP as a credible business partner in the eyes of donors or other stakeholders.

**Conclusion 8. Owing to weak monitoring, learning, knowledge management and communication, the potential of the regional programme and the regional service centres to function as a regional knowledge hub has been only partially realized.**

The UNDP regional programme has produced high-quality knowledge products such as the 'Africa Human Development Report 2012' and has collaborated with other organizations to produce others, such as the Africa MDGs progress reports and 'African Economic Outlook.' Regional teams also contributed to global products such as 'Regional Integration and Human Development: A Pathway for Africa' and 'Trade and Human Development: A Practical Guide to Mainstreaming Trade.' Regional teams also produced a large number of other research and policy documents, toolkits and guidelines the dissemination of which was uneven. In addition, regional teams took knowledge and experiences from one country to support advocacy and activities in other countries through, for example, implementation of MAF and MFPs. The regional programme used global programme expertise and in turn generated knowledge that has been shared globally. For example, in the case of HIV and AIDS, it drew on global knowledge to advise SADC countries on the use of trade-related aspects of intellectual property rights (TRIPS) to access sustainable supplies of drugs at a lower cost. The regional programme generated knowledge on the mainstreaming of HIV and gender into EIAs, and this experience has been shared globally for application in other regions. However, in many cases, knowledge and experience remained with individuals since mechanisms to foster the exchange of knowledge and experience and to monitor results of regional support to country offices and country

programmes in order to strengthen the analysis of lessons learned remained weak.

## V. RECOMMENDATIONS

**Recommendation 1. The regional programme should continue to focus on interventions where a regional approach brings the greatest value added. First priority should be given to strategic initiatives, undertaken in consultation with other United Nations partners, that strengthen the capacity of regional institutions and support the implementation of their priority frameworks. In the case of multi-country programmes, the regional programme should focus primarily on the provision of expertise, facilitation of cross-country exchanges and knowledge management, with country programmes implementing national or subnational activities. Where it is appropriate for the regional programme to implement country-level activities, this should be done in close collaboration with country offices, with a view to eventually incorporating these activities into country programmes.**

Given its limited resources, the regional programme should continue to focus on interventions where a regional approach brings significant value added. The regional programme should, in consultation with other United Nations partners, give first priority to strategic initiatives that strengthen the capacity of and support regional institutions to develop and implement priority frameworks, policies and programmes (one example among many from the work of the current programme being the support to the 'African Charter on Democracy, Elections and Governance') and to high-level advocacy for issues pertinent to the region (such as the 'Africa Human Development Report'). The regional programme may complement these initiatives with interventions at the country level to support Member States in implementing those regional agendas. For example, under the current

programme, in the area of HIV and AIDS, the regional programme has worked with SADC at the regional level and Member States at the country level on specific priority issues identified with SADC. As the second priority, the regional programme should address issues of concern to multiple countries, where a regional approach brings advantages over individual country approaches. This may include, for example, the provision of specialized technical advisory services required by several countries (for instance, the Pôle de Dakar under the current programme) or initiatives that address cross-border issues, such as natural resource management.

In the case of multi-country programmes, generally, the primary roles of the regional programme should be the provision of technical expertise and guidance, knowledge management including facilitation of cross-country exchanges of experiences, and monitoring of progress in specific themes relating to the intervention and in codifying and sharing lessons learned, while country programmes implement activities at the national or subnational level. For example, any future regional programme work on youth employment could focus on regional issues (as in the work of the current programme with ECOWAS on a youth-employment action plan) and on bringing together countries to share experiences in promoting youth employment, leaving community-level initiatives to promote employment to country programmes. There may be cases where it is appropriate for the regional programme to support country-level activities directly, such as piloting a new activity or approach that may not yet be incorporated into country programmes. Such country-level activities should be carried out in close collaboration with the country offices, with a view to eventually incorporating these activities into country programmes.

**Recommendation 2. RBA should develop a results-oriented strategy for engagement with regional institutions.**

Building on analyses conducted by various regional interventions under the current regional programme as well as by partners RBA should conduct a systematic, strategic analysis of regional institutions to identify their strengths, weaknesses and opportunities for engagement with UNDP as well as review in greater depth results achieved and lessons learned through UNDP work to date with regional institutions. On this basis, RBA should develop a strategy for engagement with regional institutions, including mechanisms for systematic consultation between UNDP and the regional institution and between units within UNDP engaging with the same institution. This framework for engagement should be both results-oriented and flexible, enabling the regional programme to respond quickly when opportunities to strengthen a regional institution arise without losing sight of the intended outcomes to which interventions should contribute.

**Recommendation 3. The regional programme and projects should be designed from the outset in consultation with stakeholders, in particular the African Union and RECs and, to the extent possible, national governments and country offices, to ensure ownership.**

In light of the challenges faced by the regional programme during the initial years of the programme period, stemming in part from insufficient consultation with stakeholders during the design of the programme and some initiatives, RBA should design a strategy for the development of the next regional programme and constituent projects that ensures adequate consultation with regional and national stakeholders to create ownership and that promotes continuous, long-term engagement in strategic areas. In addition to this consultation with partners, the regional bureau should involve UNDP staff, including regional advisers and other regional service centre team members as well as country office teams, during formulation to strengthen internal ownership of the overall programme,

facilitate more efficient start-up, and identify from the outset the potential for cross-practice collaboration during the implementation of the new programme.

**Recommendation 4. With respect to its strategic initiatives and projects, the regional programme should sharpen its focus and articulate in the RPD a limited number of outcomes and outputs. In addition, RBA could consider identifying a few unifying cross-cutting themes highly relevant to Africa in the coming years that can be mainstreamed across interventions to give additional coherence and visibility to the programme.**

When developing the regional programme and its constituent strategic initiatives, RBA should, as already recommended in the ‘Evaluation of UNDP’s Second Regional Cooperation Framework for Africa 2002-2006,’ define a limited number of outcomes and outputs. This will provide vision and facilitate the prioritization of interventions. It will also facilitate monitoring, learning, knowledge management and communication of programme results. At the same time, the regional bureau could consider identifying a few unifying cross-cutting themes highly relevant to Africa to be mainstreamed across interventions in different focus areas. Identifying and mainstreaming a small number of cross-cutting themes will give additional coherence and visibility to the programme. This will also promote cross-fertilization of ideas and collaboration across practice areas. The new regional programme should include a monitoring and evaluation (M&E) framework with clear indicators and consistent baselines and targets and a plan for evaluations of strategic initiatives.

**Recommendation 5. With respect to technical and advisory services, the UNDP global policy bureaux and RBA should ensure an integrated strategy for the provision of a necessary range of regional advisory and technical support**

**services to country offices. The management should monitor the effect of services provided by the regional advisers and take decisions based on the need for, and the efficacy of, support in helping country offices to realize development results.**

With respect to technical and advisory services, UNDP and RBA should ensure an integrated strategy for the provision of a necessary range of regional advisory and technical support services to country offices in support of country programmes. Given the great needs of country offices for technical support and the limitation in resources available for this purpose, it is imperative to establish a clear responsibility and accountability mechanism for allocating support services in a strategic manner across countries and technical areas. For this purpose, it should be made clear that all regional advisers, regardless of the funding source, are accountable to the management of the regional service centre. The management should monitor the effect of services provided by the regional advisers and take decisions based on the need for, and the efficacy of, support in helping country offices to realize development results. In the longer term, the levels and types of expertise of these advisers should be adjusted on the same basis. The management could also consider studying the engagement mechanism used by the Asia-Pacific Regional Centre with its country offices.

**Recommendation 6. RBA, the Bureau for Development Policy (BDP) and the Bureau for Crisis Prevention and Recovery (BCPR) should strengthen monitoring and follow-up by the regional service centre for learning, knowledge management and effectiveness.**

There is great potential for the regional service centres and regional programme to expand their learning and knowledge-management role. The regional service centre teams should more systematically follow-up on and monitor the results

of their interventions at the country level. In addition, the regional teams can follow different country programme interventions in areas of particular regional interest in order to strengthen understanding of which initiatives are leading to results in which contexts. This will enable the regional teams to further tailor their advisory services and to share their analysis and lessons learned with institutions and countries of the region as well as contribute to regional and global knowledge products.

**Recommendation 7. RBA, through the regional programme, should further enhance the development and dissemination of regional knowledge and knowledge products.**

To further strengthen its knowledge-management role, RBA and the regional programme should assist regional projects and country offices to

identify experiences and lessons learned that should be documented and the best means of disseminating this information not only in the form of publications but through other forms of media such as social media, e-learning and video-clips as appropriate. Knowledge products should be showcased and made readily available on relevant UNDP websites and should also be made available, to the extent possible and as relevant, in English and in French. Knowledge products can be designed to strengthen programme synergies and reinforce messages by, for example, producing ‘Africa Human Development Reports’ on one or more of the unifying themes of the programme or by involving relevant regional teams in the conceptualization and development of knowledge products. The regional programme should monitor the dissemination and use of different products to refine continuously its knowledge-management strategy.

# CHAPTER 1.

# INTRODUCTION

## 1.1 PURPOSE OF THE EVALUATION

The Evaluation Office of the United Nations Development Programme (UNDP), as part of its annual work plan approved by the Executive Board,<sup>1</sup> conducted regional programme evaluations for all five UNDP regions and the global programme evaluation in 2012. The evaluation was also in line with the provisions of the UNDP Evaluation Policy and with the Strategic Plan 2008-2013.<sup>2</sup>

A regional programme evaluation is an independent programmatic evaluation with the objectives of providing substantive support to the Administrator's accountability function in reporting to the Executive Board; facilitating learning to inform current and future programming at regional and corporate levels, particularly in the formulation and implementation of the new regional programme to be approved in 2013; and providing stakeholders in the programme countries and development partners with an objective assessment of the development contributions achieved through UNDP support and in partnership with other key players through the regional programme.

The evaluation analysed the contributions made by the regional programme to development results during the programme period, and UNDP's strategic positioning in the region. The results of the evaluation include a set of forward-looking recommendations.

## 1.2 SCOPE OF THE EVALUATION

Following the previous regional programme evaluation for Africa covering the period 2002-2006, the present evaluation examined the regional programme for the current programme period, 2008-2013. The evaluation was conducted between August to November 2012, and covers the period 2008-2011 and 2012, to the extent that data was available. Delineating the boundaries of the regional programme, and therefore the scope of the evaluation, was however a challenge.

The regional programme, as set out in the regional programme document (RPD) approved by the UNDP Executive Board,<sup>3</sup> is structured around four broad themes – poverty reduction and achievement of the Millennium Development Goals (MDGs); consolidating democratic governance; conflict prevention, peacebuilding and recovery; and energy, environment and sustainable development – with 10 key results areas and 17 intended programme outcomes.<sup>4</sup> According to UNDP's programme and financial management system (Atlas) 70 projects are linked to the regional programme, however these include projects carried over from the previous programme cycle. The evaluation focused on programmes and projects designed to contribute to the intended outcomes as described in the RPD, listed in Annex 4.

Under the overall guidance of the Regional Bureau for Africa (RBA), the regional programme is

<sup>1</sup> UNDP, 'Annual Report on Evaluation in UNDP 2010,' DP/2011/24, June 2011.

<sup>2</sup> UNDP, 'UNDP strategic plan, 2008-2011, Accelerating global progress on human development,' DP/2007/4318, July 2007, Reissue January 2008.

<sup>3</sup> UNDP, 'Regional Programme Document for Africa (2008-2011),' DP/RPD/RPA/1, October 2007.

<sup>4</sup> In UNDP's online programme and financial management tool, Atlas, the RBA Programme Tree lists 13 outcomes, not 17.

implemented primarily through two regional service centres, one in Johannesburg (South Africa), serving East and Southern Africa, and one in Dakar (Senegal), serving West and Central Africa. There is also a UNDP-African Union Liaison Office in Addis Ababa (Ethiopia). A small number of projects are implemented under the direct guidance of the regional bureau in New York, and one was implemented through the UNDP Nigeria country office. In addition to implementing the regional projects designed under the framework of the RPD, the regional service centres provide advisory services, support capacity development and manage knowledge through advisers and experts funded by different sources, including the regional programme, all of which contributes to the intended results of the Bureau of Development Policy's (BDP) global, regional and country programmes in the region.

An example from one project document illustrates the difficulty of isolating the regional programme from the regional service centre. The project document 'Accelerating Efforts to Mitigate the Impact of AIDS on Human Development in Sub-Saharan Africa' states '[i]nternally, all UNDP-related initiatives, at regional, global and country levels, will be undertaken with the involvement of the entire UNDP HIV and AIDS practice teams and the gender team, as well as with the capacity development, poverty, governance, and crisis prevention and recovery practices, as appropriate.<sup>5</sup>

Given this complexity, the evaluation took a results approach to define its scope. The regional programme is thus defined herein as 'a set of programme activities designed to implement the programme as set out in the RPD approved by the UNDP Executive Board,' i.e. irrespective of the source of funding for those activities. Following from this definition, the evaluation examined not only interventions designed specifically under the

regional programme but also various aspects of work undertaken by the Dakar and Johannesburg Regional Service Centres that contributed to regional programme results, including the provision of technical advisory services and support to knowledge management, even if they might have been fully or partially funded by non-regional programme resources.

### **1.3 APPROACH AND METHODOLOGY**

The regional programme evaluation assessed two aspects of UNDP performance: the organization's contribution to regional development results through its thematic programmes and its strategic position in the region.

With respect to development results, the evaluation assessed performance against the RPD – the given programme framework – which specifies UNDP's strategic intent and the precise objectives to which the programme was intended to contribute. The regional programme results framework annexed in the RPD does not, however, provide a strong framework on which to build an evaluation of the programme, as the distinction between outcomes and outputs is sometimes blurred. Although the results framework includes indicators, consistency between indicators, baselines and targets is poor, and reporting against these indicators and targets by the regional bureau has been weak. The evaluation thus assessed initiatives by comparing them to the overall intent of the programme outcomes and the goals stated in project documents.

In addition, as previously mentioned, the evaluation faced challenges in delineating the boundaries of the regional programme, given the overlap in the nature of activities, the use of human and financial resources and reporting of results by the regional programme and the regional service

<sup>5</sup> The document further says that the regional HIV project will be implemented '...working seamlessly with UNDP's Bureau for Development Policy (BDP) in general, and the HIV practice in particular.'

centres. The intended results of the regional programme overlap with those of the global and country programmes, making it impossible to completely compartmentalise and distinguish the results of the regional programme as distinct from results of other UNDP programmes.

Given the confluence of these several interventions, not to mention the work of other partners, attribution of development change to the regional programme (in the sense of establishing a causal linkage between a development intervention and an observed result) was impossible, and attempting to do so would have been inappropriate. The evaluation therefore considered contribution of the regional programme to the intended change stated in the programme document and sought to explain how it contributed to the observed results. Assessments of contributions at the national level considered the complementarity of the regional programme strategy and activities to the national strategy and the appropriate UNDP country programme. The significance and specific value added of these contributions to national efforts in the same or related priority areas were also considered.

## EVALUATION CRITERIA AND QUESTIONS

The contribution of the regional programme to development outcomes was assessed according to a standard set of evaluation criteria used across all regional programme evaluations:

- *Relevance*: To what extent was the regional programme relevant to: (a) the priority development challenges and emerging needs of the region; (b) promotion of United Nations values and UNDP mandate; and (c) its comparative strengths?
  - *Effectiveness*: To what extent did the regional programme contribute to the realization of the intended outcomes as outlined in the RPD?
  - *Efficiency*: To what extent did the regional programme make good use of its financial and human resources?
  - *Sustainability*: To what extent are the results of UNDP's contribution through the regional programme sustainable, or likely to be sustainable?
- Some standard explanatory factors and cross-cutting issues were assumed to affect performance of the programme, both in terms of the organization's contribution to development results and its strategic positioning. These factors and issues include:
- *Regional dimension*: Did UNDP apply an appropriate mix of modalities and approaches (e.g. regional public goods, subregional issues, multi-country interventions, technical support to country offices, etc.) to maximize performance in view of regional needs?
  - *Knowledge management*: To what extent did the regional programme play the role of a regional 'thought leader' and 'knowledge manager'? To what extent were the knowledge products delivered by the regional programme adapted to country needs?
  - *Synergies*: To what extent did the regional programme work in synergy with, or leverage work done through either the global or country programmes?
  - *Partnerships*: To what extent did the regional programme use partnerships (with civil society, private sector, regional inter-governmental bodies, parliaments, international development partners, etc.) to improve its performance?
  - *Gender*: To what extent did the regional programme mainstream gender to ensure more effective performance?
  - *Capacity development*: To what extent did UNDP invest in, and focus on, regional/national capacity development to ensure sustainability and promote efficiency?
  - *South-South cooperation*: To what extent did the regional programme facilitate South-South cooperation, and did this lead to concrete results?

## DATA COLLECTION STRATEGY

When the present evaluation was originally planned and designed, the Evaluation Office and RBA agreed to delay the start of the evaluation to allow for an RBA-commissioned outcome evaluation to be completed. The present evaluation intended to build on the findings of the outcome evaluation in its assessment of UNDP's contribution to development results, and to focus on UNDP's strategic position in the region. The outcome evaluation was expected to be completed by mid-2012 but the draft report was not available until November 2012. The present evaluation therefore adjusted its strategy and made its own assessment of the regional programme's contribution to development results and UNDP's strategic position.

The evaluation established findings based on the triangulation of evidence from different methods and sources (primary and secondary). Initially, the evaluation relied on already existing documentation, including programme and project documents, progress reports, knowledge products and project evaluations. Decentralized project evaluations or reviews were available for six of the interventions reviewed by the present evaluation, five of which are within the poverty and MDGs focus area. Interviews with UNDP staff members involved in the design, oversight, management and implementation of activities were also conducted.

To complement this information, the evaluation adopted a three-pronged strategy to collect primary data to ensure both sufficient coverage (breadth) and insight into the role and functioning (depth) of the regional programme. A survey of Resident Representatives and country offices was designed to collect data from a large number of countries. In-depth, face-to-face interviews were conducted during country visits, and online/telephone interviews were conducted to

obtain additional information from additional countries. A detailed data collection plan was prepared detailing: the projects selected for detailed assessments, data sources, questionnaires and interview protocols, and the plans for field visits.

## DATA COLLECTION

- *Desk review:* Data collection began with detailed desk reviews of key background documents and reference materials. The evaluation team collected and reviewed additional material throughout the evaluation (see Annex 3) as part of the triangulation process.
- *Interviews with Dakar and Johannesburg Regional Service Centres staff:* Members of the evaluation team visited the two regional service centres to develop a thorough understanding of the regional programme through discussions with programme staff and gathering of key documents.
- *Online/telephone interviews and country visits:* Interviews were conducted with 133 people: UNDP staff from 21 country offices, national stakeholders from eight countries, stakeholders from four regional institutions and other partners. Most interviews were conducted in person, with ten interviews conducted by telephone or online. Countries were selected for visits based on a number of criteria including: presence of key regional institutions, subregional coverage, overall thematic coverage, the existence of major achievements/challenges from which the evaluation could draw lessons and good practices, and the opportunity to meet other regional/national stakeholders, for example, at a High-Level Energy Forum held in Ghana. The evaluation prioritized countries which had not been visited by the team that had conducted the RBA outcome evaluation. The complete list of people consulted is provided in Annex 2.

- *Survey of Resident Representatives and country offices:* A survey,<sup>6</sup> which was developed and administered by the Evaluation Office for all five regional programme evaluations and the global programme evaluation, was used to obtain critical insights into the regional programme operations from UNDP country offices in the region. The survey consisted of 24 questions on the perceived quality of technical support, knowledge products, and regional/global products delivered by the respective regional service centres. In the Africa region, 41 out of 45 country offices replied.
- *Cybermetric analysis:* An analysis of key regional programme knowledge products was also conducted by a specialized company, which drew on cybermetric research methods to study the types of activity occurring on third-party websites, using social scientific methods to summarize trends occurring across large datasets. This approach differs from web analytical methods that are primarily limited to a particular website. Cybermetric methods provided insight into activity across thousands of websites, and was used to reveal larger online trends such as the types of organizations citing the documents, their geographic distribution, how they are referencing publications or websites and a range of other topics.

## DATA ANALYSIS

Following completion of the main data collection phase, the following steps were taken:

- The primary data collected, and relevant information from secondary data, were analysed by each key result area to reach a set of findings for each evaluation criteria defined.

- The evaluation team cross-examined these sectoral findings to ensure consistency in the quality of these findings across sectors.
- Based on the sectoral findings, a cross-sectoral and comparative analysis was conducted and factors were analysed. Findings on cross-sectoral issues (e.g. capacity development) were extracted from sectoral findings, and analysed to identify common issues across sectors.
- Key strategic issues including the role of the regional programme, the ‘regionality’ or regional nature of the programme components, and the use of cross-practice approaches, were then identified, analysed during a brainstorming session.

## VALIDATION AND REPORT PREPARATION PROCESS

These preliminary findings were presented to RBA for validation and comment. The feedback received was further discussed and compared with the preliminary findings and conclusions. The draft evaluation report was prepared after further assessment by the evaluation team of its findings, ensuring consistency across various data sources and methods, before arriving at a set of conclusions and recommendations. The draft report was shared with RBA, the Dakar and Johannesburg Regional Service Centres, and the UNDP-African Union Liaison Office, for review with particular attention to factual accuracy. The draft report was also reviewed by an Evaluation Office expert external to the evaluation team to assess quality and credibility of the report’s findings. Taking into account comments received, the report was submitted to the Executive Board in 2013.

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<sup>6</sup> Hereafter referred to as the Country Office Survey.

## **1.4 STRUCTURE OF THE REPORT**

The evaluation report consists of five Chapters. Following the present Introduction, Chapter 2 provides an overview of the development context and challenges of the Africa region and UNDP's response to those challenges, providing the rationale, evolution of the regional programme and the content of the current programme framework for the period 2008-2013. Chapter 3 presents the assessment of UNDP's contribution to regional development by each thematic area, with an examination of corresponding outcome areas. Chapter 4 presents the assessment of UNDP's strategic position in the region, including an analysis of cross-cutting issues. Finally, drawing on specific findings and assessments, a set of conclusions and recommendations are summarized in Chapter 5.

## CHAPTER 2.

# THE REGIONAL CONTEXT AND UNDP RESPONSE

This chapter provides first an overview of the sub-Saharan Africa regional context, describing some of the key development challenges and priorities of the region, and outlines the role of the African Union and other regional institutions in promoting regional integration. The second part of the chapter describes UNDP's response to this development context, with a short overview of the UNDP's organizational structure and an overview of the UNDP Regional Programme for Africa.

### 2.1 THE REGIONAL CONTEXT AND DEVELOPMENT CHALLENGES

UNDP's RBA covers 46 countries,<sup>7</sup> which collectively have shown robust economic growth, political and social progress, and advancement towards the MDG targets for more than a decade. Some of the world's fastest growing economies are in Africa, and they have expanded despite ongoing uncertainty in the global economy. This has reduced poverty in the region and brought a renewed sense of optimism about the future of the region. The region continues to show overall progress on gender equality and women's empowerment. Gender parity in primary education will be achieved in most countries in Africa

in 2015. Many of the conflicts affecting the western and central African subregions have been largely contained. Also evident is the significant progress made towards democratic governance and the protection of human rights. Electoral processes are taking root, and civil society and the media are participating in public accountability processes and human rights advocacy.

Yet, Africa and Africans continue to face considerable development challenges. Steady economic growth has yet to impact meaningfully on poverty reduction, decent employment, private-sector expansion and reversal of growing social inequalities. Sub-Saharan Africa's average Human Development Index (HDI) stood at 0.43 in 2010 compared to 0.64 for developing countries as a whole.<sup>8</sup> Some countries had registered substantial progress by 2010, with four African countries among the top 25 in terms of fastest progress in human development. However, the region is also home to the only three countries in the world whose HDI was lower in 2010 than in 1970.<sup>9</sup> Sub-Saharan Africa also has the highest incidence of multidimensional poverty in the world, although again the level varies considerably, ranging from a low of three percent in South Africa to 93 percent in Niger.<sup>10</sup>

<sup>7</sup> During much of the programme period reviewed, the regional bureau covered 45 countries.

<sup>8</sup> UNDP, 'Human Development Report 2010. The Real Wealth of Nations: Pathways to Human Development,' UNDP, New York, 2010, 28. The 2010 Human Development Report is referenced here, as it provides in-depth analysis of trends in human development. The 2011 Report indicated that the average HDI for sub-Saharan Africa was .463, compared to a world average of .682 (UNDP, 'Human Development Report 2011: Sustainability and Equity: A Better Future for All,' UNDP, New York, 2011, 134).

<sup>9</sup> Ibid. 27.

<sup>10</sup> Ibid. 97.

Africa's share in global trade, which fell from five percent in 1960 to about one and a half percent in 2000, has risen in recent years despite the global situation (three percent in 2010). This recent rise is almost entirely due to demand from Brazil, Russia, India and China.<sup>11</sup> Much of the new trade, for example with China, is in primary commodities, particularly precious metals, which are low value-added and/or capital intensive,<sup>12</sup> making it near impossible to harness the benefits of global trade and capital flows for poverty reduction. The global economic and financial crisis continues to threaten to slow or even reverse these recent advances.

Another problem facing the continent is youth unemployment. More than 60 percent of the continent's population is made up of 15- to 24-year-olds who represent 45 percent of the total labour force.<sup>13</sup> Getting more of the youth actively engaged in the economy and society is a major challenge, awareness of which has been heightened by the recent Arab Spring. African Heads of State and Government at the 17th African Union Summit held in Malabo (Equatorial Guinea) in July 2011, declared youth development and youth employment a high priority.

Despite improvements for women living in Africa, gender-based inequalities continue to persist, not only impinging on women's human rights, but also limiting the socioeconomic development of the region. According to the 2011 'Human Development Report,' sub-Saharan Africa had the highest gender inequality index of all regions

(0.610 compared to a world average of 0.492).<sup>14</sup> African Heads of State and Government have declared 2010-2020 the 'African Women's Decade,' the main goal of which is to enhance the implementation of commitments related to gender equality and women's empowerment.

Health-related issues also remain a challenge to the development of human capital and the attainment of the MDGs. In 22 countries of sub-Saharan Africa, the incidence of HIV dropped by more than 25 percent between 2001 and 2009.<sup>15</sup> However, the region remains the most heavily affected by HIV, with nearly 1 in every 20 adults (4.9 percent) living with HIV. In 2011, approximately 69 percent of people living with HIV resided in sub-Saharan Africa.<sup>16</sup> Furthermore, it is well-established that the HIV and AIDS epidemic has a disproportionate impact on poor people, women and marginalized groups, with devastating consequences for individuals and households. HIV is the leading cause of death among women of reproductive age. Stigma and discriminatory laws fuel the epidemic, preventing access to treatment. Encouragingly, African governments have steadily increased their commitment to scale up responses to combat HIV and increase access to treatment. Regional institutions such as the African Union have played, and continue to play, an important role in mobilising Member States to scale up their responses to the epidemic. The African Union and sub-regional bodies, such as the Southern Africa Development Community (SADC), have introduced initiatives to implement declarations that have been passed since 2001.

<sup>11</sup> Standard Bank, <http://www.blog.standardbank.com/blog/standard-bank-team/2010/04/ebb-and-flow-global-trade-and-gross-domestic-product>, accessed 18 June 2012.

<sup>12</sup> World Bank, 'De-Fragmenting Africa: Deepening Regional Trade Integration in Goods and Services,' World Bank, Washington D.C., 2012, 3.

<sup>13</sup> UNDP, 'African Youth Want to Do Business in Fast-growing Economy,' in 'Southern Innovator,' Issue 02, Spring 2012, 12.

<sup>14</sup> UNDP, 'Human Development Report 2011, Sustainability and Equity: A Better Future for All,' New York, 2011, 142.

<sup>15</sup> Africa Progress Panel, 'Africa Progress Report 2012, Jobs, Justice and Equity: Seizing opportunities in times of global change,' Geneva, 2012, 10.

<sup>16</sup> Joint United Nations Programme on HIV/AIDS (UNAIDS), 'Global Report. UNAIDS Report on the Global AIDS Epidemic 2012,' Geneva, 2012, 8.

Progress in democratic governance has been uneven, and peace and conflict resolution in several subregions remain fragile. Recent events in North Africa have raised concerns about the potential for political turmoil to spread to sub-Saharan Africa, particularly with the crisis in Mali, until recently a seemingly stable democracy. There remain serious challenges to deepening democracy beyond elections, strengthening economic governance and the state of law, and fostering a state that promotes pro-poor growth and accountability. The capacity deficiencies in institutional and human resources, and weak accountability and transparency mechanisms affect state structures charged with managing aid.

The lack of access to energy is another serious constraint to sustainable and inclusive growth, which is increasingly recognized by African policymakers. Over 600 million Africans still rely on traditional biomass as their main source of energy and over 500 million do not have access to electricity. In addition, energy supplies have been hampered by high oil prices, and inefficient utilities and end-uses. Cross-border collaboration in energy trade is weak in the region. The recent development of regional and national policies to promote energy access by rural populations has been positive.

Despite Africa's active participation in global initiatives to promote sustainable environmental conservation, the continent continues to witness widespread loss of critical ecosystems on which the majority of the populations depend for survival. Ever increasing demands for environmental goods and services such as water, food, timber and energy are exerting unprecedented pressures on the continent's ecosystems resulting in widespread degradation of both these ecosystems and productive land resources.

The African continent is prone to natural disasters such as droughts, floods and other extreme weather events which significantly threaten and challenge community livelihoods. In recent years these threats have been compounded by the impacts of climate change. According to the 2011 'Human Development Report,' rainfall levels over sub-Saharan Africa have fallen by almost seven percent when measured against a baseline of the average precipitation for the period 1951-1980.<sup>17</sup> The Intergovernmental Panel on Climate Change (IPCC) estimates that by 2020, up to 250 million people across Africa could face water shortages and productivity of rain-fed agriculture could drop by 50 percent, causing widespread hunger. If temperatures rise above two degrees Celsius in sub-Saharan Africa, an additional 600 million people in the region could face hunger, new epidemics of mosquito-borne diseases and additional agricultural losses of up to USD 26 billion by 2060.<sup>18</sup> The importance of agriculture for African economies and the reliance on rain-fed crops further compounds exposure to weather variation and the depletion of natural resources.

In response to these issues, African Heads of State and Government have adopted and are pursuing regional integration as an overarching continental development strategy. The vision at the continental level is to create an African Economic Community through six successive stages involving the strengthening of sectoral cooperation and establishment of regional free trade areas, a continental customs union, a common market, and a monetary and economic union. The first step is regional-level integration, by creating and strengthening regional economic communities (RECs), which would eventually merge into the African Economic Community.<sup>19</sup> UNDP, in its report 'Regional Integration and Human Development: A Pathway for Africa,'

<sup>17</sup> UNDP, 'Human Development Report 2011, Sustainability and Equity: A Better Future for All,' New York, 2011, 35.

<sup>18</sup> United Nations Humanitarian Aid Relief Procurement & Assessment Centre, <http://harpac.org/index.html>, accessed 14 June 2012.

<sup>19</sup> UNECA, 'Assessing Regional Integration in Africa V: Towards an African Continental Free Trade Area,' Addis Ababa (Ethiopia), 2012, xv.

sees the potential for regional integration to enhance the human development prospects of Africa's population, especially if efforts move beyond tariff reductions and the creation of customs unions to involve investments in infrastructure, technological upgrading and policy harmonization.<sup>20</sup>

The regional architecture is complex, leading many to describe maps of the overlapping economic communities, free trade areas and customs unions as a 'bowl of spaghetti'.<sup>21</sup> This brings its own challenges. At the continental level stands the African Union, which was constituted in 2000 and launched in 2002, and succeeded the Organisation of African Unity established in 1963. The African Union has a view '*inter alia*', to accelerating the process of integration in the continent to enable it [to] play its rightful role in the global economy while addressing multi-faceted social, economic and political problems compounded as they are by certain negative aspects of globalisation.<sup>22</sup> In pursuit of these goals, the African Union adopted the New Partnership for Africa's Development (NEPAD) as a programme of the African Union. NEPAD manages programmes and projects in a number of areas, including: agriculture and food security; climate change and natural resource management; regional integration and infrastructure; human development; economic and corporate governance; and cross-cutting issues such as gender, capacity development, and information and communications technology (ICT). In 2010, NEPAD became the NEPAD Planning and Coordinating Agency (NPCA) of the African Union. The African Peer Review Mechanism (APRM), established in 2003, fosters the adoption of policies, standards and practices leading to political stability, high economic growth,

sustainable development and accelerated sub-regional and continental economic integration, through sharing of experiences, and reinforcement of successful and best practices.

The Abuja Treaty of 1991 established the African Economic Community and foresaw the creation of five regional communities. There currently exist fourteen regional communities, eight of which are recognized by the African Union. The Economic Community of West African States (ECOWAS), groups 15 countries to promote cooperation and integration in economic, social and cultural activity, with the intention of forming an economic and monetary union. Originally focused on economic integration, ECOWAS also focuses on peace and security, for example, conducting missions to monitor elections and issuing post-mission declarations. ECOWAS also adopted a Conflict Prevention Framework in 2008. Despite challenges, ECOWAS has been persistent in creating institutions, particularly in infrastructure, energy and banking, slowly strengthening regionalism.

Within ECOWAS, eight countries belong to the West African Economic and Monetary Union (WAEMU) and share a common currency. Six other ECOWAS countries have set up the West African Monetary Zone (WAMZ). Coordination between WAEMU and ECOWAS has improved in recent years, with WAEMU taking the lead in economic and social activities in its eight Member States and reporting to ECOWAS, and ECOWAS taking the lead in the seven other countries. Four Member States of ECOWAS also make up the Mano River Union.

The Common Market for Eastern and Southern Africa (COMESA), groups 19 countries and

<sup>20</sup> UNDP, 'Regional Integration and Human Development: A pathway for Africa,' New York, 2011, 4 and 60.

<sup>21</sup> See for example, UNECA, 'Assessing Regional Integration in Africa II: Rationalizing Regional Economic Communities,' Addis Ababa (Ethiopia), 2006, 51; Senghor, Jeggan C., 'Going Public. How Africa's Integration can work for the poor,' Africa Research Institute, London, 2009, 35.

<sup>22</sup> African Union, <http://www.au.int/en/about/nutshell>, accessed 23 November 2012.

focuses on creating a large economic and trade unit. It has a wide range of objectives, including the promotion of peace and security. COMESA set up a free-trade area and launched a customs union in June 2009 with a three-year implementation framework.

The Economic Community of Central African States (ECCAS) has 10 members working to promote cooperation and dynamic development, and ultimately the creation of a Central African common market.<sup>23</sup> In addition to its work on economic integration, ECCAS seeks to maintain peace and security in the region. Within the ECCAS region, six countries are members of the Economic and Monetary Community of Central Africa (CEMAC). The two organizations have the same objectives with respect to regional integration, and have created a rationalization committee to improve coordination and avoid duplication of efforts.<sup>24</sup> The region also includes the Economic Community of the Great Lakes Countries. Overall, ECCAS' effectiveness has been hindered by geographic, economic and political obstacles. Member States have ties with other regions, for example, Angola has closer economic ties to South Africa than with other states in Central Africa and Chad often looks to North Africa.<sup>25</sup> The history of conflict in the region has also led to mistrust.

SADC has 15 Member States and envisions a 'regional community that will ensure economic well-being, improvement of the standards of

living and quality of life, freedom and social justice, and peace and security for the people of Southern Africa'.<sup>26</sup> SADC established a free-trade area in 2008, and is preparing to create a customs union. The five-country Southern African Customs Union is part of SADC.

The Intergovernmental Authority on Development (IGAD) is an organization of eight East African countries focused on drought control and development initiatives. Some of the Member States are covered by UNDP's Regional Bureau for Arab States (RBAS).<sup>27</sup>

The East African Community (EAC) has five members aiming to widen and deepen cooperation among members in political, economic and social fields. The EAC is the most advanced REC in terms of economic integration,<sup>28</sup> having established a customs union in 2005 and a common market involving the free movement of factors of production in 2010. The next phase of the integration will see the establishment of the East African Monetary Union, and ultimately the East African Community Political Federation.<sup>29</sup>

The Community of Sahel-Saharan States (CEN-SAD) is the largest, and one of the newest, regional economic communities in terms of population and area.<sup>30</sup> Members include North African countries (covered by RBAS) and members of ECOWAS and ECCAS. Since members already participate in several other organizations, CEN-SAD does not have a strong identity as a

<sup>23</sup> Khadiagala, Gilbert M., 'Institution building for African Regionalism,' Working Paper Series on Regional Economic Integration, Asian Development Bank (ADB), Manila (The Philippines), 2011, 46.

<sup>24</sup> International Crisis Group, 'Implementing Peace and Security Architecture (I): Central Africa,' Nairobi/Brussels, 2011, 20.

<sup>25</sup> Ibid. 4.

<sup>26</sup> SADC, <http://www.sadc.int/about-sadc/>, accessed 27 November, 2012.

<sup>27</sup> Djibouti, Somalia and Sudan are covered by the UNDP RBAS; Eritrea, Ethiopia, Kenya, Uganda, and IGAD's newest member, South Sudan, are covered by RBA.

<sup>28</sup> UNDP, 'Regional Integration and Human Development,' 16.

<sup>29</sup> African Union, 'Status of Integration in Africa. Second Edition, 2009,' Addis Ababa (Ethiopia), 2009, 99.

<sup>30</sup> Ibid. 84.

regional organization.<sup>31</sup> An initiative of Libya, the organization may undergo shifts given recent political changes in the region. The regional programme for Africa has not worked with CEN-SAD.

As the RECs develop, interregional coordination is growing but faces challenges. For example, despite their efforts to foster trade development, Africa's internal trade has consistently remained minimal compared with its intercontinental trade.<sup>32</sup> Overlapping membership in different regional economic communities and related institutions are part of the problem. For example, in Southern and Eastern Africa, the EAC, which is already a common market, shares four members with COMESA and one with SADC. Ten countries in the region are already members of customs unions, but are also in negotiation to establish other customs unions.<sup>33</sup> In West Africa, ECOWAS coexists with the WAEMU, the Mano River Union and CEN-SAD. These overlapping memberships result in difficulties for members to pay their contributions to the different organizations, which impacts on staffing of secretariats (which further suffer from high turnover).<sup>34</sup> Multiple memberships may result in countries facing incompatible requirements, further hampering implementation of agreements. Membership in more than one customs union is particularly problematic.

The African Union and RECs, in response to challenges they have faced, have adopted the Minimum Integration Programme (MIP), which focuses on priority areas of concern at regional and continental levels, where the RECs could strengthen their cooperation.<sup>35</sup> Priority sectors include free movement of persons, goods, services and capital; peace and security; infrastructure and energy; agriculture; trade; industry; investment; and statistics.<sup>36</sup> Funding for the MIP however remains a challenge.<sup>37</sup> At the level of the RECs, COMESA, EAC and SADC held a tripartite summit in October 2008, and the Heads of State and Government of the three organizations agreed to establish a free trade area to bring together 26 African countries.<sup>38</sup> In other non-economic areas, COMESA, IGAD and EAC have developed a conflict prevention, management and resolution strategy for the Eastern and Southern Africa region.

## 2.2 UNDP IN THE REGION

### UNDP'S ORGANIZATIONAL STRUCTURE

UNDP was established by the United Nations General Assembly in 1965.<sup>39</sup> Five years later, regional bureaux were created at headquarters to manage regional programmes and projects.<sup>40</sup> In addition to country programmes, provisions were made for multi-year intercountry programmes

<sup>31</sup> Khadiagala, Gilbert M., 'Institution building for African Regionalism,' 18.

<sup>32</sup> UNECA, 'Assessing Regional Integration in Africa II,' xv.

<sup>33</sup> UNECA, 'Assessing Regional Integration in Africa V,' 1.

<sup>34</sup> UNECA, 'Assessing Regional Integration in Africa II,' xv-xxii.

<sup>35</sup> UNECA, 'Assessing Regional Integration in Africa V,' 21.

<sup>36</sup> African Union Commission, 'Minimum Integration Programme 2009-2012,' 2010, p. 6.

<sup>37</sup> UNECA, 'Assessing Regional Integration in Africa V,' 22.

<sup>38</sup> Ibid. 21.

<sup>39</sup> United Nations, 'Resolution Adopted by the General Assembly: Consolidation of the Special Fund and the Expanded Programme of Technical Assistance in a United Nations Development Programme,' A/RES/2029/XX, New York, November 1965.

<sup>40</sup> Annex in the Report of the 12th session of the UNDP Governing Council June 1970, and annexed to General Assembly Resolution A/RES/2688(XXV) on the capacity of the United Nations development system.

for each region, which were approved by the Governing Council and managed by the respective bureaux.<sup>41</sup> In 1997, UNDP replaced the intercountry programme with the regional cooperation framework (RCF). The first RCF for Africa covered the period 1997-2001, whilst the second RCF covered the period 2002-2006 and was later extended to 2007. The RCF was then replaced by the regional programmes. The current Regional Programme for Africa was approved by the Executive Board for the period 2008-2011, and later extended to 2013. UNDP and RBA currently support 46 programme countries in sub-Saharan Africa. Countries in northern Africa are covered by RBAs.

Other bureaux also play a role at the regional level. BDP is responsible, *inter alia*, for developing policy and content for advocacy and programme support on global development priorities and emerging issues; providing policy support, capacity development and knowledge services at the global, regional and country levels in support of national development programmes and policies; managing UNDP's practice architecture to effectively leverage UNDP's global presence, expertise, experience and partnerships in the provision of policy advisory, programming and knowledge management services to UNDP regional bureaux and country offices; and managing the global programme to provide advisory services, implement targeted global projects and promote knowledge sharing. BDP and RBA have a long-term agreement covering the period of UNDP's corporate strategic plan regarding the Regional Service Centres in Dakar and Johannesburg.

The Bureau for Crisis Prevention and Recovery (BCPR), like BDP, provides experts to regional service centres to provide advisory services and country-level support. Focus is on, *inter alia*, prevention of violent conflict and natural disasters, and recovery efforts during and following both conflict and natural disasters. BCPR maintains a list of top priority, priority and 'watch list' countries, which for Africa is regularly reviewed with RBA to prioritize countries, identify key issues and agree on BCPR support. During the programme period, BCPR implemented a 'transformation plan' approved in December 2010, revising its internal structures, resulting in fewer advisers being posted in the regional service centres than before.

## REGIONAL CENTRES IN SUB-SAHARAN AFRICA

As shown in its organisational chart, UNDP is conceptualized as a two-tiered organization, with bureaux in both headquarters and country offices.<sup>42</sup> However UNDP has also established regional based units. The first were subregional resource facilities (SURFs) which were set up in Addis Ababa (Ethiopia) and Harare (Zimbabwe) in 1998, followed by a series of different configurations and placements of SURFs over the next decade. Building on the experiences of the SURFs, regional service centres were established in Johannesburg (South Africa) in 2007 and Dakar (Senegal) in early 2008,<sup>43</sup> covering 23 countries in eastern and southern Africa, and west and central Africa respectively.<sup>44</sup> A UNDP-African Union Liaison Office has also been established in Addis Ababa, and plans to merge

<sup>41</sup> UNDP, 'Evaluation of UNDP's Second Regional Cooperation Framework for Africa (2002-2006)', New York, 2007, 12.

<sup>42</sup> See for example [http://www.undp.org/content/undp/en/home/operations/about\\_us/organisational\\_chart/](http://www.undp.org/content/undp/en/home/operations/about_us/organisational_chart/).

<sup>43</sup> UNDP, 'Evaluation of UNDP's Second Regional Cooperation Framework for Africa (2002-2006)', 16.

<sup>44</sup> The Centres provide support to countries in the other region when required for linguistic reasons. For example, the Dakar centre supports French-speaking countries in the Eastern and Southern Africa region, such as the Democratic Republic of Congo, Burundi and Madagascar.

and move the two regional service centres to one centre in Addis Ababa were announced in 2012.

The two regional service centres are directed by RBA, with guidance from Directors of other UNDP corporate bureaux who serve on an Advisory Board and are managed by regional service centre managers. The centres bring together at the regional level staff members funded by the regional bureau through its Regional Programme for Africa (described in greater detail below), by BDP through its global programme, as well as BCPR and other sources, all with the common goal of supporting programme countries to strengthen development results.

Teams are structured around UNDP's four focus areas (poverty reduction, democratic governance, crisis prevention and recovery, and environment and sustainable development), HIV and AIDS, and key cross-cutting issues (capacity development, knowledge and gender). Each practice area is managed by a Practice Team Leader, in most cases funded by the BDP global programme, and the team itself is composed of a mix of staff funded from different sources, including the regional programme.

**Table 1: Johannesburg Regional Service Centre Staffing**

Funding source	Number	Percentage
RBA	45	64%
BDP	13	18%
BCPR	1	1%
Other	12	17%
<b>Total</b>	<b>71</b>	<b>100%</b>

Source: Johannesburg Centre, August 2012

The Johannesburg Centre has 71 staff, two consultants and two Junior Professional Officers (JPOs), with funding sources indicated in Table 1.

The Dakar Regional Service Centre has 55 staff, four JPOs, two United Nations Volunteers (UNVs) and 10 consultants. Four posts are vacant. Table 2 below shows the number of filled posts by funding source.

**Table 2: Dakar Regional Service Centre Staffing**

Funding source	Number	Percentage
RBA	28	51%
BDP	12	22%
BCPR	1	2%
Other	14	25%
<b>Total</b>	<b>55</b>	<b>100%</b>

Source: Dakar Centre, October 2012

Each regional service centre has its own operations management and support team/unit providing procurement, human resource and financial administration support services. The Johannesburg Centre also supports the United Nations Development Group (UNDG) and services the regional offices of other United Nations agencies located in Johannesburg. The Dakar Centre receives operations support from the UNDP Senegal country office.

## 2.3 THE UNDP REGIONAL PROGRAMME

### OVERVIEW

The regional programme was developed in 2007 for the period 2008-2011, and later extended until 2013 to align with the UNDP Strategic Plan. Guiding principles for the programme include, maximising benefits of public regional goods through regional and subregional interventions, promoting African ownership and leadership, and reinforcing regional institutions. These principles are in accordance with General

Assembly resolution A/RES/61/229 which reaffirms support for the implementation of NEPAD, and A/RES/61/296 on cooperation between the United Nations and the African Union, as well as the ten-year capacity development agreement signed by the Secretary General of the United Nations and the Chairperson of the Commission of the African Union in 2006.<sup>45</sup>

The programme focuses on four broad areas: (a) poverty reduction and the achievement of the MDGs; (b) consolidating democratic governance and participatory governance; (c) conflict prevention, peacebuilding and recovery; and (d) energy, environment and sustainable development. The programme, at the time of design, was further divided into ten key results areas and 17 intended programme outcomes, described in greater detail below. When implementation of the programme began, only 13 of these 17 outcomes were entered into UNDP's administrative system, Atlas. By 2011, annual reporting was completed for 11 of the outcomes.

Atlas records some 70 projects as linked to regional programme outcomes, however these include a large number of projects carried over from the previous programme cycle. In practice, the regional programme has 18 core programmes/projects (see Annex 4), many of which contribute

to more than one outcome. While this reflects the complex realities of development, where interventions and results in one area contribute to results in other areas, the large number of outcomes with multiple constituent projects makes it difficult to grasp the strategic intent of the overall programme.

The management arrangements of the current regional programme represent a significant shift from previous models. The second RCF (2002-2007) was predominantly managed by the regional bureau's Strategic and Regional Initiatives Unit, and most of the projects were implemented by the United Nations Office for Project Services (UNOPS), a United Nations agency providing specialized project management and procurement services. Project offices were based in New York (United States of America [USA]), Washington (USA), Geneva (Switzerland) and 14 different African countries.<sup>46</sup> The current programme is managed primarily from the Dakar and Johannesburg Regional Service Centres, and UNDP implements most of the projects directly. The regional bureau manages a small number of projects and oversees the entire regional programme. It is also supported by the Country Support Team at headquarters, which works to foster synergies between the regional and country programmes.

**Table 3: Original Planned Resource Framework (US\$ Millions) 2008-2011**

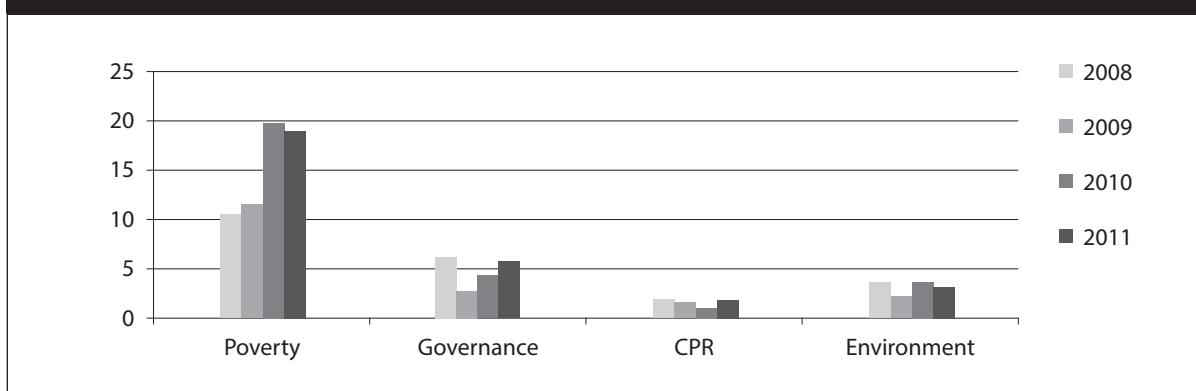
<b>Focus Area</b>	<b>Regular resources</b>	<b>Other resources</b>	<b>Total</b>	<b>%</b>
Poverty reduction & MDGs	32	21	53	40%
Consolidating democratic and participatory governance	20	18	38	28%
Conflict prevention, peacebuilding and economic recovery	12	9	21	16%
Energy, environment and sustainable development	16	5	21	16%
<b>Total</b>	<b>80</b>	<b>53</b>	<b>133</b>	<b>100%</b>

Source: UNDP RPD, Results and Resources Framework

<sup>45</sup> United Nations, 'Letter dated 11 December 2006 from the Secretary-General addressed to the President of the General Assembly,' A/61/630, New York, December 2006.

<sup>46</sup> UNDP, 'Evaluation of UNDP's Second Regional Cooperation Framework for Africa,' 9-10.

**Figure 1. Programme Expenditure by Focus Area (US\$ Millions)**



Source: Executive Snapshot

The original resource framework for the programme projected USD 20 million per year from regular (core) resources, or USD 80 million over four years, with another USD 53 million (approximately 40 percent of the projected total) to be mobilized from other (non-core) resources. The largest share of the resources, approximately 40 percent, was to be dedicated to poverty reduction, followed by approximately 30 percent for governance, and 16 percent each to the remaining two focus areas (see Table 3).

Actual expenditures for the period 2008-2011 total a little more than USD 98.6 million, with more than 60 percent spent in the poverty focus area. Approximately 20 percent of the expenditure went to governance, 13 percent to environment, and only six percent to crisis prevention and recovery.<sup>47</sup> In terms of resource mobilization, targets were not met. Examining budgets for the programmes considered to be directly linked to the regional programme (Annex 4), for the period

2008-2011, shows that only 21 percent of the resources budgeted were from other (non-core) sources, considerably less than the originally projected 40 percent. For the year 2012, however, the ratio improved, with 35 percent of the budgeted resources coming from other sources. The largest donors to the regional programme have been Spain, Canada, Norway, the Bill & Melinda Gates Foundation and the European Union.

## PROGRAMME COMPONENTS

This section provides a very brief overview of the regional programme component which are described in more detail in Chapter 3. As mentioned above, the results framework of the programme has four focus areas. These are subdivided into ‘key result areas’ each with one or two outcomes.

The first focus area, poverty reduction and achievement of the MDGs, is divided into four

<sup>47</sup> Data taken from the Executive Snapshot, for all projects in Atlas linked to the regional programme outcomes. Projects linked to the regional programme in UNDP’s project and financial management system, Atlas, include projects carried over from the previous programme that were closed in the early years of the new programme and that are not conceptually part of the new programme, projects that were initiated prior to the current programme and continue as part of the design of the new programme (for example, the rural energy project or the assistance to the APRM), and new projects designed to achieve the intended results of the current regional programme. Each project is linked to one of the above focus areas and to one programme outcome in Atlas. However, many projects are designed to contribute to more than one outcome and sometimes to more than one focus area, such as the Regional Project for Gender Equality and Women’s Empowerment in Africa. Most projects have a component designed to strengthen regional institutions, thus contributing to ‘more effective regional institutions,’ i.e. the intended outcome. Where classification of projects has been required, the current evaluation uses the link made in Atlas.

Focus Area: Poverty Reduction and Achievement of the MDGs	
Key Result Area	Programme Results/ Outcomes
Promoting inclusive growth, gender equality and the achievement of the MDGs	1. Regional, subregional and national strategies for higher levels of pro-poor growth and reduction of gender inequalities formulated/ implemented <sup>48</sup> 2. Accelerated pace of progress towards attainment of the MDGs in Africa and adequate resources mobilised in support of them
Inclusive globalisation and regional integration	3. Strengthened capacity of African countries for increased participation in global trade and linking trade policies to poverty reduction 4. Outcome of trade negotiations reflect common African position
Mitigating the impact of HIV/AIDS on human development	5. Capacity built in critical social sectors linked to pandemics, especially HIV/AIDS, tuberculosis and malaria
Private sector development and CSO engagement	6. Conducive policy and regulatory environment for private sector growth including private sector participation 7. Diversified private sector including SME

'key result areas'. The first and largest key area, both in terms of resource allocation and number of constituent projects, is 'promoting inclusive growth, gender equality and the achievement of the MDGs.' Interventions in this area were to build on ongoing support for MDG-based planning strategies and pro-poor economic policies, by focusing on a) formulating and implementing regional and national strategies for higher levels of pro-poor growth; b) accelerating the pace of progress towards the attainment of the MDGs in Africa, including supporting MDGs needs assessments, costing and investment planning and strengthening national capacities to deliver services; and (c) mobilizing additional resources in support of the MDGs. These efforts were to be reinforced by: a) initiatives to strengthen capacities for analysing and formulating pro-poor economic policies; b) public expenditure review exercises to tilt expenditures towards poverty reducing infrastructure investments and transfers; c) facilitation of inclusive financial policies, institutional development and maximal utilization of the potentials of microfinance; and d) promotion of productive, decent, and gender-sensitive employment strategies. Reducing gender inequalities and promoting

women's economic empowerment was to be reinforced through interventions promoting participation of women in decision-making and women's entrepreneurship.

Under the second key result area, the regional programme intended to support inclusive trade and regional integration by strengthening the capacities of African countries to effectively participate in global trade, regional and bilateral trade negotiations, and linking trade policies to poverty reduction.

Interventions under the third key result area focus on strengthening capacities of regional institutions for more effective governance of HIV and AIDS responses. They also seek to address legal and cultural barriers that affect access to HIV-related services for women and key populations.

Private sector development and service delivery were also to be supported through initiatives aimed at developing conducive and inclusive policies, an enabling regulatory environment for private sector growth, and capacities for private sector and civil society participation in development.

<sup>48</sup> This outcome corresponds to outcome 13 in Atlas. Outcome numbering in the present report refers to the order in which the outcomes appear in the RPD.

<b>Focus Area: Consolidating Democratic and Participatory Governance</b>	
<b>Key Result Area</b>	<b>Programme Results/ Outcomes</b>
Responsive and effective democratic states	8. Enhanced political participation and management of elections 9. Strengthened economic governance and enhanced service delivery
Accelerated pace of regional and subregional integration on the continent	10. More effective regional institutions
Effective governance knowledge management	11. Better understanding, codifying and sharing of best African practices in Governance

<b>Focus Area: Conflict Prevention, Peacebuilding and Recovery</b>	
<b>Key Result Area</b>	<b>Programme Results/ Outcomes</b>
Effective subregional and regional mechanisms for crisis prevention	12. More effective regional institutions for crisis prevention 13. Effective regional mechanisms for disaster preparedness and response
Effective regional mechanism for crisis recovery	14. Greater responsiveness to and sustainable recovery from crisis 15. Human security enhanced

To achieve the intended results in the governance focus area, UNDP designed an umbrella regional governance programme called ‘Consolidating Democratic and Participatory Governance in Africa.’ The intention of the governance programme was to ‘strengthen the capacity of the African Union, subregional bodies and the people of Africa, to respond to new and emerging governance challenges that confront the continent including post-conflict and transition economies.’

UNDP’s interventions in the area of conflict prevention, peacebuilding and recovery were to build on earlier support to Africa’s efforts in these areas. UNDP sought to work closely with the African Union and RECs, and in synergy

with other United Nations agencies and advisory subsidiary bodies such as the Peacebuilding Commission a) to support regional mechanisms for crisis prevention and b) promote effective regional recovery and peace consolidation. These interventions were to be designed to build more effective regional and subregional institutions for crisis prevention and fostering greater responsiveness to, and sustainable recovery from crisis, paying special attention to alleviating the more debilitating impact of crisis on women and children. In addition, security was to be enhanced through effective regional control of illicit small arms and light weapons, and the development of effective subregional mechanisms for disaster preparedness and response.

<b>Focus Area: Energy, Environment and Sustainable Development</b>	
<b>Key Result Area</b>	<b>Programme Results/ Outcomes</b>
Mainstreaming environment, energy and climate change	15. Enhanced capacities of regional and subregional institutions to deliver both environmental and energy services 16. Participation of African governments in environmental finance

In the area of energy, environment and sustainable development, two programmes were designed to realize results. One was to accelerate implementation of existing subregional energy policies and support formulation of policies for other sub-regions; deliver energy services and promote innovative and gender-sensitive local energy solutions; create a favourable investment climate in the energy sector; and develop capacity for regional energy trade arrangements. The other was to build capacities of African governments and institutions to participate in international climate negotiations, create awareness among regional and national partners of the development benefits of, and the interface between, sustainable development and payments for ecosystems services and the Clean Development Mechanism (CDM), as well as support establishment of institutional, legal and regulatory frameworks required to access environmental and carbon finance mechanisms.

### **CROSS-CUTTING ISSUES AND STRATEGIES**

The RPD outlines a number of guiding principles, including gender equality, capacity development and knowledge management, which are also considered ‘practices’ within UNDP, and are referred to herein as cross-cutting issues. While not explicitly described in the document, providing technical advisory services is a key component of interventions across all focus areas, and is considered here as a cross-cutting strategy to strengthen development results. South-South cooperation is linked in the Strategic Plan to capacity development and is examined as another cross-cutting strategy.

### **Gender Equality and Women’s Empowerment**

In the regional programme, gender equality, in addition to being addressed as an underpinning principle for all interventions, is targeted as a specific goal, focusing on the enhancement of women’s economic and political empowerment. The evaluation examines interventions specifically designed to achieve these goals (notably a regional project under the poverty focus area) and the extent to which gender has been mainstreamed across interventions in all focus areas.

### **Capacity Development**

According to the RPD, the overarching purpose of the programme is to develop local capacities across the four focus areas outlined above. The document states that ‘given the serious capacity constraints facing the continent, the regional programme will not only design all of its policy and programmatic interventions from a capacity development perspective, but will also promote targeted institutional and human capital reinforcement programmes in critical areas of the economy.’ All programmes are designed to develop capacity of relevant institutions and actors, and the evaluation assesses capacity development as it assesses the effectiveness of interventions in each of the four focus areas. Capacity development as a cross-cutting issue is examined in Section 4.5.

### **South-South Cooperation**

According to its Strategic Plan, UNDP efforts to support programme countries develop national and local capacities for human development and achieve the MDGs will be characterized by stepped-up efforts to seek South-South solutions. For example, within country and regional

programmes, UNDP is to encourage the use of available institutional, technical and human resources in the South to meet internationally agreed development goals, including the MDGs. The regional programme is designed to mobilize resources from the region to assist countries in meeting their development goals. The evaluation briefly examines the role of South-South cooperation in the implementation and effectiveness of the regional programme.

### **Knowledge Management and Knowledge Products**

The RPD states that the design of interventions will be guided, among others, by ‘knowledge management and sharing through policy research, advocacy and partnership with African centres of excellence.’ The regional service centres and regional programme facilitated knowledge dissemination and exchanges through a number of knowledge products including publications, regional networks, technical forums and communities of practice. The evaluation focused its assessments on publications.

The regional programme produced a number of publications and related knowledge products which form regional public goods. Based on lists

provided by the regional service centres, the evaluation identified 140 publications issued under the current regional programme. Based on the nature and intended use of these publications, they have been classified as: research and policy; advocacy and outreach; tools and guidelines; and case studies, good practices and lessons learned and event reports.

The ‘Africa Human Development Report 2012: Towards a Food Secure Future’ was the first of its kind for the region and looked at the importance of agricultural productivity, nutrition, resilience and empowerment for long-term food security and human development. The regional programme collaborated with the African Development Bank (AfDB), the United Nations Economic Commission for Africa (UNECA) and the African Union to produce the 2010 to 2012 African MDG reports, assessing progress in Africa toward the MDGs. The regional programme also contributed to the ‘African Economic Outlooks’ published in 2011 and 2012, a collaborative effort of the AfDB, the OECD Development Centre and UNECA. Furthermore, it collaborated with UNECA to produce the ‘Africa Governance Report 2012.’ The regional programme also produced specialized publications

**Table 4: Number of Regional Programme Publications by Practice Area and Type**

Publication type	Practice area								Total
	Poverty/ MDGs	Gender	HIV	Democratic Governance	Crisis Prevention & Recovery	Energy and Environment	Capacity Develop- ment		
Research and policy	17	4	9	6	1	4			41
Advocacy and outreach	2	2		1		10			15
Case studies, good practices and lessons learned	27	1	7	2	3	8	4		52
Tools and guidelines	17	1	6			1	2		27
Event reports	3	2							5
<b>Total</b>	<b>66</b>	<b>10</b>	<b>22</b>	<b>9</b>	<b>4</b>	<b>23</b>	<b>6</b>	<b>140</b>	

including ‘The Pôle’s Notes’ which was produced by the Pôle de Dakar team on different aspects and experiences in public financial management. Knowledge products are discussed in greater detail in Chapter 4.

### **Technical Advisory Services**

Provision of technical assistance, advisory services and backstopping is integral to the design and rationale of the regional service centres. These technical support services are provided by global programme funded policy advisers, as well as advisers funded by RBA and the regional programme. The main demand for these services comes from UNDP country offices and services

are also provided to regional institutions. These clients do not distinguish whether services are provided as part of the global or regional programmes, and the present evaluation assesses the ensemble of these services.

An online ‘service tracker’ exists, but has not been used consistently across all practice areas in the regional service centres. Although each centre maintains records of missions and advisory services, record-keeping methods are not clear and records are not complete.<sup>49</sup> For the purpose of analysis, records made available for the same time periods for both centres were compiled (January - October 2011 and January - June 2012).

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<sup>49</sup> For example, the records provided do not consistently indicate the start and end date of the assignment, so that numbers of days cannot be calculated. The Johannesburg records indicate the source of funding used for the services, but the Dakar records do not. Back-to-office reports are not consistently archived. Distinction between support to a regional institution and the country office in which the institution’s secretariat is hosted appears inconsistent, with some services to regional institutions counted under the heading of service to country offices.



## CHAPTER 3.

# CONTRIBUTION OF THE UNDP REGIONAL PROGRAMME TO DEVELOPMENT RESULTS

The following chapter presents the analysis and main findings related to UNDP's contribution to the intended outcomes of the regional programme. The analysis is conducted according to four criteria: (a) relevance; (b) effectiveness; (c) efficiency; and (d) sustainability. For each focus area, relevance, effectiveness and sustainability are analysed. The efficiency of the overall programme is assessed in the last section.

### 3.1 POVERTY REDUCTION AND ACHIEVEMENT OF THE MDGS

Poverty reduction and achievement of the MDGs constitute the largest component of the regional programme, comprising four results areas and seven outcomes. An analysis of relevance and effectiveness is presented by key result area. The sustainability of the poverty portfolio was also analysed and the findings are presented below.

#### PROMOTING INCLUSIVE GROWTH, GENDER EQUALITY AND THE ACHIEVEMENT OF THE MDGS

**Outcome 1:** Regional, subregional and national strategies for higher levels of pro-poor growth and reduction of gender inequalities formulated/ implemented

**Outcome 2:** Accelerated pace of progress towards attainment of the MDGs in Africa and adequate resources mobilised in support of them

This key result area comprises seven different initiatives, linked to the first outcome in Atlas. Many were also intended to contribute to other outcomes. Initiatives included support to MDG-based national development and poverty reduction strategies (through economic advisers in country offices, and MDG Advisers in regional service centres),<sup>50</sup> and support to strengthen capacities for public financial management (Pôle de Dakar). A second set of initiatives concerning youth employment<sup>51</sup> and agri-enterprise development<sup>52</sup> were designed to support progress towards the MDGs, in particular, the targets of the first goal related to productive employment and reducing hunger.

A third set of cross-cutting initiatives focused on promoting gender equality and capacity development. The gender equality initiative aimed 'to enhance regional capacities for formulating and implementing gender-responsive MDG-based policies and strategies, promote gender equality and women's empowerment in all focus areas, and support women's economic, political and social empowerment.' The project document

<sup>50</sup> The MDGs initiative was also intended to contribute to outcome 9 on economic governance.

<sup>51</sup> The youth employment initiative was also intended to contribute to outcome 6, related to private sector development.

<sup>52</sup> The agri-enterprise project document does not refer to any regional programme outcomes.

specifically lists regional programme outcomes relating to pro-poor growth (outcome 1), private sector (outcome 6), and political participation and elections (outcome 8) as expected outcomes. Key contributions of the initiative are discussed in this section. Gender equality as a cross-cutting theme will be further discussed in Section 4.5.

The capacity development initiative was designed as an important element for realizing the overall RBA strategy for ‘Capacity Development for Pro-Poor Growth and Accountability’ (CD-PGA). As outlined in the project document, the initiative was ‘to contribute to the achievement of all the regional programme outcomes outlined in the regional programme framework (RPF)’ with particular emphasis on outcome 1. The specific contributions of this capacity development initiative, hereinafter referred to as the CD-PGA project, are discussed below. Capacity development as a cross-cutting theme will be further analysed in Section 4.5. The ‘Africa Human Development Report 2012’ will be discussed in Section 4.1 on knowledge leadership.

### **Relevance**

**Regional programme support to the development of regional, subregional and national strategies for pro-poor growth, the reduction of gender inequalities and attainment of the MDGs, was very relevant to the human development challenges of the countries in the region.**

The United Nations Millennium Declaration, adopted by world leaders at the Millennium Summit in 2000, embodied the international community’s commitment to develop stronger partnerships in response to the major global development challenges of the 21st century.

In the years following the Summit, African countries exhibited increasing commitment to the MDG agenda. For example, the African Union expressed strong commitment to the goals through a common African position on the MDGs in 2005. Leaders at the World Summit in 2005 reconfirmed pledges to meet the ‘special needs of Africa,’ the only continent not on track to meet any of the MDGs. The United Nations Summit on the MDGs in 2010 recognized that progress had been made in some African countries, but that the situation in others remained a grave concern. UNDP’s ongoing support to regional, subregional and national strategies for pro-poor growth and the attainment of the MDGs, including PRSPs, and its related support to strengthen analytical capacities for public finance essential for planning, implementing and monitoring these strategies, has been highly relevant.

One of the challenges linked to meeting the MDGs has been generating decent employment for all, particularly for young people. According to the International Labour Organisation (ILO), between 2000 and 2008 Africa created 73 million jobs, but only 16 million were for those between 15- and 24-years-old.<sup>53</sup> Youth unemployment not only impacts on poverty, it also weakens social cohesion, and in fragile political contexts, may exacerbate violent expressions of grievances.<sup>54</sup> African Heads of State and Government agreed at the 17th African Union Summit in July 2011 that ‘all Member States should advance the youth agenda and adopt policies and mechanisms towards the creation of safe, decent and competitive employment opportunities.’<sup>55</sup> In addition, the African Union recognizes that ‘it is imperative to have an effective and harmonized labour market information system’ to formulate and implement employment promotion policies and

<sup>53</sup> AfDB, OECD, UNDP and UNECA, ‘African Economic Outlook 2012,’ 2012, 99.

<sup>54</sup> Ibid. 101.

<sup>55</sup> African Union, ‘Decisions Adopted during the 17<sup>th</sup> African Union Summit,’ Malabo, July 2011.

programmes.<sup>56</sup> The regional programme focused on youth employment included support to development of labour market information systems. It was implemented in partnership with ILO and other agencies, and aligned with regional priorities. Support to agri-enterprise development, designed to address unemployment and food security, was relevant in terms of addressing the MDGs, particularly Goal 1.

The MDGs cannot be achieved without addressing gender-based disparities since most (poverty reduction, education, HIV and AIDS, and maternal health) affect women directly. The progress and development of the African continent is inextricably bound to the elimination of gender disparities and the empowerment of African women, socially, economically and politically. There has been progress in a number of African countries to reduce or eliminate gender-based disparities over the past decade. Regional institutions such as the African Union have introduced normative frameworks (the ‘Solemn Declaration on Gender Equality;’ the ‘African Charter on Gender Equality;’ the protocol on the rights of women; and the ‘African Union Gender Policy’) and at a national level, a number of African countries are signatories to the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW).

However, millions of African women do not have equal access to economic resources, education, health, or justice and the law. Gender-based violence, whether in times of peace, conflict or post-conflict, is a reality in many African countries. The voices of women are seldom heard in political institutions, their economic contributions are understated or unaccounted for in national statistics, and economic policies seldom address the issue of gender equality directly.

Regional programme initiatives to address the issues of gender equality and women’s empowerment responded to a major development challenge of gender-based disparities in Africa, which if not addressed, will continue to delay growth and development of the continent.

The regional CD-PGA project responded to the need to develop capacity of African institutions to formulate and implement strategies to sustain growth at sufficient levels for poverty reduction. Despite the progress made to develop the capacities at regional, subregional and national levels, many institutions do not have the requisite capacity (human, financial systems, infrastructure) to carry out their mandates efficiently and effectively. Divergent interests of donors and poor coordination of support by recipient governments and regional institutions have contributed to piecemeal capacity development. The approach by the regional initiative to support African institutions followed UNDP capacity development principles, fostering African ownership and leadership of the capacity development agenda. The initiative’s systemic approach went beyond addressing skills deficits, to addressing issues of systems, incentives and structures for sustainable capacity development.

## **Effectiveness**

**The regional programme contributed to the mainstreaming of MDGs in national development strategies and frameworks and helped governments to build capacities for developing and implementing pro-poor, MDG-based development strategies. The presence of economic advisers in the countries, complemented by support from technical advisers in the regional centres, was an important factor that enabled the initiatives to be anchored in the countries.**

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<sup>56</sup> African Union, ‘Harmonization and Coordination Framework for the Labour Market Information System in Africa,’ LSC/EXP/6(VII), January 2011, 2.

The regional programme, by placing economic advisers in country offices and MDG advisers in the regional centres, effectively supported the development of MDG-based national development strategies and poverty reduction strategies, and in the process, strengthened national capacities to do the same, for example in Benin, Burkina Faso, Burundi, Central African Republic, Congo, Côte d'Ivoire, Democratic Republic of Congo, the Gambia, Guinea-Bissau, Malawi, Niger, Senegal, Tanzania and Togo.

The regional programme contributed to the development of MDG Acceleration Frameworks (MAF) in African countries,<sup>57</sup> in collaboration with the regional poverty practice teams, economic advisers, the Pôle de Dakar team (discussed below) and the country offices. Although it is too early to assess the effectiveness of the MAFs, there are positive and also some negative indications. Encouragingly, the programme was appropriately engaged in the MAF, beginning work only on the demand of national governments. Stakeholders interviewed in programme countries appreciated UNDP's support to the MAF and assistance in prioritizing goals and strategies to accelerate progress towards the goals. In some countries, UNDP mobilized additional funds to support governments in their quest to fund the MAF (for example, in Niger). However, there are some indications that the MAF may be not as effective as hoped. In some cases stakeholders expressed fatigue with the succession of MDG tools proposed, beginning with MDG costings, followed by support to incorporate MDGs in poverty reduction strategy

papers (PRSPs), and most recently, the MAF. This suggested that countries may have undertaken the MAF more in hopes of mobilizing additional funds for development than as a fully-owned national initiative. Countries also faced challenges to mobilize resources in support of different plans, and stakeholders expressed concern over implementation of the MAFs.

The regional programme also supported capacity development at the national and regional level to promote parliamentary oversight of the MDGs. A notable result was the South African Parliament's 'Report on the Role of the South African Parliament and the Provincial Legislatures in the Achievement of the MDGs.' The report was designed to serve 'as a point of reference for Parliament and Provincial Legislatures as they interact with other stakeholders at the provincial, national and international level in pursuit of the MDGs.'<sup>58</sup> The regional programme also engaged with the RECs, for example, with the SADC Parliamentary Forum, which devoted its 30th plenary assembly in November 2011 to 'Parliamentarians and the MDGs.'

Regular monitoring of progress towards the MDGs is an essential part of the accountability framework created by the Millennium Declaration, and the regional programme strengthened MDG reporting at the national and regional level in Africa. It also provided substantive support to the preparation of national MDG progress reports, including, for example, in Benin, Burkina Faso, Central African Republic, Congo, Democratic Republic of Congo, Ethiopia, Gabon, Ghana

<sup>57</sup> In 2010, the United Nations undertook an extensive review of progress toward the MDGs, and found that many countries risked missing the 2015 deadline unless immediate action was taken. In response, UNDP developed and piloted the MAF, with technical inputs and collaboration of other United Nations agencies, to help accelerate progress at the country level on those MDGs seen as unlikely to be reached by 2015. In Africa, as of December 2012, the MAF has been, or is being rolled out, in 25 countries with support from the regional programme. Seven countries have completed the MAF (Burkina Faso, Central African Republic, Ghana, Niger, Tanzania, Togo and Uganda); ten countries are nearing completion (Benin, Botswana, Chad, Côte d'Ivoire, Ethiopia, the Gambia, Kenya, Mali, Mauritania and Zimbabwe), and eight countries are in the in early stages (Burundi, Lesotho, Malawi, Nigeria, South Africa, Swaziland, Senegal and Zambia).

<sup>58</sup> Parliament of the Republic of South Africa and UNDP, 'Report on the Role of the South African Parliament and the Provincial Legislatures in the Achievement of the Millennium Development Goals,' Cape Town, 2011.

(where the regional programme economic adviser also contributed to further analysis on the MDGs and equity), Liberia and Seychelles. Data and information from these national MDG reports fed into the preparation and publication of the reports ‘Assessing Progress in Africa toward the Millennium Development Goals – MDG Reports,’ published jointly by AfDB, UNECA, the African Union and UNDP. These regional MDGs reports are discussed further in Section 4.1. Economic advisers also contributed to the ‘National Human Development Reports,’ for example in Benin, Burundi, Kenya, Mali, Mozambique, Swaziland, Senegal and Zambia.

The regional programme also contributed to other MDG-related knowledge products, including the joint publication with the International Monetary Fund (IMF) on ‘Enhancing Development Assistance to Africa: Lessons from Scaling-up Scenarios,’ which includes case studies contributed by economic advisers, and UNDP publications such as ‘The path to achieving the MDGs: A synthesis of evidence from around the world,’ ‘What will it take to achieve the MDGs? An international assessment’ and ‘Unlocking progress: MDG acceleration on the road to 2015.’ The regional programme also produced analytical work, including papers led or co-authored by the economic advisers, on issues of direct relevance to the MDGs, such as the poverty impacts of universal primary education in Uganda, revenues from copper mining in Zambia, the national health policy in Niger and the impacts of micro-finance on the empowerment of women in Benin.

**The Pôle de Dakar made positive contributions to strengthening capacities for public finance, complementing MDG mainstreaming efforts by supporting MDG planning and financing.**

The Pôle de Dakar, a collaborative effort with the Government of France, contributed to strengthening public finance for the implementation of PRSPs, MAFs and other national

development strategies. It focused on strengthening capacities in selected countries in the West and Central African subregions to mobilise and use their resources efficiently and equitably for achieving the MDGs, by supporting strategic planning, modernization of budgeting systems and strengthened programming. The number of countries supported through this regional project increased from two in 2007 to 13 in 2011. The Pôle de Dakar team collaborated with the MDG advisers to provide comprehensive support on MDG planning and financing issues. In addition, through the Pôle de Dakar, UNDP worked in partnership with regional institutions. For example, the team assisted the WAEMU to develop laws to harmonize regional frameworks and national legislation. The Pôle de Dakar also contributed to strengthening the role of legislatures and civil society in oversight of public policies and budgets.

**Regional programme support to promote youth employment had mixed results. Regional frameworks were developed, laying the foundations for future work, and some countries integrated youth employment into policy documents. Country-level interventions created employment opportunities but results were fragile. Learning from successes and failures of this initiative in different countries would still be needed to ensure the effectiveness of interventions. Regional support to agri-enterprise development showed limited results, due partly to the design failure of the project which overlooked multi-dimensional constraints faced by trainees in replicating successful agri-businesses.**

The youth employment programme, a collaborative effort with the Government of Spain, worked at the regional, subregional and national levels in 12 programme countries to develop or strengthen youth employment policies and action plans, strengthen labour market information systems and pilot country-level youth employment initiatives.

At the continental level, the regional programme contributed to the development of a regional framework for labour market information systems. It partnered with the Economic and Statistical Observatory for sub-Saharan Africa (AFRISTAT), ILO and the African Union Commission to develop core elements of a labour market information systems framework including a minimum list of indicators on employment, labour and vocational training, a harmonized survey questionnaire and an action plan. These outputs responded to the aims of the 'Plan of Action for Promotion of Employment and Poverty Alleviation'<sup>59</sup> and the 'Strategy for the Harmonization of Statistics in Africa'<sup>60</sup> and remain on the agenda of the African Union.<sup>61</sup> National bureaux for statistics in five countries were trained on labour market information systems. However, the actual information systems were yet to be designed. In Malawi, a test survey was conducted using the questionnaire, and according to the regional project manager, Lesotho was planning to pilot the survey in 2013 with government resources.

At the regional level, the regional programme worked with the United Nations Educational, Scientific and Cultural Organization (UNESCO) and other members of an inter-agency task team to support ECOWAS Member States to develop a regional qualifications framework for technical and vocational education and training, including a strategy document, resource mobilization framework and a Youth Employment Action Plan. The Plan was adopted by the ECOWAS Ministers of Labour, Employment and Social

Affairs in December 2012 but it is too early to assess its effectiveness.

Five out of eight countries receiving support from the programme incorporated action plans for youth employment into their PRSP macroeconomic frameworks (Cote d'Ivoire, the Gambia, Lesotho, Senegal and Sierra Leone). However, only Kenya had taken steps to link policy to increases in youth employment by updating its rural legal framework and supporting demonstration greenhouses which serve as training centres and models for young farmers interested in applying new agriculture sector technologies.

The regional programme created employment opportunities for young men and women, although the absence of targets in the programme and project documents made it difficult to assess actual results against those intended. Seven country offices were appreciative of the support to country-level youth employment projects and indicated that it was a particularly useful component of the programme.<sup>62</sup> A decentralized evaluation of the project found that more than 5800 young people in eight countries received training and more than 11,000 employment opportunities were created,<sup>63</sup> although the present evaluation could not confirm this finding. In Liberia, stakeholders explained that the support was particularly appreciated as being in line with the national priority of youth employment as key element of recovery from conflict. However, the project evaluation also notes that generally the results at the country level were still fragile and needed to be consolidated. A field

<sup>59</sup> African Union Assembly, Third Extraordinary Session on Employment and Poverty Alleviation, 'Plan of Action for Promotion of Employment and Poverty Alleviation,' EXT/ASSEMBLY/AU/4(III) Rev.4, Ouagadougou, 2004, 9.

<sup>60</sup> African Union Commission, AfDB and UNECA, 'Strategy for the Harmonization of Statistics in Africa,' no date.

<sup>61</sup> See for example, African Union, 'Decision on the Implementation of the African Charter on Statistics and the Strategy for the Harmonization of Statistics in Africa (SHASA),' Document Assembly/AU/Dec.424(XIX), July 2012, which urges the African Union Commission to continue 'to coordinate all activities on labour market information systems at the continental level and to reinforce its capacity...'

<sup>62</sup> The Country Office Survey.

<sup>63</sup> Jones, Brandy and Francis K. Negue, 'Regional Programme for Social Cohesion and Youth Employment for Sub-Saharan Africa: Final Evaluation Report,' July 2012, 37.

visit by the present evaluation in Senegal also showed fragile results at the site visited.

Another regional initiative, based on the model of the Songhai agricultural centre (Benin), was designed to promote agri-enterprise development to stimulate rural African economies. However the initiative did not achieve results and is now closed. Through this initiative, the regional programme organized study visits to Israel and the Songhai centre for participants from Benin, Guinea, Liberia, Malawi, Sierra Leone, Togo, Burkina Faso and Congo, and training at the Songhai centre for about 220 more people. There is little evidence to show that the learning imparted during these activities is being used. In the two countries visited by the present evaluation, the trainees had not been able to set up farms as envisioned by the project.

**The regional programme raised interest in and awareness of the need to mainstream gender into national economic frameworks and other policies. It was too early to discern impacts of the initiatives but indications were positive.**

The regional gender project, through the Gender Economic Management and Planning Initiative (GEMPI), contributed to raising the interest and awareness of the need to mainstream gender into national economic frameworks. The GEMPI reached at least 147 African planning and policy experts from 37 countries. Since the initial round of training in 2010, six countries (Benin, Cameroon, Namibia, Rwanda, Zambia and Zimbabwe) have initiated and received training at country-level and, according to UNDP, requests had been received from Liberia, Mauritania, Senegal and Togo.

GEMPI principles have been furthered through UNDP's partnership with the United Nations

Institute for Development and Economic Planning (IDEP) to provide short courses in gender and economics. The Makerere University in Uganda is also offering a Master's programme in Gender Aware Economics. By April 2012, a total of 27 participants in the GEMPI had completed the Master's programme. While it was too early to discern the impact of GEMPI, the indications were positive. The mid-term review of UNDP's gender equality strategy found that GEMPI was well-established in the African region and was being replicated in Asia. The review further found that GEMPI outputs had sufficient potential for the programme to be considered for expansion.<sup>64</sup> It should be noted that GEMPI is part of the global programme on gender equality and draws on the advisory expertise it provides.

**The regional programme raised the profile of gender-responsive budgeting, although institutionalization of gender-responsive budgeting by countries had a long way to go.**

The goal of gender-responsive budgeting is to afford equitable access by women and men to services and opportunities and enable them to exercise their rights equitably. UNDP, in partnership with the United Nations Entity for Gender Equality and the Empowerment of Women (UN Women) and United Nations Capital Development Fund (UNCDF), contributed to 11 country assessments<sup>65</sup> and one regional technical meeting on gender-responsive budgeting in the period under review. These country assessments and technical meetings have contributed to raising the profile of gender-responsive budgeting in participating countries. Several African countries, including South Africa, Tanzania, Uganda, Rwanda and Mauritius, have had gender-responsive budgeting initiatives for many years, and the country assessments have

<sup>64</sup> UNDP, 'United Nations Development Programme 2008-2013 Gender Equality Strategy: Mid-Term Review Report,' 2011.

<sup>65</sup> Countries covered are Cameroon, Gabon, the Gambia, Ghana, Mauritius, Mozambique, Rwanda, Senegal, Sierra Leone, Tanzania and Zambia.

drawn in additional countries from West and Central Africa.

The regional gender project also supported the development of a step-by-guide to implementing gender-responsive budgeting at local government level. Work was still in progress so results were not available. While there was clearly a great deal of UNDP activity in this area, there is still a long way to go before it is institutionalised in most countries. Institutionalisation is ultimately the responsibility of national governments, but the regional gender project should also target oversight bodies, including legislature, national human rights institutions, and national gender commissions, as well as CSOs.

The work of the regional gender project in gender statistics was at a very early stage and there were no results at the time of the evaluation. UNDP and UNECA have been collaborating to build national and regional capacities to collect, analyse and disseminate gender statistics and sex disaggregated data in five countries and five RECs. The different sets of capacity development initiatives were related, but the regional project does not appear to have exploited the potential synergies sufficiently. For example, gender statistics are essential for gender-responsive budgeting and gender-responsive economics. GEMPI could be exploited to institutionalise gender-responsive budgeting.

**The regional programme's contribution to promoting women's economic empowerment was moderate. The pilot had not been replicated as yet.**

UNDP supported a pilot initiative in Burundi to introduce gender-responsive public-private partnerships for local service delivery. Over 1000 women received business training and participated in micro-projects in the agricultural sector,

as a first step towards participating in local service delivery projects. Although the pilot had identified lessons, it had not progressed sufficiently for replication in other localities or countries. The regional project supported documentation of best practices in women's empowerment in Liberia, in partnership with the Sirleaf Market Women's Fund. Work was in progress and there were no results to report at the time of the evaluation. The regional gender practice team also collaborated with the regional trade and inclusive market teams to further women's economic empowerment; this is discussed in the section on cross-cutting issues and strategies.

**The regional programme facilitated high-level learning exchanges on the issue of women's leadership in the political sphere and there was evidence that this was leading to results.**

The regional programme supported the Women, Gender and Development Directorate of the African Union Commission in advocating for the ratification of gender protocols and instruments, in particular, the 'Solemn Declaration on Gender Equality in Africa.' The number of countries that have ratified the protocol rose from 27 in February 2010 to 35 by December 2012. The programme also supported the African Union Commission to launch the African Women's Decade in 2010 and implement the Fund for African Women. The goal of the African Women's Decade is to execute the commitments made by countries on gender equality and empowerment of women. The Fund was established to support implementation of activities at country-level. According to UNDP, 96 project proposals had been submitted to the Fund Steering Committee by August 2012, but information on the outcome of proposals was not available.<sup>66</sup>

**Some progress was made towards developing capacities of the African Union Commission to**

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<sup>66</sup> Information to verify this is not available from the African Union Commission.

**manage partnerships but it would take further efforts to solidify the gains.**

The CD-PGA project contributed to improving the management of multiple partnerships in the African Union Commission, but the results were fragile at the time of the evaluation. With support from UNDP, the African Union Commission established a mechanism to coordinate and manage partnerships. This mechanism comprised a newly established Partnerships Management and Coordination Division and a provision to establish the Partnership Coordination Committee. Other significant deliverables included the development of the African Union partnership orientation paper to serve as a guiding reference to African Union Commission officials; the African Union Partnership Framework Strategy that is supported by a monitoring and evaluation (M&E) framework; a partnership results and accountability framework that sets out partners' pledges, commitments, disbursements and delivery of programmes; and the African Union partnerships management information system that will provide the African Union Commission with easily accessible information on its partnerships and so assist with decision-making. It is envisaged that the RECs will have access to the management information system.

The Partnerships Management and Coordination Division, as a newly established division in the African Union Commission, had not yet acquired the necessary human resources capacity to carry out its functions effectively and the Partnerships Coordination Committee had not been established at the time of the evaluation. Other departments in the African Union Commission and RECs will need to be convinced of the value-added of this new Division.

**The regional CD-PGA project has achieved limited results with the selected RECs, in part due to a delayed start to implementation**

**and challenges inside the RECs. A foundation has been laid for achieving results in the medium-term.**

As there was a considerable delay between formal approval of the CD-PGA project and the start of implementation, UNDP undertook a scoping mission to the RECs to identify the entry points for capacity development in these organizations. The scoping mission formed the basis of action plans to build and strengthen the systems, procedures and competences of the RECs to function more effectively. UNDP identified specific areas within these action plans where it was best placed to provide technical support.

The programme provided support to ECOWAS to review and revise its approach to capacity development and better align its many capacity development interventions with a view to ultimately achieving transformational change. CEMAC received support to integrate knowledge management into the institutional change agenda; the Mano River Union received assistance in formulating a new ten-year strategic plan and for implementation of its communication strategy; and COMESA received technical assistance to develop results and M&E frameworks, systems, procedures and competences. The regional CD-PGA project had not been successful in engaging IGAD. As previously indicated, working with the RECs requires intensive engagement over a period longer than the two years that the project has been operational. The internal dynamics of these intergovernmental bodies have affected implementation, as have unforeseen incidents such as the death of the Executive Secretary of the Mano River Union in July 2011.

**Support to the NPCA resulted in the establishment of the African Union/NEPAD Africa Platform for Development Effectiveness (APDev) which shows great potential.**

The CD-PGA project invested heavily in its work with the NPCA. As a result, APDev was established and has the potential to transform capacity development in Africa. The African Heads of State and Government mandated the development of the platform in July 2010, and UNDP provided the technical support and funding for its design and operationalization. In assisting NEPAD with the development and support of the platform, UNDP worked with other partners including UNECA and AfDB. The platform provides stakeholders and the community of African practitioners with the space to engage on development effectiveness issues on the African continent, facilitate policy dialogue and shift debates from a narrow focus on aid effectiveness to development effectiveness. The platform was successfully used to formulate and articulate a common position by African Union Member States on development effectiveness in preparation for the 2011 Fourth High-Level Forum on Aid Effectiveness in Busan (South Korea). In addition to providing technical and financial assistance prior to the Forum, UNDP also supported a number of post-forum activities including the Africa Post-Busan Technical Working Group, and the launch of the French version of the APDev online portal and the APDev community of practice for francophone countries.

The CD-PGA project also contributed in other ways to improving access to knowledge on capacity development for Africa. In the lead up to the Busan High-Level Forum, UNDP provided technical support for the development of seven case studies covering topics related to development effectiveness, capacity development, South-South cooperation and aid

effectiveness.<sup>67</sup> NEPAD showcased these case studies at the knowledge fair at the Forum. The project also worked with African academic institutions and think tanks to develop innovative tools and approaches to transformational leadership and change management in Africa. UNDP provided support to the Africa Capacity-Building Foundation for the preparation of the second ‘Africa Capacity Indicators’ report launched in 2012.

**The regional programme had varying degrees of success in its advisory work to support the articulation of national capacity development agendas. The extent of the contribution by the regional pool of experts was not clear due to the lack of monitoring data.**

The CD-PGA project, in its advisory work with UNDP country offices to support the articulation of national capacity development agendas, had mixed success. The project reported results in six (Burundi, Liberia, Mauritius, Seychelles, Tanzania and Togo) of the eleven countries it had supported. Some of these countries prepared a national capacity development strategy (for example, Burundi, Seychelles and Togo), others used UNDP technical advice to establish or review capacity development structures (for example, Liberia and Mauritius), while Tanzania focused on mainstreaming capacity development into the public sector reform process. The project established a regional pool of capacity development experts from various countries in Africa to support regional and national partners. Details regarding the diversity of the experts and the extent to which the country offices used this pool of experts were not available. The evaluation cannot therefore comment on its effectiveness.

<sup>67</sup> Case studies covered: ‘The African Peer Review Mechanism (APRM): An innovative approach to Africa’s transformation;’ ‘India, Brazil and South Africa (IBSA): creating a conducive environment for private sector development;’ ‘Creation of a Mutual Insurance Scheme for government officials in Niger;’ ‘African Research and Resource Forum (Sudan);’ ‘Nigeria’s Technical Aid Corps: Unlocking Africa’s potential through skills exchange;’ and ‘Aquatic Weed Control: Egypt and Uganda.’

## INCLUSIVE GLOBALISATION AND REGIONAL INTEGRATION

**Outcome 3:** Strengthened capacity of African countries for increased participation in global trade and linking trade policies to poverty reduction

**Outcome 4:** Outcome of trade negotiations reflect common African position<sup>68</sup>

The second key result area in the poverty reduction and MDGs portfolio focused on trade. Two initiatives, to develop capacity to maximize benefits from trade and to support capacity development for negotiating and regulating investment contracts, were designed to achieve the intended results.

### Relevance

**While strengthening trade capacity for poverty reduction and human development is relevant to the challenges facing African countries, the UNDP's comparative advantages and the role of the regional programme in this area are a concern.**

Much of sub-Saharan Africa has grown strongly in recent years, with low-income countries growing faster on average than developed countries and some other regions of the world. There is increasing demand for Africa's resources and trade volume is growing. However, despite good performance overall, Africa remains only a modest player in international trade, and exports are highly concentrated on raw commodities, oil and gas, mineral and agricultural products. A number of factors deter the development of trade and limit access of the poor to trade opportunities. The 18th Ordinary Session of the Summit

of the African Union in January 2012 held under the theme 'Boosting Intra-African Trade,' and the resulting 'Declaration on Boosting Intra-African Trade and the Establishment of a Continental Free Trade Area,'<sup>69</sup> further illustrate the relevance of this area.

The regional programme supported a number of initiatives designed to strengthen capacities for participation in trade and to link trade policy to poverty reduction and human development. However, UNDP faces credibility issues regarding support to trade policies and capacity development in this area, especially at the regional level. Several United Nations and multilateral organizations including the World Bank, AfDB, World Trade Organisation (WTO), United Nations Conference on Trade and Development (UNCTAD) and UNECA, have been active and have recognised expertise and strength in these areas. The policy advice of multilateral banks are often linked to flows of loans and grants that enable governments to implement trade policies and programmes. WTO and UNCTAD have greater specialised and analytical capacity in the technical aspects of multilateral or bilateral trade and investment negotiations. UNECA has more convening power at the regional level, as evidenced by the fact that the aforementioned 'Boosting Intra-African Trade' agenda of the African Union Summit was primarily supported by UNECA and its Africa Trade Policy Centre.

UNDP can have a role in support of trade policies if it focuses on complementing and supporting efforts of other organisations, using the strengths of its country presence and human development perspective. UNDP could bring its knowledge of poverty at the country level into trade discussions at international levels. It could

<sup>68</sup> These two outcomes are grouped, as the second does not appear in Atlas, and according to the project document, the main intervention in this key result area, 'Building African Capacity to Gain Maximum Benefit from Inclusive Globalization and Regional Integration', is designed to contribute to both of these outcomes.

<sup>69</sup> African Union Assembly, 'Declaration on Boosting Intra-African Trade and the Establishment of a Continental Free Trade Area,'(Assembly/AU/Decl.1(XVIII), May 2012.

help strengthening the supply capacities in such a way that the value added will accrue to the poor and the disadvantaged groups, and advocate for trade and investment policies that expand the opportunities for them. It could facilitate capacity development of national governments and regional institutions by other agencies with appropriate expertise while highlighting the human development implications of trade. While some of the current initiatives have aimed to bring in a human development perspective into trade policies, overall, the relevance of the current programme design is questionable.

**The regional programme's support to capacity development in negotiating and regulating investment contracts responded to the real needs of the countries involved.**

UNDP also supported capacity development for negotiating and regulating investment contracts. This was in line with the NEPAD Strategic Framework for African's Renewal (2001), WAEMU's *Code minier communautaire* (2003), SADC's Protocol on Mining (2008), and the African Union's African Mining Vision (2009). Different sources indicated the initiative was responding to the needs of the programme countries.

**Effectiveness**

**The regional programme raised awareness of the human development dimension of trade policies but its impact on trade negotiations at the global level was questionable. Results of the various initiatives to develop trade capacity were not yet visible.**

Regional programme support to trade aimed to strengthen: the institutional capacity of the RECs to lead their members in trade negotiations through common regional or African positions; the evidence base for trade policy-making; increasing participation of women in regional and global trade; and capacities to negotiate and regulate investment contracts. Work in

most areas did not begin in earnest until 2010, thus effectiveness was assessed for a relatively short time frame.

To promote the formation of common African positions in trade negotiations and the understanding of key issues, the regional programme and the United Nations Institute for Training and Research (UNITAR) facilitated discussions among 175 high-level policymakers from 30 countries on key trade and investment issues at a seminar on 'Emerging Partners and Africa: Key Trade and Investment Issues,' held in Dakar (Senegal) in December 2011. The regional programme also contributed to the organisation-wide effort to bring a human development perspective into trade negotiations, which culminated in the publication 'Trade and Human Development: A Practical Guide to Mainstreaming Trade,' launched at the third Aid for Trade Global Review in Geneva (Switzerland) in July 2011. While these efforts had some advocacy effect, to have a real impact on trade negotiations – for instance to bring in human development concept into trade negotiations – a much heavier investment of technical and political resources at the global scale would be required. The 'Trade and Human Development' publication for instance does not have the technical depth to allow trade negotiators to put it into actual use. The 'Regional Integration and Human Development: A Pathway for Africa' has a more solid technical quality and the potential to be used in actual trade policy formulation within the region.

The regional programme undertook a number of capacity development initiatives: needs assessments were conducted in nine countries and implementation guidelines were produced for four countries to support mainstreaming of trade into national development strategies; trade statistics units in ten countries were given support to strengthen their analytical capacity for trade policy formulation; a training and needs assessment workshop was conducted for 68 African women entrepreneurs to facilitate their

participation in trade; and intervention priorities were identified and capacity development plans designed for 34 countries. However, evidence of actual results achieved by these activities were not identified. Moreover, there were some signs that the regional programme had not been very successful so far in its initiatives to support capacity development of some RECs in trade policy formulation and negotiations.

**The regional programme's support to develop capacities to negotiate and regulate investment contracts brought significant benefit at the national level. However, there were fewer achievements at the regional level due largely to managerial issues.**

There were signs that the regional programme initiatives to develop capacities to negotiate and regulate investment contracts had had some positive impact. Four country offices indicated it was one of the most useful regional programme interventions, and one said the support from the regional project had brought about real impact.<sup>70</sup> Demand for support came from many more countries than those initially targeted by the intervention. Some important results were produced in individual countries. In Sierra Leone, the project supported a review of the mining contracts process, which resulted in the development and adoption of a new mining code in 2009, while Tanzania adopted a 'Mining Act' in 2010. In Liberia, the 'Public Procurement and Concessions Act 2005' was comprehensively reviewed and amended. Furthermore, a total of 16 training workshops were held in Liberia, Sierra Leone, Tanzania, Congo, Mozambique, Rwanda and Niger which, according to an evaluation of the project, received enthusiastic support from governments and UNDP country offices.

Yet according to the project evaluation, not a single output was fully completed at the regional level and half of the intended outputs were not even partially realized, due to a number of managerial issues. The intended regional facility was never set up. Minimum standards and guidelines for dealing with concessions that were to be adopted by at least three and later six targeted countries never materialised. Plans to identify and support an African institution to host trainings were not pursued. The project evaluation concludes that the most powerful and long-lasting achievement of the project – an unplanned and unexpected outcome – was the final understanding among African countries of the full spectrum of steps and activities necessary for a successful contract negotiation, and on the existence of a whole value chain associated with African minerals into which African countries can insert themselves.<sup>71</sup> The project itself has been closed, but the ideas generated are being taken forward through a new economic governance component of the governance umbrella programme.

## MITIGATING THE IMPACT OF HIV/AIDS ON HUMAN DEVELOPMENT

**Outcome 5:** Capacity built in critical social sectors linked to pandemics especially HIV/AIDS tuberculosis and malaria.

This key results area includes one single outcome. UNDP's response to HIV and AIDS at the regional level in Africa is encapsulated in two main projects. The first, 'Accelerating efforts to mitigate the impact of AIDS on human development in sub-Saharan Africa,' is funded by RBA. The second, 'Policy, leadership and

<sup>70</sup> The Country Office Survey.

<sup>71</sup> UNOPS and UNDP 'RBA Regional project for Capacity Development for Negotiating and Regulating Investment Contracts Evaluation Report,' July 2012. Note also that the AFIM team, working on inclusive markets and value chains, had also recognized this, and had attempted to partner with the negotiating contracts team.

technical support to address the development dimensions of HIV and health (2010-2013),’ is part of the global programme. Both projects support UNDP’s Strategic Plan outcomes for HIV and are delivered and managed by an integrated HIV, health and development practice at the two regional service centres. The focus of the evaluation is on the regional HIV and AIDS project, though reference will be made to the global programme project where required.

### **Relevance**

**Regional programme support to the HIV and AIDS project was highly relevant with respect to regional priorities stemming from the HIV pandemic. Its activities made full use of UNDP’s comparative strengths and capacity development mandate.**

Reducing poverty and achieving the MDGs in Africa cannot be done without combating the HIV and AIDS epidemic and lessening its devastating impact on human development. HIV remains a priority for many African countries, particularly in Southern Africa which is at the epicentre of the pandemic. While many interventions in HIV and AIDS are best implemented at the country level, there are aspects where a regional approach is needed to catalyse action. Regional institutions are an appropriate vehicle for such action. The regional HIV and AIDS project was highly relevant as it sought to work through regional institutions to catalyse action at country level, as well as build institutional

capacity of regional institutions. UNDP support to the RECs was relevant as seven of the 20 priority countries identified by the Joint United Nations Programme on HIV/AIDS (UNAIDS) are Member States of SADC, and two are members of ECCAS. UNAIDS has also identified several smaller countries where the HIV epidemic has reached catastrophic proportions, requiring priority support; these include four more SADC countries.<sup>72</sup> Although HIV and AIDS have been on the health and development agenda for about 30 years, the associated stigma and issues of sexuality make it a sensitive topic in a number of countries. Engaging governments through regional processes can make the subject less sensitive for them, so a regional approach to HIV and AIDS is relevant.

While specialised agencies such as the World Health Organisation (WHO) play the lead role in dealing with the health dimensions of HIV, UNDP’s role has been to bring a human development perspective to HIV. The activities of the regional HIV and AIDS project reflected the relevant use of UNDP’s comparative strength in governance and were consistent with UNDP’s role as defined by the UNAIDS Division of Labour (revised in 2010).<sup>73</sup>

### **Effectiveness**

**Regional programme efforts to develop regional capacities to mitigate the impact of HIV and AIDS on human development have been effective, particularly for SADC, which**

<sup>72</sup> UNAIDS Unified Budget, Results and Accountability Framework (UBRAF) 2011-2015 prioritised the following African countries among its 20 priority countries: Cameroon, Democratic Republic of Congo, Ethiopia, Kenya, Malawi, Mozambique, Nigeria, South Africa, Uganda, United Republic of Tanzania, Zambia and Zimbabwe. Smaller African countries also prioritized due to the high impact of the epidemic are Botswana, Lesotho, Namibia and Swaziland. ECCAS countries are Cameroon and Democratic Republic of Congo (also a member of SADC).

<sup>73</sup> In terms of the UNAIDS Division of Labour, UNDP convenes the cluster to ‘remove punitive laws, policies, practices, stigma and discrimination that block effective responses to AIDS,’ and is co-convenor with the United Nations Population Fund (UNFPA) for the cluster to ‘empower men who have sex with men, sex workers and transgender people to protect themselves from HIV infection.’ UNDP is designated as a key partner in six other clusters which [provide] support to strategic, prioritized and costed multi-sectoral national AIDS plans; enhance social protection for people affected by HIV; reduced sexual transmission of HIV; ensure that people living with HIV receive treatment; protect drug users from being infected with HIV and ensure access to comprehensive HIV services for people in prisons and other closed settings; and address HIV in humanitarian settings.’

**has had an HIV unit and strategy for many years. Engagement with other regional institutions was in its initial stages.**

UNDP's engagement with the African Union, though in its early stages, has potential for a productive partnership as the African Union Commission implements the 'Roadmap on Shared Responsibility and Global Solidarity for AIDS, Tuberculosis and Malaria Response in Africa.' This roadmap was developed by the African Union Commission and was endorsed by the African Heads of State at the 19th Summit of the African Union held in Addis Ababa (Ethiopia) in July 2012. The priorities and actions defined in the roadmap revolve around three action pillars, namely: diversified finance; access to affordable and quality assured medicines; and enhanced leadership and governance.<sup>74</sup> The roadmap identifies UNAIDS and United Nations agencies as partners, and exploratory discussions were held in November 2012 between the African Union Commission and UNDP to identify potential areas for collaboration and support. A number of areas identified in the roadmap fall within UNDP's mandate as a co-sponsor of UNAIDS, and are areas in which UNDP has demonstrated capability.<sup>75</sup>

The regional programme's technical support to SADC has laid the foundations for mainstreaming HIV into key non-health sectors. Although mainstreaming HIV has been a planning principle of SADC and its Member States, the level of understanding of what is meant and how to implement it, are not strong at the country level. UNDP has therefore been supporting SADC to develop a results framework for mainstreaming HIV, focusing on key sectors including justice, local government, education, finance and planning, and infrastructure. These non-health

sectors provide the enabling environment for an effective response to HIV. UNDP technical support has included the development and validation of mainstreaming indicators to be used in monitoring, evaluation and reporting on HIV in these five sectors. Extensive consultations on the indicators were conducted with the national AIDS coordinating bodies and the finance ministries of the SADC Member States. The results framework for mainstreaming HIV has been validated by SADC and will be submitted to the SADC Council for approval in 2013.

The regional HIV and AIDS project also supported SADC Member States to strengthen their capacities to access essential medicines sustainably and at lower costs. Results were at an early stage as the processes of engaging with SADC and its Member States on this complex issue take a long time. From 2010, UNDP, through the regional HIV and AIDS and trade projects, provided technical advice to SADC on the drafting of its pharmaceutical business plan. The planning process revealed that many Member States were not taking advantage of the trade-related aspects of intellectual property rights (TRIPS) flexibilities to procure generic HIV drugs. In 2011, UNDP convened a regional capacity-building event for eight countries to better understand TRIPS and how it could be used to access essential medicines at greatly reduced costs. This has laid the foundation for work with individual countries, for example, UNDP was assisting the Government of Botswana to identify how best to utilise TRIPS flexibilities for accessing essential medicines as the President's Emergency Plan for AIDS Relief (PEPFAR)<sup>76</sup> will be withdrawing from the country. UNDP also supported the Government of Swaziland to review its patent law, and Uganda to review its industrial property bill.

<sup>74</sup> African Union, 'Roadmap on Shared Responsibility and Global Solidarity for AIDS, TB and Malaria Response in Africa,' July 2012, Addis Ababa.

<sup>75</sup> The regional HIV, Health and Development team in the Johannesburg Regional Service Centre has prepared a draft concept note following the meeting with the Commissioner for Social Affairs in the African Union Commission.

<sup>76</sup> The President's Emergency Plan for AIDS Relief is a United States Government initiative.

Along with WHO, the United Nations Children's Fund (UNICEF) and NEPAD, UNDP provided technical comments on the draft SADC 'Pooled Procurement Strategy for Essential Medicines and Health Commodities' which aims to give effect to the SADC Pharmaceutical Business Plan objective 'to improve sustainable availability and access to affordable, quality, safe, efficacious essential medicines.' The SADC Ministers of Health approved the strategy in November 2012.<sup>77</sup> The issue of pooled procurement had been on the SADC agenda for several years and the approval of the strategy was a major step forward. Access to affordable medicines was discussed extensively at the Africa Regional Dialogue on HIV and the Law, and the Global Commission on HIV and the Law.

The results of the regional programme's support to ECCAS were not yet evident and work was proceeding slowly as ECCAS's capacity to use the support is limited at this stage. Through UNDP support, ECCAS commissioned a review of the epidemiology, response analysis and vulnerability trends in the ten ECCAS countries. The results of the review will inform the HIV strategic plan for this regional institution. ECCAS' capacity is limited and, unlike SADC which has had an HIV unit and strategy for many years, is only beginning to pay more attention to the issue of HIV. This is not surprising as HIV prevalence rates are low in the central Africa subregion, compared to scale of the pandemic in southern Africa. UNDP's support to ECCAS is timely, as there is greater scope for early intervention and the benefit of learning from other RECs. UNDP's engagement with ECOWAS on HIV has been very limited. A memorandum of understanding (MOU) between the two institutions was signed in September 2012.

**The regional programme, as part of a joint United Nations effort, helped strengthen local government responses to HIV in selected African cities.**

The regional HIV project, through the regional assessment of municipal governance and HIV in 2011, contributed to strengthening local government responses to HIV in select African cities. These cities host highly mobile populations from within these countries and across the borders, and are therefore critical to effectively combating HIV. UNDP has been part of a joint effort with UNAIDS assessing the governance of responses to HIV in cities, and has been responsible for five of the high prevalence cities identified by UNAIDS. UNDP's technical support to Kigali (Rwanda) contributed to the development of a four-year strategic plan for HIV, prevention, treatment, care and support. In Lusaka (Zambia) it introduced institutional changes to strengthen the municipality's response to HIV and AIDS, and in Dar-es-Salaam (Tanzania) and Maputo (Mozambique) municipal authorities conducted mapping exercises of key populations to ensure they are better equipped to provide accessible services to these key populations. Municipal HIV plans for Maputo and Kampala (Uganda) were expected to be completed by the end of 2012.

**The regional programme's collaboration with the global programme's Global Commission on HIV and the Law has led to positive emerging results in the Africa region.**

The regional programme contributed to the global programme's Global Commission on HIV and the Law,<sup>78</sup> and there were positive results emerging in the region. The legal and regulatory environment in many African countries, do not

<sup>77</sup> Southern Africa Regional Programme on Access to Medicines and Diagnostics (SARPAM) website [www.sarpam.net](http://www.sarpam.net), news item, 3 December 2012.

<sup>78</sup> UNDP convened (on behalf of UNAIDS) an independent Global Commission on HIV and the Law in June 2010, to examine the impact of law on HIV responses and to drive country-level action for legal environments that protect human rights, and halt and reverse HIV.

provide adequate protection for people living with HIV. A number of countries have laws that criminalise people living with HIV, sex workers, and men who have sex with men, and laws that entrench gender inequality. These laws are barriers to accessing HIV prevention, treatment, care and support services by women and key populations. The Johannesburg Regional Service Centre convened a regional dialogue of Member States, civil society and experts to provide input to the Global Commission. One hundred participants from government and civil society, from 27 African countries, participated in the Africa Regional Dialogue (3-4 August 2011). The Commission received 234 submissions from 32 countries which, together with issues briefs prepared by independent experts, formed the basis of the discussions at the Regional Dialogue.<sup>79</sup>

Since the Regional Dialogue and the report of the Global Commission, some African countries have taken positive action to review their legislative and regulatory environments. Malawi completed its legal environment assessment with technical support from the regional programme. UNDP also provided technical support to the Democratic Republic of Congo, Mozambique, Namibia and Uganda. At a workshop in October 2012, UNDP also provided technical advice to 16 countries in the region on ways to advance the recommendations of the Global Commission on HIV and the Law. This was followed by a national symposium hosted by the Kenya National AIDS Control Council to take forward the recommendations of the Global Commission.<sup>80</sup> UNDP received requests for support from 13 African countries to follow-up on the recommendations of the Global Commission, and mobilised resources from the Swedish International Development Agency (SIDA) to support eight of these countries. UNDP provided technical advice

to the East African Network of National AIDS Service Organizations (EANNASO) and EAC. The East African Legislative Assembly passed the ‘East Africa HIV and AIDS Prevention and Management Bill’ in April 2012. Civil society considers the Bill to be progressive and, if implemented, should afford protection of rights to people living with HIV.<sup>81</sup> UNDP also drafted a ‘Question and Answer’ document to assist EAC Member States in their decision to assent to, and align their national legislation with, the EAC Bill. Kenya was the first country to assent to the Bill.

**The regional programme used a cross-practice approach to increase awareness of the need to incorporate HIV, health and gender considerations into environmental impact assessments for infrastructure projects.**

The regional HIV and AIDS project contributed to an increased awareness among selected SADC Member States of the need to incorporate HIV, health and gender considerations into environmental impact assessments for infrastructure projects. Large infrastructure projects (transport, dams and power plants) are being implemented throughout Africa, and with the mobile workforce on these projects, the risk of HIV spreading is increased. In 2010, the regional HIV and AIDS project, in collaboration with the regional environment and gender teams partnered with the Southern Africa Institute for Environmental Impact Assessment to conduct a review of environmental impact assessment (EIA) laws and regulations in 10 countries in the East and Southern Africa subregion. The review identified gaps in the regulatory frameworks of countries and made recommendations for addressing these. UNDP developed the ‘Environmental Assessment Barometer,’ a self-assessment tool and ‘Environment Assessment Guidelines’ for

<sup>79</sup> UNDP, ‘Report of the Africa Regional Dialogue of the Global Commission on HIV and the Law,’ Pretoria, August 2011.

<sup>80</sup> KELIN, news from [www.kelinkenya.org](http://www.kelinkenya.org), accessed 14 December 2012.

<sup>81</sup> East African Network of National AIDS Service Organisations (EANNASO) press release, [www.eannaso@eannaso.org](mailto:www.eannaso@eannaso.org).

integrating gender and HIV into EIA processes. In 2012, at the request of the SADC Secretariat, UNDP trained 50 trainers from seven countries (Botswana, Lesotho, Malawi, Namibia, South Africa, Uganda and Zambia) on how to roll-out the EIA guidelines. It is envisaged that these trainers will build capacity in national tender boards, national environmental management councils, inter-ministerial committees, EIA practitioners and non-governmental organizations (NGOs). According to UNDP, some governments in the region are taking positive steps to integrate gender and HIV into EIAs, for example, the Government of South Africa introduced a gender and HIV mainstreaming project to provincial governments to encourage mainstreaming in national and provincial operation plans for HIV.<sup>82</sup> In addition, the Governments of Botswana, South Africa and Uganda integrated HIV and gender in EIAs in curricula at the University of Botswana, University of the Free State and Makerere University, respectively. The Government of South Africa also extended training on HIV and gender in EIA processes to 36 provincial managers, while Malawi and Zambia rolled out training to 50 stakeholders.<sup>83</sup>

**The regional programme has addressed sensitive issues through support to advocacy and policy work dealing with negative gender norms and HIV.**

UNDP contributed to the development of guidelines for simultaneous mainstreaming of

gender and human rights in HIV responses in the South African public service. In 2010, SADC tasked the Government of South Africa to develop guidelines for the simultaneous mainstreaming of gender and human rights in HIV responses in public administration.<sup>84</sup> In 2011, 'Guidelines on gender sensitive and rights-based HIV and AIDS, STI and TB mainstreaming into public administration and public service 2012-2016' were published.<sup>85</sup> The technical support received from UNDP and the German Agency of International Cooperation (GIZ) in developing the guidelines was acknowledged. The Guidelines apply to the 1.2 million public servants in national and provincial government departments. As roll-out only began in the 2012/2013 financial year, results were not yet available. In September 2012, the Director-General of the South African public service signed a pledge to gender-sensitive and rights-based mainstreaming of HIV and AIDS into departmental operational plans giving some exposure to the project.<sup>86</sup>

Working with the gender practice, the regional HIV and AIDS project supported the production of policy briefs on engaging men to promote gender equality and address gender-based violence in 11 African countries. The policy briefs were developed by the Sonke Gender Justice Network on behalf of the MenEngage Africa Network, with support from UNDP, UNFPA, and other development partners. The Zambia policy brief, as an example, analyses whether policies, laws and plans in Zambia are drafted in a way that engages men and boys to be proactive

<sup>82</sup> Republic of South Africa, Department of Public Service and Administration, presentation made to the KwaZulu-Natal Province on 'Mainstreaming of HIV/AIDS in South Africa Project from the SADC: National and Provincial possibilities,' 2 March 2011.

<sup>83</sup> This information was provided by the East and Southern Africa HIV, Health and Development Team in the '2012 Annual Report'. As the information was obtained in December 2012, there was not sufficient time to validate all the information.

<sup>84</sup> Presentation by the South African Department of Public Service and Administration to the Parliamentary Portfolio Committee of Public Service and Administration, 29 June 2011.

<sup>85</sup> Republic of South Africa, Department of Public Service and Administration, 'Guidelines on gender sensitive and rights-based HIV&AIDS, STI and TB mainstreaming into public administration and public service 2012-2016,' 2011.

<sup>86</sup> South African Government News Agency, 'DGs pledge to principles of mainstreaming HIV, Aids,' <http://www.sanews.gov.za/south-africa/dgs-pledge-principles-mainstreaming-hiv-aids>, 27 September 2012, accessed 14 December 2012.

and progressive in areas that are critical for gender equality, namely, HIV and AIDS, gender-based violence, sexual and reproductive health rights, and parenting.<sup>87</sup> These policy briefs or reports are aimed at policymakers and civil society to inform advocacy and address policy gaps.

The regional HIV and AIDS project contributed to strengthening CSOs who address HIV among men who have sex with men and transgender populations. Since 2010, UNDP has supported the African Men for Sexual Health and Rights (AMSHER), a coalition of African-based and led organizations advocating human rights for men who have sex with men and transgender populations, in policy, legislation and service delivery. AMSHER has affiliates in 18 African countries. According to UNDP, its capacity-building support to AMSHER has been a major driving force and the organization has mobilised support from the Ford Foundation, Oxfam and the Southern Africa AIDS Trust.

### PRIVATE SECTOR DEVELOPMENT AND CIVIL SOCIETY ORGANIZATION ENGAGEMENT

**Outcome 6:** Conducive policy and regulatory environment for private sector growth including private sector participation<sup>88</sup>

**Outcome 7:** Diversified private sector including SME

The fourth and final key result area under the poverty reduction and MDGs focus area addresses private sector development. ‘Private

sector and inclusive market development for poverty reduction in Africa: African Facility for Inclusive Markets (AFIM)’ was a joint venture between the Bureau for External Advocacy (formerly the Partnerships Bureau) and the regional programme, which was designed to contribute to the two intended outcomes.

### Relevance

**Regional programme support to promote private-sector and inclusive market development for poverty reduction in Africa was a highly relevant initiative.**

Markets play a fundamental role in the day-to-day lives of the poor in Africa. They generate jobs and incomes, and provide goods, services and solutions for women and men, and therefore have potential to increase their choices and opportunities. However, markets do not always provide access and benefits for the poor. The African Union and RECs seek to promote sustainable economic development, integration and cooperation, but have not had a cohesive approach to mainstreaming inclusive market development in their development strategies. UNDP’s MDG Breakthrough Strategy (2010) recognizes the importance of involving the private sector in development solutions, and UNDP’s private sector strategy provides a comprehensive and integrated framework for supporting development of inclusive markets. Regional programme support to the development of inclusive markets in Africa was thus highly relevant, and provided tools suitable to address MDG 1. It also built on UNDP’s competence in working with governments and the private sector, as well as its mandate to reduce poverty.<sup>89</sup>

<sup>87</sup> Sonke Justice Network, ‘Policy Report 17: Engaging men in HIV and Gender Based Violence Prevention, SRHR Promotion and Parenting: Zambia,’ Johannesburg, 2012.

<sup>88</sup> According to the project documents, the regional programme for ‘Social Cohesion and Youth Employment for sub-Saharan Africa’ and the regional ‘Project for Gender Equality and Women’s Empowerment in Africa’, are designed to contribute to this outcome on private sector growth. Results of these interventions were covered in the section on promoting inclusive growth above and will not be repeated here.

<sup>89</sup> Imani Development, ‘African Facility for Inclusive Markets (AFIM): Regional Project Mid-Term Evaluation,’ Zero Draft, December 2012, 32.

## **Effectiveness**

**Regional programme support to inclusive market development was only in its initial stages but, in view of UNDP's ability to convene diverse actors, it was beginning to show positive results.**

Although regional programme interventions to increase the capacity of regional organizations, governments and other stakeholders in their support to inclusive market development in Africa did not begin until late 2010, results have been achieved. For example, in October 2011, the regional programme and EMRC International (an international non-profit organisation promoting sustainable development in Africa through growing business partnerships) co-organized the Agri-Business Forum 2011 in Johannesburg (South Africa). One outcome of the Forum was the Johannesburg Declaration on Engaging the Private Sector in Furthering Africa's Agribusiness, Food Security and Nutrition Agenda.' This was the first Declaration in the agribusiness field in Africa that brought together around 450 participants from the African Union, NEPAD, COMESA, ECOWAS, EAC, 29 African governments, the private sector, farmer's groups, United Nations agencies and other development partners. According to a mid-term evaluation of the project, it was well-received by stakeholders.<sup>90</sup>

In 2012, the regional programme convened two subregional AFIM 'weeks,' focusing on implementation of regional agri-food value chains.

The RECs, governments, and private sector actors and associations were brought together and provided opportunities to share country experiences, build skills, and encouraged to pursue new initiatives.<sup>91</sup>

Knowledge products documenting and sharing successful case studies have been deemed an efficient use of UNDP resources.<sup>92</sup> 'Roles and opportunities for the private sector in Africa's agro-food industry', published in 2012, has already been referenced on at least nine websites, (compared to the 14 times the 'MDG Report 2012: Assessing Progress in Africa toward the Millennium Development Goals' has been referenced).<sup>93</sup> However, according to the project mid-term evaluation, there is a need to invest in more in-depth case studies.

According to the project evaluation, the regional programme, through the AFIM project, was seen as an appropriate broker with pan-African range that is meeting gaps in policy and programme, and using its limited but important funding to link practical pilots on the ground with policy dialogue.<sup>94</sup> Stakeholders saw the regional programme's work on inclusive markets as highly relevant with respect to MDG 1. UNDP was also seen as a partner who can 'convene the right people,' and who understands governments and the private sector, as well as poverty alleviation and policy.<sup>95</sup> However, as also noted by the project evaluation, access to finance was still missing from the equation.

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<sup>90</sup> Ibid. 24.

<sup>91</sup> For example, according to the mid-term evaluation, the Africa Harvest Foundation International, which is working with the International Fund for Agricultural Development (IFAD) and UNDP to assist small farmers in Kenya and Tanzania increase sorghum production and participate in regional trade, learned of the work of the East Africa Dairy Development to promote the dairy value chain in four East African countries. It is now proposing to supply sorghum from the Africa Harvest initiative for animal stock in the dairy initiative. Ibid. 14.

<sup>92</sup> Ibid. 25.

<sup>93</sup> AlterSpark and Statistical Cybermetrics Research Group, 'Cybermetric Analysis of UNDP Knowledge Products, Africa Regional Programme,' 2012.

<sup>94</sup> Imani Development, 'African Facility for Inclusive Markets (AFIM),' 33.

<sup>95</sup> Ibid. 32.

## **SUSTAINABILITY IN THE POVERTY FOCUS AREA**

**The regional programme has created sustainable capacities to promote inclusive growth and the achievement of the MDGs in regional and national institutions where staff turnover has been low.**

The regional programme contributed to the creation of sustained national capacities to promote pro-poor growth and achievement of the MDGs. This was most visible in countries where national teams have remained in place over several years, and have been able to apply the knowledge gained in successive rounds to formulate PRSPS and MAFs. In Benin, for example, sustainable capacities to develop pro-poor strategies have been created, as have the public finance policy and skills required for the medium-term expenditure framework (MTEF) tool in Burkina Faso. However, where government staff turnover was high, institutional capacity development remained weak and the need for external support remained great. The recent initiative to create an AFIM has generated enthusiasm, but there is a risk that without funding for meetings, the opportunity to continue valuable dialogue may be lost as the platform is not yet sustainable without ongoing support.<sup>96</sup>

### **Multi-country initiatives without exit strategies have proven to be less sustainable.**

The sustainability of regional programme contributions at country-level depends on follow-up by national governments and/or country offices. Initiatives such as those under the youth employment project are likely to be sustainable where the work by the regional programme has been taken up by national partners. For example, with support from the country office, the Government

of Kenya has advanced the contribution of the regional programme and developed a national greenhouse initiative, which shows strong promise to be sustainable. However, in many participating countries, governments had no clear strategy for continuing the work.<sup>97</sup> In the case of the youth employment project, an exit strategy was not incorporated into the original plan, and an evaluation of the project notes that 'a second phase is required to consolidate project successes and plan a standardized phase-out strategy with government or private sector partners at both the regional and national levels.'<sup>98</sup>

### **Results of other initiatives in the poverty focus area may not be sustainable without further support.**

While results of regional HIV and AIDS support to SADC are likely to be sustainable, the same could not be said for ECOWAS, ECCAS and the African Union since work with these institutions was in its early stages. Over the period under review, UNDP developed a good partnership with SADC. Although SADC does have some capacity constraints, it has a very high level of ownership of the HIV agenda and provides direction in this regard. Member States, such as South Africa, have large HIV programmes and invest much more than international donors, whilst other Member States are aware of the need to mobilise local (national) resources for HIV, as international funding is beginning to decline. The regional HIV and AIDS project has adopted a capacity-building approach to its support in mainstreaming HIV and the use of TRIPS which has enhanced the prospects for sustainability. Working in partnership with other United Nations agencies, research institutions, civil society, multilateral organizations (World Bank) and bilateral organizations such as SIDA,

<sup>96</sup> Ibid. 48.

<sup>97</sup> Jones and Negue, 'Regional Programme for Social Cohesion and Youth Employment for Sub-Saharan Africa,' 9.

<sup>98</sup> Ibid.

contributes to sustainability. It should be noted that ECCAS has serious capacity constraints and, unless UNDP's technical support includes a substantial capacity development component, ECCAS might not be able to implement its regional HIV strategy.

The regional gender equality and empowerment of women project has worked to build sustainability through partnering with other United Nations agencies, for example, UN Women, UNCDF and UNECA. It has also sought to enhance sustainability through collaboration with relatively better-resourced programmes, such as the HIV and AIDS programmes. However, there are threats to the sustainability of results. The project's exit strategy proposes a transition to African institutions and involves a gradual phasing out, coupled with resource mobilization and action plans for scaling-up and replication. The capacity of the gender divisions in the African Union Commission and similar units in the RECs is not strong, and these institutions expect financial and technical advisory support from the regional project. The sustainability of results at the country level is not assured as it relies on the capability of UNDP country office gender focal points to carry through on the work initiated through the regional project. Although the regional project has provided training to gender focal points, the latter do not focus exclusively on gender.

**Strong ownership by the African Union Commission and NEPAD of capacity development initiatives meant that these results are likely to be sustainable.**

The results of the regional CD-PGA project were showing good prospects for sustainability. The project document identified ownership and partnerships as central to the exit strategy and the regional project sought to ensure these. There was little doubt that the African Union Commission and NEPAD owned and led the capacity development agenda and were likely to sustain the

results of the project beyond UNDP's participation. The APDev is a case in point. Ensuring the sustainability of results in the RECs is more challenging as they have significant capacity deficits.

### **3.2 CONSOLIDATING DEMOCRATIC AND PARTICIPATORY GOVERNANCE**

The second largest component of the regional programme focuses on governance, and comprises three key results areas and four outcomes. Given the complexity of the governance programme, this section is structured by outcome. Each section analyses relevance and effectiveness, followed by an analysis of sustainability for the portfolio as a whole.

#### **POLITICAL PARTICIPATION AND ELECTIONS**

**Outcome 8:** Enhanced political participation and management of elections

Credible, free and fair elections are essential for democratic governance and represent a significant milestone in the democratic process. While there has been a trend towards free and fair elections in Africa, much has to be done to strengthen the management of elections, not merely as an event, but as a continuous cycle in the democratic process. The regional governance programme sought to enhance the capacities of electoral management bodies, strengthen capacities of non-state actors, and increase the participation by women in governance and decision-making processes at regional and national levels.

#### **Relevance**

**The regional governance programme was highly relevant in that it supported national, regional and continental priorities for credible, transparent and peaceful elections in Africa.**

**The approach of developing institutional capacities of bodies at these levels responded to capacity challenges experienced in these institutions.**

Civil participation in political processes, such as elections and engagement with legislative processes and bodies, is fundamental to democratic governance. While an increasing number of elections in Africa are free and fair, there are still challenges to ensuring their sound management, and the participation of women, youth and historically marginalised groups in these and other political processes.

UNDP's support to the African Union Commission responded to the 'Shared Values Agenda' of the African Union which seeks to promote greater unity and integration on the African continent, and emphasises democratic governance, popular participation, rule of law, human rights and sustainable socioeconomic development.<sup>99</sup> Elections form an important part of the Agenda. UNDP provided technical support to the development of the 'African Charter on Democracy, Elections and Governance' in the RCF II and has continued to advocate its ratification in the current regional programme. UNDP's support to the African Union in election monitoring and review of the African Union's election observation methodology were relevant, giving effect to the 'African Charter on Democracy, Elections and Governance.'

The regional governance programme advocates for an electoral cycle management approach, which views electoral support as a process beginning long before the actual election and is more comprehensive than support to an election event. This highly appropriate approach has helped build sustainable institutional capacity well before the actual election. Strengthening

capacities of regional institutions, as well as national electoral management bodies, ensures that these two bodies can exercise their complementary roles effectively. UNDP's support to the EAC in reviewing its manual on electoral observation is a case in point.

The relevance of electoral support at country-level varies as not all countries in the region request the support that can be provided by the regional service centres or the regional governance programme; nor should one expect equal levels of demand from all countries. Even though UNDP is working to increase the uptake of the electoral cycle approach, countries are likely to only seek assistance as an election draws closer, once in approximately four to five years.

**Effectiveness**

As discussed in Chapter 2, a delay in the implementation of the regional programme meant most activities started in 2010. The management and technical review of the regional programme found that, at the time, many governance-related activities had not yet been implemented. Furthermore, the governance programme was revised substantially in 2011. There had therefore been, at the time of the evaluation, a short period of about 18 months for results to be achieved and over 12 months remaining before its completion. These factors were taken into consideration in evaluating the effectiveness of the programme.

**The regional programme provided appropriate support to regional institutions and country programmes, enhancing capacities of national and regional institutions to ensure transparent and credible electoral process, systems and results.**

There were 40 elections held in Africa between 2010 and 2011, and a further 19 were scheduled

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<sup>99</sup> African Union, 'Declaration on the theme of the Summit – Towards Greater Unity and Integration through Shared Values,' Heads of State and Government, meeting at the 16<sup>th</sup> Ordinary Session of the Assembly of the Union in Addis Ababa (Ethiopia), from 30 to 31 January 2011.

for 2012. The majority of elections during the period have been declared as credible (fair, transparent and peaceful). Significant elections in the period include the referendum in Southern Sudan to secede from Sudan; elections in Senegal which were preceded by protests against the incumbent's insistence in standing for a third term (beyond the prescribed two terms); presidential elections in Niger that saw the country transition to civilian rule; and elections in Zambia that saw the replacement of the ruling party by the opposition.

UNDP support enhanced the capacities of national and regional institutions to ensure transparent and credible electoral processes, systems and outcomes. The evaluation identified several examples of UNDP's support to elections and electoral management by UNDP country offices that in turn were supported by the regional programme. The regional governance programme provided technical support to strengthen electoral management bodies in a range of electoral management areas, including voter registration, training of polling staff and election observers, and voter education. Media leaders from African countries were trained to report on sensitive elections to minimise conflict escalation. Importantly, UNDP worked with countries, for example Nigeria, to adopt an electoral cycle approach that considers processes in-between elections, as important as the election event itself. In Lesotho, UNDP regional advisers and the country office supported the election management process, enhancing the capacity of the electoral management body, political parties and civil society to deliver a credible election in a very tense political environment. UNDP also supported country offices in Kenya, Malawi, Mozambique, Nigeria and Tanzania to design country programmes for national elections.

Regional institutions play a critical role in promoting credible elections. The African Union and regional economic institutions such as SADC and ECOWAS have developed normative frameworks

for elections. With UNDP technical and financial support, the African Union has developed the 'African Charter on Democracy, Elections and Governance.' It came into force in February 2012 following ratification by 15 Member States and has been signed by 39 countries. The Charter sets the norms for elections in Member States, and if enforced consistently, can contribute to significantly improving the credibility of elections and democratic governance in general. UNDP also supported the African Union to develop a curricula to train observers in long-term electoral observation, thus contributing to an increase in their numbers. It also provided technical and advisory support to EAC to develop 'Guidelines for Electoral Observation and Monitoring' and supported the Association of Law Reform Agencies in Eastern and Southern Africa to develop a model law for the subregion. UNDP supported independent institutions as well, for example, the SADC Electoral Commissions Forum which facilitates cooperation between electoral management bodies in the region, with the view to promote democratic values, and free and fair elections in the subregion.

There are, of course, other organizations and many factors that contribute to a successful, credible election. UNDP regional advisers contribute to a broader UNDP and United Nations support to elections, which includes peace and development advisers, BCPR and the Electoral Assistance Division of the United Nations Department of Political Affairs. The European Union and bilateral donors make financial contributions to support advocacy work and capacity development of electoral management bodies. These contributions are often managed by UNDP.

There is a considerable way to go before credible, peaceful elections across the African continent can be achieved, as demonstrated in the elections in Cote d'Ivoire, Cameroon, Mali and Togo (where October 2012 elections were postponed to 2013 due to violence). In this regard, national adoption of the 'African Charter on Democracy,

Elections and Governance' will therefore be a critical next step for meaningful electoral reform in Africa. The RECs have their own normative instruments governing elections which have not been consistently enforced and need to be harmonised with the African Union instruments to ensure consistency across the region.

UNDP also supported networking between national election management bodies to enhance national adherence to subregional normative frameworks.

**The regional governance programme supported advocacy for women's political participation and capacity development for women parliamentarians. There were signs that UNDP efforts made positive contributions in this regard.**

Women's representation in parliaments in SADC countries has been ahead of the global average since 2005 when SADC adopted the principle of equal representation of women and men. UNDP's support contributed to improving women's representation in parliaments in the Western and Central Africa subregion. Four out of nine countries that have been exposed to UNDP support reported an increase in women's parliamentary representation in their most recent legislative elections (Niger increased from 10 to 12 percent, Chad increased from 6 to 14 percent, Cape Verde increased from 15 to 21 percent, and the Central African Republic increased from 10 to 13 percent).<sup>100</sup>

The gender project of the regional programme worked in collaboration with the Burkina Faso country office to host a forum of Ministers responsible for gender equality and women's empowerment in nine French-speaking countries in West and Central Africa<sup>101</sup>. The outcome

of the forum was a roadmap to increase women's participation in politics and for women to assume leadership positions. The regional project supported seven country offices to mobilise resources to provide further support to countries wishing to promote women's political participation.

**The regional governance programme helped to ensure that issues of youth and their participation in political processes were on the continental agenda.**

The African Union adopted the 'African Youth Charter' in 2006 and it entered into force in 2009. At the time of the evaluation, 40 countries had signed and 31 countries had ratified the Charter. In November 2011, in preparation for the Eighth African Governance Forum, UNDP and the African Union convened a multi-stakeholder policy dialogue on youth empowerment, elections and managing diversity. The dialogue brought together government and youth CSOs from 29 countries. Progress made since the ratification of the Charter was noted, as were the concerns about the gap between the normative framework and implementation at country-level. The policy dialogue provided country perspectives on youth participation in political processes and elections, which were fed into the African Governance Forum held in October 2012. In addition, UNDP partnered with the United Nations Centre for Human Settlements (UN-Habitat) to organize the global Youth 21 Conference in March 2012. It also worked with UNECA and International IDEA to organize the Youth and Democratization in Africa: Lessons Learned and Comparative Experiences conference in November 2012 during which participants made recommendations on the implementation of the 'African Youth Charter.'

<sup>100</sup> These figures are quoted in the 2011 'Results-Oriented Annual Reports (ROAR)' of Johannesburg and Dakar.

<sup>101</sup> Countries are Chad, Central African Republic, Congo, Cote d'Ivoire, Democratic Republic of Congo, Liberia, Mali, Niger and Sierra Leone.

## POLITICAL AND ECONOMIC GOVERNANCE FOR ENHANCED SERVICE DELIVERY

**Outcome 9:** Strengthened political and economic governance and enhanced service delivery

Interventions designed to achieve this outcome focus on improving the transparency, accountability and performance of public services in Africa so that they respond effectively to the development challenges in African countries, as well as on combating corruption in the private and public sectors. The programme also intended to enhance the capacities of civil society, SMEs and the private sector to participate in economic policy development, implementation and monitoring. These activities are delivered primarily through the African governance and public administration programme, and, according to the governance programme document, the Pôle de Dakar, which is covered in Section 3.1. According to project documents, the MDGs initiative and the project on negotiating and regulating investment contracts also contribute to this outcome (the results of these interventions were discussed in Section 3.1). This section focuses on the African governance and public administration programme.

### Relevance

**The regional governance programme responded to regional priorities for more effective public services and better governance. Given that working through regional institutions has the potential to accelerate improvements at the national level through knowledge sharing among countries facing similar challenges, the regional approach to issues was appropriate.**

An effective, efficient and accountable public service is essential for economic and social development, and for promoting peace and stability within countries and between countries. While African governments increasingly look to modernising and transforming their public services, many public services on the continent have serious capacity problems, in terms of human resources (technical and managerial skills) and systems (poor financial management, procurement, policy development). An effective public service is part of the enabling regulatory environment required for economic growth and creating the jobs that are needed in most African countries. Citizens rely on public services to varying degrees, but it is the poorest, who do not have choices in ‘purchasing’ of public services, that are most dependent on these services. Poor service delivery in sectors such as health, education, water and sanitation, has a significant impact on the quality of life of the poorest sectors of the population. Service delivery protests, such as those in South Africa, demonstrate clearly the consequences of an inefficient and uncaring public service. Instilling a performance culture in public services is particularly relevant to addressing the challenges in service delivery. The regional programme’s support to initiatives of the African Ministers of Public Service was thus relevant, and an appropriate entry point for a regional approach.

The vast majority of countries in Africa fare poorly in the corruption perception index, with only Botswana scoring 6 out of 10 points.<sup>102</sup> Corruption poses a significant challenge to African countries as it undermines public service delivery, good financial management and business. There is a strong relationship between service delivery and corruption, and corruption in critical sectors such as health, education and justice has a negative impact on service delivery

<sup>102</sup> AfDB et al., ‘African Economic Outlook 2012,’ 93.

to poor people. Corruption is a transboundary issue and UNDP's supporting efforts at the regional level were highly relevant.

### **Effectiveness**

**UNDP's contribution to strengthen political and economic governance, and service delivery was moderately effective. While some intended outputs had been delivered, they had not progressed sufficiently to achieve the desired outcome. Other intended results of the programme in this area were not realized owing partly to the challenges in achieving results in the area of political economy, and partly to lack of implementation planned interventions.**

UNDP's governance and public administration programme had been enhancing the capacity of the Ministers of Public Service in Africa to drive transformational change in the delivery of public services on the continent, but the results were at an early stage. Regional programme support to the Conference of African Ministers of Public Service (Camps) resulted in the establishment of the CAMPS Secretariat, thus enabling the Ministers to take forward their agenda of public administration reform. Support to CAMPS included the development of a long-term strategy for governance and public administration and the review and finalisation of the draft 'African Charter on Values and Principles of Public Service and Administration.' The Charter was prepared over several years and was finally approved in January 2011. At the time of the evaluation, only 19 countries had signed and six countries had ratified the Charter and there is still much work to be done for it to come into force.<sup>103</sup>

UNDP sought to strengthen management development institutes (public service training institutes) through capacity assessments that would identify their capacity needs to raise

the levels of competence in public services. Complementary support was given to the development of three guides in public management (human resource planning and policy architecture, leadership and management development, and performance management). UNDP provided support to train staff from the countries that had ratified the 'African Charter on Values and Principles of Public Service and Administration,' including 16 permanent Secretaries in Swaziland who received training in performance management.

UNDP's work in the area of anti-corruption was moving in a positive direction and there were several examples of UNDP support in this sensitive area. Examples include the training of Anti-Corruption Commissions from 13 SADC countries in investigation of corruption and money laundering requiring sophisticated forensic investigation skills; support to countries to improve integrity systems (for example, Swaziland) and support to oversight committees of parliaments (for example, South Africa). In West and Central Africa, UNDP supported the parliament of Burkina Faso to use UNDP-developed anti-corruption tools in order to strengthen their oversight functions. There was an attempt to enhance the capacities of CSOs in selected countries (Mali, Burundi and Guinea) in collaboration with Transparency International. UNDP also supported the African Union draft a five-year anti-corruption strategy and work programme of the African Union Anti-Corruption Board. At the country level, regional governance advisers supported selected countries integrate anti-corruption work into country programme documents. The range of activities and number of countries where the regional governance programme was working on anti-corruption reflected a positive trend in the acknowledgement by a number of governments that corruption needs to

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<sup>103</sup> Data provided by RBA.

be rooted out and that it is insufficient to enact laws and establish anti-corruption institutions.

Aspects of the anti-corruption output in the regional governance programme not yet addressed sufficiently included enhancing the capacities of civil society to monitor and fight corruption. Although the output refers to private sector corruption, none of UNDP's activities addressed this issue.

Progress to achieve transparency in the management of natural resources was limited. The regional governance programme, with assistance from BDP, hosted a workshop on accountability and integrity in reducing emissions from deforestation and forest degradation (REDD) in 2011. The workshop was attended by 70 participants from seven countries representing governments, civil society and anti-corruption agencies. Information on how issues that emerged from the workshop have been taken forward by the respective governments was not available.

No evidence was found to suggest any progress towards enhancing capacities of CSOs, SMEs or the private sector to effectively participate in economic policy formulation, implementation, M&E at regional and national levels, or in improving accountability in fiscal management systems/policies in select African countries, which were intended outputs of the programme.

## EFFECTIVE REGIONAL INSTITUTIONS

**Outcome 10:** More effective regional institutions

The African Union and RECs play a central role in UNDP's regional governance programme, as development partners and also as institutions that benefit from UNDP support. An intended outcome of the regional programme is to create more effective regional institutions, which is also

a necessary condition for UNDP's work in other thematic areas. Regional programme outcome 10 focuses on strengthening capacities of institutions with regard to democratic and political governance. There are other regional projects in the other thematic areas that also develop capacity of the African Union and RECs, for example, the regional CD-PGA project. These projects are discussed under their respective thematic areas.

### Relevance

**UNDP's support to strengthening the African Union is guided by the African Union's Ten-Year Capacity-Building Programme. Since the African Union and other regional institutions have the potential to accelerate or impede the development of Africa, regional programme support to capacity development in the area of democratic and political governance was relevant. UNDP's capacity development approach adopts a long-term view to develop sustainable institutional capacity for achieving the development objectives of these organizations.**

The African Union and RECs have identified capacity development as one of their key priorities. The African Union has a Ten-Year Capacity-Building Programme that provides the framework for cooperation between the African Union and the United Nations. UNDP's capacity development efforts in the African Union focused on addressing the capacity gaps within the African Union Commission and support to NEPAD (as the implementing agency of the African Union). This focus has been relevant as it supports the operationalization of charters, declarations and decisions of the African Union.

The RECs in Africa are bodies through which the African Union gives effect to its decisions, as well as being important vehicles for addressing regional or transboundary issues and producing regional public goods. The RECs generally do not have the adequate capacity to deliver on their mandates and to give effect to the decisions of their legislative bodies.

The African Union Commission, NEPAD and the RECs recognise UNDP's comparative strength in capacity development and regional programme support to strengthening the capacity of these institutions is a relevant use of these strengths. UNDP takes an integrated approach to capacity development and works in partnership with these institutions, supporting the development of systems, processes and people.

The APRM is an African-owned and African-led initiative for non-government stakeholders (civil society, private sector, media, etc.) to engage on the same platform as government and speak on issues of governance. UNDP has supported the APRM since its inception, providing technical support to the APRM Secretariat and managing the APRM multi-donor trust fund. Many of the governance issues addressed in the APRM process are sensitive and a source of contention between government and civil society. UNDP's role in supporting the APRM has been a relevant use of its comparative strength of neutrality.

### **Effectiveness**

**UNDP delivered some of the outputs intended to strengthen the capacities of regional institutions. Notably, UNDP support to APRM processes and the APRM Secretariat contributed to increase the capacity of the APRM. UNDP's long-term involvement and national ownership were positive factors in this regard. Implementation of the resulting national programmes of action would require greater attention.**

UNDP has supported the APRM since its inception in 2003, making it a relatively mature programme of support compared to other

projects under the regional governance programme. UNDP, UNECA and AfDB are designated as strategic APRM partners mandated to conduct technical assessments, and participate in country support and review missions. During the pro-gramme period under review, UNDP supported the APRM process in areas including management of the multi-donor APRM trust fund, and provided technical and advisory services to the APRM Panel and Secretariat, and country focal points. Support included participating in pre-paratory missions, country review missions and contributing to finalising assessment reports. UNDP contributed to the 17 country assessments that have been completed since the start of the APRM. Other support included sensitising parliamentarians and CSOs to APRM processes and the role they can play. Thirty-three of the 54 Member States of the African Union have acceded to the APRM.<sup>104</sup>

Having supported the APRM process for nearly a decade, UNDP and other designated strategic partners are aware of its strengths and limitations. These have been documented by independent research institutions and commentators<sup>105</sup>, although interestingly UNDP itself has not commissioned or conducted any in-depth evaluation of the impact the support it has provided to the APRM. The challenges facing the APRM include the tendency for interest and profile of the APRM to decline once a country has been reviewed; poorly designed programmes of action with too many unfunded activities; low levels of awareness at national-levels among ordinary citizens; the perception by non-state actors that their views are not incorporated; and lack of systematic M&E of national programmes

<sup>104</sup> APRM, 'Commuque issued at the end of the Eighteenth Summit of the Committee of Heads of State and Government Participating in the African Peer Review Mechanism,' [http://aprm-au.org/sites/default/files/18TH\\_APFORUM%20COMMUNIQUE.pdf](http://aprm-au.org/sites/default/files/18TH_APFORUM%20COMMUNIQUE.pdf), 26 January 2013, Addis Ababa, accessed 27 February 2013.

<sup>105</sup> See Tindifa, S.B. and Luutu, B.M., 'Implementation of the APRM in Uganda, A critical evaluation,' April 2011; APRM Monitoring Project, 'Implementing the APRM: Views from Civil Society, Lesotho Country Report,' September 2011; APRM Monitoring Project, 'Implementing the APRM: Views from Civil Society, South Africa Country Report,' June 2011; Ogola, K., 'Final end term evaluation report of the Kenya APRM donor supported programme,' July 2012; and Herbert, R. and Gruzd, S., 'African Peer Review Mechanism: Lessons from the Pioneers,' 2008.

of action. UNDP has been supporting the APRM Secretariat to develop a framework to monitor and evaluate the implementation of national programmes of action.

UNDP did not, however, address sufficiently one central issue in its support to the APRM: the APRM requires countries to invest considerable time and resources, and unless it can demonstrate value-added to existing national development plans and other governance instruments, implementation of the national programmes of action resulting from the APRM process will remain limited. As UNDP works with and through the APRM Secretariat, the capacity of the Secretariat influences the effectiveness of UNDP's role in the APRM. The need to strengthen the APRM Secretariat has been raised in APRM Secretariat documents and annual reports. From the information available to the evaluation team, UNDP does not appear to have a clear strategy for developing the capacity of the APRM Secretariat. The APRM is transitioning to become an integral, yet autonomous entity within the African Union and it has been difficult for UNDP to develop a coherent strategy of support to the APRM Secretariat in this transition phase.<sup>106</sup> Furthermore, the APRM's status in relation to NEPAD remains unclear, as NEPAD regards it as its governance programme. The year 2013 marks the tenth anniversary of the APRM, and the governance cluster of the United Nations-African Union Regional Coordination Mechanism has proposed to conduct a critical review of the APRM and impact assessments at country-level to enhance its effectiveness, relevance, credibility and sustainability in the next decade.<sup>107</sup>

### **The regional programme strengthened the capacity of NEPAD to carry out a number of**

**its tasks, but support tended to be fragmented. UNDP had taken steps to strengthen the partnership.**

UNDP has supported NEPAD since its inception as a programme with a secretariat through to its current form and status, since 2010, as the NPCA, the technical agency of the African Union. Through the regional programme, UNDP is represented in NPCA governance structures, namely, the Steering Committee of the Africa Partnership Forum, and Heads of State and Government Orientation Committee. UNDP has taken steps to strengthen the partnership and, in 2011, the NPCA and UNDP signed an MOU covering development policy and strategy; governance; South-South cooperation and aid effectiveness; knowledge management; environment and climate change; trade; and gender equity and women's empowerment. A joint implementation plan was to be concluded between the two parties.

The regional governance programme supported the NPCA in drafting NEPAD's report on the Africa-G8 Partnership commitments and serves on the project Steering Committee for the ten-year review of NEPAD. The regional governance team contributed to the work of the capacity development team in supporting the formulation of a common African position on development effectiveness for the Busan High-Level Forum. The 'NEPAD Annual Report 2011' highlighted the significant progress it had made over the past 10 years, but also identified a number of challenges including the heavy reliance on development partners for funding as a result of inadequate resource provision from the African Union and Member States; the need for greater awareness and advocacy of NEPAD as the flagship development programme of

<sup>106</sup> The Communiqué issued at the end of the Seventeenth Summit of the Committee of Heads of State and Government participating in the APRM on 17<sup>th</sup> July 2012 noted the need to fast-track the issue of integration of the APRM.

<sup>107</sup> 'Governance Cluster of the Regional Coordination Mechanism Annual Progress Report 2012,' presented at the 13<sup>th</sup> Session of the Regional Coordination Mechanism of United Nations Agencies and Organizations working in Africa in support of the African Union and its NEPAD Programme (RCM-Africa), Addis Ababa, 14-15 November 2012.

the African Union; the lack of standard operating procedures hindering implementation of regional programmes and projects; the negative impact of the Euro zone crisis; and the need to strengthen coherence, coordination and consultation between the African Union Commission, the NPCA and RECs.<sup>108</sup>

**UNDP provided support to strengthening capacities of the Pan-African Parliament, which is still on its way to gaining political relevance and powers. UNDP also made small but useful contributions to enhance the capacity of subregional parliamentary forums to discuss policy issues.**

UNDP assisted the Pan-African Parliament in its advocacy work leading to the ratification of the ‘African Charter on Democracy, Elections and Governance,’ and this is a commendable achievement. However, it has not achieved much success in other work with the Pan-African Parliament which, since its establishment in 2004, has battled to convince its constituents and stakeholders of its relevance, given its limited powers. Structural problems within the organization make it particularly difficult for it to absorb development assistance. UNDP began drafting a framework for long-term support to the Pan-African Parliament that should go some way towards providing coherent and effective support.

The governance team, in collaboration with the poverty and MDG team engaged the SADC Parliamentary Forum and national parliaments (Ethiopia, Lesotho, Namibia, South Africa and Zimbabwe) in policy dialogue and practical guidance on the role of parliamentarians in monitoring and oversight of the MDGs, and mainstreaming a human rights-based approach. Results from South Africa were encouraging

and a report prepared by parliamentarians on the MDGs was formally adopted by the Joint Sitting of the National Assembly and the National Council of Provinces. The EAC legislature was exposed to similar awareness and guidance on MDGs and human rights.

In West Africa, UNDP sought to strengthen the role of parliamentarians in crisis prevention and recovery and, in 2010, hosted a regional seminar of 13 parliaments of ECOWAS Member States, and key international and regional organizations. Since the seminar, Togo and Guinea-Bissau have piloted a self-assessment tool developed by UNDP for parliamentarians in the field of crisis prevention and recovery.<sup>109</sup> UNDP was reported to be collaborating with the ECOWAS parliament to identify areas of support and joint activities to enhance its role in the prevention of conflict and violence in the subregion. The evaluation found no evidence on results achieved since the self-assessments or UNDP’s plans for working with the ECOWAS parliament.

**The regional programme made little progress in generating greater popular awareness of the plans and activities of the RECs despite the stated intentions of the programme in this regard.**

While there is awareness of the APRM and NEPAD, especially among CSOs and parliamentarians, the general population are less aware of the RECs and their activities. Many people on the continent do not understand how the African Union works and Africa Day passes unnoticed in many African countries. UNDP supported the African Union Commission to develop the African Union communication strategy for governance, which is yet to be operationalized. The evaluation could find no evidence of UNDP

<sup>108</sup> NEPAD Planning and Coordinating Agency, ‘The New Partnership for Africa’s Development, NEPAD Agency 2011 Report,’ Johannesburg, 2012.

<sup>109</sup> Baker, T., ‘Global Programme for Parliamentary Strengthening III: Evaluation Report,’ May 2011.

support to the RECs to raise public awareness about their plans and activities.

**UNDP contributed to strengthening the capacities of regional organizations and structures in promoting the rule of law and human rights. The results were at an early stage.**

During the period under review, the regional programme provided technical and financial support to the African Union Commission to develop the ‘Human Rights Strategy for Africa’ to accelerate the implementation of the ‘African Charter on Human and People’s Rights’ which came into force in 1986. The Strategy serves as the framework to guide collective action by the African Union, RECs and Member States aimed at strengthening the African human rights system. It was adopted by the African Union and RECs in 2011, and is accompanied by an implementation plan. It was too early to assess the results of the strategy. UNDP also supported the African Union Commission to compile a compendium of human rights instruments.

At the national level, UNDP supported the strengthening of national human rights institutions. Working in collaboration with the Network of African National Human Rights Institutions, UNDP supported capacity assessments of national human rights institutions in Ethiopia and Malawi in 2011. Recommendations emerging from these assessments were being incorporated into existing UNDP country office programmes. This work forms part of the global human rights strengthening programme that is implemented in partnership with the Office of the High Commissioner on Human Rights (OHCHR). UNDP supported the review of the ‘Tanzanian Human Rights Action Plan’ and the ‘Training Manual on Human Rights Based Approaches (HRBA)’ by the Kenya

Commission on Human Rights. The regional governance programme supported civil society (the Swaziland Bar Association) by providing technical support for effective engagement with the government on human rights issues. To strengthen HRBA at the country level, the programme trained staff from 15 UNDP country offices on how to apply HRBA. Discussions at the training session highlighted the low priority given by country offices to human rights and the challenges faced by programme staff in mainstreaming human rights.<sup>110</sup>

The regional programme’s work in the area of the rule of law was in an early stage. It contributed to the global mapping on the rule of law and access to justice, and the impact of UNDP support on social, economic and political justice. Access to justice activities only began in 2012 and included technical support to the Southern Africa Chief Justices Forum to produce an outcomes-oriented programme of work; development of a transitional justice policy framework for the African Union Commission; and exploring the use of ICT to broaden access to legal reference materials to civil society and judicial structures.

**CODIFYING AND SHARING BEST AFRICAN PRACTICES IN GOVERNANCE**

**Outcome 11:** Better understanding, codifying and sharing best African practices in governance

The activities of this outcome focus on strengthening African governance institutions, think tanks and networks; developing platforms for sharing information and knowledge; and developing and/or enhancing governance assessment tools. A significant proportion of the activities undertaken were done in partnership with

<sup>110</sup> UNDP, ‘Eastern and Southern Africa Regional Democratic Governance Programme 2011: Highlights and Results,’ no date.

UNECA and in collaboration with the African Union Commission.

### **Relevance**

**The regional governance programme was highly relevant in its support to strengthen governance knowledge management in Africa as a vehicle for promoting good governance.**

The regional programme responded to regional priorities for access to knowledge of good practices and experiences to assist with the implementation of the governance agendas at national, subregional and regional levels. One of the core values of the African Union, NEPAD and the RECs is that of African ownership and leadership of the governance agenda of the continent. To lead the governance agenda, Africa needs to strengthen its knowledge base, drawing on the experiences and insights of national, regional and continental institutions. The experiences, models and practices from countries in other regions are not always relevant for the African context, hence the strong desire from African institutions to develop African models and practices, and learn from African experiences. Knowledge management strengthens the capacities of African institutions and ensures the sustainability of development results.

### **Effectiveness**

**The regional governance programme contributed to strengthening the body of knowledge on governance in Africa and facilitated sharing of knowledge that was being generated. There was evidence that UNDP made positive contributions to the codification and sharing of good governance practices in Africa, using African expertise and think tanks.**

UNDP contributed to the codification and sharing of African practices in governance through support to the Africa Governance Report and the Africa Governance Forum (AGF). Working in partnership with and led by UNECA, 40 country reports were completed and consolidated in the ‘Africa Governance Report III,’ to be published and launched in the first quarter of 2013. This was the first time UNDP had worked with UNECA on the report, and it oversaw the completion of 24 country reports. UNDP was responsible for providing technical inputs on terms of reference and draft reports, in addition to contracting and engaging with the research institutions to draft the country reports. Importantly, UNDP engaged African institutions to prepare the country reports.<sup>111</sup>

**The theme of the Eighth African Governance Forum (AGF VIII), ‘Democracy, Elections and the Management of Diversity in Africa’, mirrored the theme of the ‘Africa Governance Report,’ thus creating a good synergy between these two important activities of the regional governance programme.**

The AGF was initiated in 1997 as a policy dialogue forum to bring together African leaders, civil society, think tanks, cooperating partners and the private sector to discuss particular issues or themes to promote or advance good governance in Africa. AGF VIII was held in October 2012 in Botswana, with UNDP as the lead organization, in partnership with UNECA and collaboration with the African Union. The theme of the Forum - ‘Democracy, Elections and the Management of Diversity in Africa’ - resonated with, and reinforced UNDP’s support to the African Union in promoting the ‘Shared Values Agenda’ and the

<sup>111</sup> Some of the African research institutes include: Botswana - Botswana Institute for Development Policy Analysis (BIDPA); Burkina Faso - Centre for Democratic Governance (CGD); Cameroon - *Centre d'Etudes et de Recherches en Economie et Gestion* (CEREG); Egypt - Ibn Khaldun Centre for Development Studies (ICDS); Kenya - Institute of Development Studies (IDS); Lesotho - National University of Lesotho, Department of Political and Administrative Studies; Mauritius – STRACONSULT; Nigeria - Center for Democratic Development; South Africa – Institute for Democracy in Africa (IDASA); and Togo - *Faculté des sciences économiques et de gestion* (FASEG).

'African Charter on Democracy, Elections and Governance.' UNDP prepared the main background paper for AGF VIII and supervised the preparation of issues papers on gender and youth (which had been discussed at the preparatory forums held in 2011). Approximately 300 participants from government, civil society, RECs, international and regional think tanks, and development partners from 30 countries covering all subregions in Africa attended the Forum.

A number of recommendations aimed at national governments, the African Union and RECs, the United Nations and development partners, civil society, and electoral management bodies came out of the AGF VIII. These recommendations were outlined in the 'AGF VIII Outcome Statement' which was widely disseminated throughout the Forum's participating countries, the African Union Commission, the African Governance Institute (AGI), and the UNDP and UNECA websites. The recommendations are not binding as they emerged from a policy dialogue. Some stakeholders have taken up AGF recommendations. For example, AGF VI focused on the APRM and recommended refinement of key instruments. The APRM questionnaire has since been revised with support from UNDP, UNECA and AfDB. It would be useful for UNDP to track the uptake of these recommendations more systematically as this will provide an indication of how the AGF is influencing policy at national, subregional and regional levels. Although the AGF has been in existence for over 10 years, its potential had not been fully exploited since it is not fully institutionalised into the UNDP governance programme. In the past the AGF was treated as an event, rather than as a deliberate process to influence and drive transformational changes in governance on the continent. Plans to have a biennial AGF have been thwarted at least in part by the lack of dedicated resources and it has not attracted any level of interest from the private sector.

There is some synergy between the APRM, the 'Africa Governance Report' and the AGF, as vehicles for promoting good governance. Issues that emerge through the country assessments processes of the APRM are also picked up in the 'Africa Governance Report' process. The AGF and 'Africa Governance Report' could serve as vehicles advocating for more countries to accede to the APRM. In 2012, the African Union Commission launched, with UNDP support, the African Governance Platform, designed to be coordinating arm of the African Governance Architecture. The role of the platform is to facilitate information flow and exchanges between African governance actors. Synergies could be exploited in the future between the APRM, 'Africa Governance Report', the AGF and the Africa Governance Platform.

**UNDP helped to establish the AGI, but financial support to building the capacity of the Institute was delayed as a result of problems with funding modalities.**

AGI was established in 2009 as a result of discussions between UNDP and the African Union in 2003. The objective was to establish a centre of excellence that conducts cutting-edge research on governance and serves as a centre for high-level political dialogue on governance in Africa. UNDP has been an institutional partner of AGI and serves on the governing board. Although UNDP did not provide financial support in 2010 or 2011, the Dakar Regional Service Centre provided technical support through a series of workshops. In 2012, especially in the latter part of the year, UNDP's financial and technical support increased. This financial support enabled AGI to implement capacity development initiatives, such as a study tour and training on public administration reform for 20 non-state actors and representatives of public institutions from Portuguese-speaking and ECOWAS countries and a capacity development initiative on domestic resource mobilization for 40 non-state actors

from ECCAS and CEMAC countries, as well as Ghana and Nigeria. AGI also partnered with UNDP and the African Union Commission to organise policy dialogues, for example, a technical workshop on statistical governance and conflict prevention, peace and security in Africa. Participants in AGI's capacity-building initiatives have been predominantly from the West and Central African subregion, though there are plans to extend sessions to the East and Southern Africa subregion. At the time of the evaluation, no memorandum or letter of agreement governing the relationship and facilitating the flow of funding, existed between AGI and UNDP.

**The APRM process and reports have generated a wealth of information on governance practices in participating African countries and, with UNDP's support, these experiences have been used to enhance the APRM process and tools. Improvements in monitoring and reporting on national action plans still have some way to go.**

The original questionnaire for the APRM process was revised following concerns of Member States over the difficulty in using the instruments. Revisions were also necessary to fill gaps in, for example, environmental concerns, management of extractive industries and governance of civil society. The revised questionnaire was presented and adopted at the APR Forum in July 2012, making it too early to comment on the effectiveness of the revisions. Monitoring the implementation of national action plans is one of the major challenges with the APRM. The APRM Secretariat is designing an M&E system, but given its capacity constraints, this will stretch the capacity of the Secretariat.

In addition to reporting on governance in a particular country, the APRM reports are also

a means for identifying and sharing knowledge of good practices. However, APRM requires a sound knowledge management strategy to ensure easy access and effective dissemination to the reports. The APRM Secretariat identified the need to improve its knowledge management and, in response, UNDP provided support to recruit experts to assist with the preparation of the ten-year anniversary of the APRM. This includes revamping of the website and its documents, with the view to increasing their use for knowledge sharing.

There are other governance assessment tools used in Africa, for example, the Mo Ibrahim Governance Index, the Bertelsmann Transformation Index, the Harvard Africa Governance Index and the Afrobarometer.<sup>112</sup> The UNDP Oslo Governance Centre also supports countries to conduct governance assessments, and develop guidance and tools on governance indicators. The Centre supported governance assessments in Angola, Malawi, Nigeria and Senegal, through the Dakar Regional Service Centre. While these governance assessments each have their own methodologies and approaches, there is potential to learn lessons from these to enhance the APRM and for the APRM to in turn enhance these tools. From the available evidence, it appeared that the regional governance programme and the global programme on governance assessments had not actively sought to exploit potential synergies.

## SUSTAINABILITY

**The results of some interventions in this focus area had good prospects for sustainability, while in other instances the results were fragile. Insufficient attention was given to exit strategies.**

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<sup>112</sup> Graham, P., Gilbert, S. and Alexander, K., 'The Development and Use of Governance Indicators in Africa: A research overview,' Institute for Democracy in Africa (IDASA), December 2010.

NEPAD and the African Union had strong ownership and leadership of the APRM and, even though the implementation of national plans was slow, it was likely to continue as a continental initiative for the foreseeable future, with more countries acceding to the APRM. The APRM process has now been replicated in a number of countries and improves with each replication.

There are good prospects for the sustainability of results in the area of elections and electoral management at the country level, as the electoral cycle approach builds in an element of sustainability. Although the regional governance programme has contributed to increasing the number of trained elections observers for the African Union, the number of trained observers cannot be increased significantly without mobilization of additional resources by the African Union.

The regional governance programme has sought to enhance the sustainability of results by strengthening knowledge on governance in Africa and facilitating the sharing of that knowledge through African institutions. In so doing, it has sought to strengthen African ownership of the governance agenda. Knowledge platforms, such as the AGF, serve to enhance the programme's sustainability of results.

The absence of sufficient capacity within the African Union Commission to institutionalise support presents a general challenge to the sustainability of results. The African Union Commission and NEPAD's dependency on donor funding for its programmes also posed a challenge.

Achieving sustainable results at the level of the RECs was a challenge, as most of these institutions lack the necessary core capacity to fully utilise the support provided by donors and UNDP. That the African Union does not control the regional economic institutions, even though the latter are considered the 'building blocks' of the African Union, is also a factor. It was

therefore difficult for the regional governance programme to build and exploit potential synergies between its support to the African Union and its support to the RECs on a particular issue, for example, implementation of the 'African Charter on Public Service and Administration.' The RECs rarely participate in the governance cluster of the African Union's regional coordination mechanism, creating further difficulties to build synergies and enhance the prospects for sustainable results.

The regional governance programme did not give appropriate attention to exit strategies and, although the programme document makes reference to in-built exit strategies, these were not developed.

### **3.3 CONFLICT PREVENTION, PEACEBUILDING AND RECOVERY**

The third focus area of the regional programme - conflict prevention, peacebuilding and economic recovery - includes two key results areas and four outcomes. There is a lack of clarity in the design of this component of the programme. Two separate interventions address related issues of peace and security, but are linked to different outcomes in different key results areas, and a third, addressing crises of both human and natural origin, is linked to three of the outcomes and both results areas. This latter intervention, approved in 2010, only began in mid-2012 so there is very little to evaluate. Given the limited number of interventions and the interlinked outcomes, this section will examine relevance, effectiveness and sustainability for the focus area as a whole.

**Outcome 12:** More effective regional institutions for crisis prevention

**Outcome 13:** Effective regional mechanisms for disaster preparedness & response

**Outcome 14:** Greater responsiveness to, and sustainable recovery from, crisis

**Outcome 15:** Human Security Enhanced

### **Relevance**

The regional programme responded to the need of the African Union Commission to be able respond to and manage conflicts on the continent by supporting the African Union peace and security agenda. The programme also responded to the need to strengthen capacities at the regional and subregional level to manage and reduce the proliferation of small arms and light weapons.

Peace and security has been a high priority for the African Union, as reflected in its Strategic Plan 2009 - 2011. Peace is seen as essential if Africa is to achieve its development ambitions and, although the continent is relatively more peaceful than it was 10 years ago, there are still conflicts that delay or undo the development gains. New conflicts have emerged, for example in Mali, while others such as the eastern part of the Democratic Republic of Congo have resurfaced. These conflicts are often fuelled by illicit small arms and light weapons that are transported across borders, and have devastating consequences for civilians and the development of these countries. A number of regional protocols exist designed to limit the circulation and trafficking of small arms and light weapons, but capacities in the regional institutions to implement them are not adequate for the scale and complexity of the task. Challenges facing regional institutions include lack of technical and institutional capacity; ineffective border management; and limited cooperation between regional institutions and national institutions to combat the proliferation of small arms and light weapons.

Issues of peace and security are politically sensitive as they touch on matters of sovereignty, trade, resources, etc. UNDP has the comparative

advantage of political neutrality enabling it to work with the African Union Commission to strengthen its peace and security capacity. In addition, the transboundary nature of illicit trade in small arms and light weapons require a regional approach.

**The intended support to strengthen capacities for disaster risk reduction was in line with the Africa Regional Strategy for Disaster Risk Reduction.**

Disasters in Africa are increasing in frequency and undermine Africa's prospects of achieving the MDGs. In 2004, the African Union Assembly endorsed the Africa Regional Strategy for Disaster Risk Reduction and, in 2005 adopted a programme of action to implement the Strategy. In 2010, the programme of action was extended to 2015 and aligned with the globally mandated Hyogo Framework of Action. The RECs are at various stages of developing their institutional frameworks for implementation of the regional strategy. As disasters occur independently of national borders, a regional approach to strengthen capacities for disaster risk reduction is relevant.

### **Effectiveness**

**The regional programme emphasized institutional capacity development in its support to strengthen the African Union's capacity to perform core functions in the area of crisis prevention. Some results were achieved, but the capacity of the Peace and Security Department still needs to be developed and understaffing may be a chronic problem.**

Since 1997, UNDP has supported the peace and security agenda of the African Union by focusing on developing sustainable institutional capacity within the African Union Commission to implement its peace and security agenda. Although previous support to the African Union was evaluated as having yielded some positive results, the capacity development objectives were found to

be too ambitious for the time frame. The project under the current regional programme therefore sought to further the capacity development initiated under the previous programme, working with bilateral partners including, Canada, Germany, Japan, the Netherlands, Norway, Spain, Sweden and the United Kingdom. The European Union was a main development partner for the African Union Commission. Project implementation began in January 2010.

UNDP has contributed human resources, technology and systems to enable the African Union's Peace and Security Department to perform its core functions. However, progress still needs to be made in developing the Department's capacity. Through the previous programme of support from UNDP, a core of critical staff were secured in the Peace and Security Department to enable it to carry out its core functions. Under the current project, there was greater emphasis on developing institutional capacity. UNDP supported the Peace and Security Department improve its strategic planning and review its internal work processes, and staff received training in technical areas, for example, political analysis and report writing, and conflict resolution, mediation and negotiation. UNDP also strengthened the information technology capacity of the department and its access to research and resource materials to carry out its core functions effectively. For example, UNDP supported the upgrade of the VSAT/Earth Station equipment used by the early warning system that forms part of the African Peace and Security Architecture. The Peace and Security Department's limited capacity remained a challenge and the small staff core was stretched. According to internal and external observers, the number of staff in the Department did not match the increasing demands and expanding mandate of African Peace and

Security Architecture. The Department will therefore be chronically understaffed.<sup>113</sup>

**UNDP support to operationalize the African Union African Peace and Security Architecture was beginning to yield results.**

The Situation Room is the key element of the Continental Early Warning System for monitoring and analysing data transmitted by the RECs. It is able to provide coverage of conflict (actual and potential) across the continent 24 hours a day, 7 days a week. UNDP's support to upgrading skills in technology and political analysis contributed to strengthening surveillance, analysis and reporting capacity. The Situation Room produces daily summaries and updates which are then shared with the Peace and Security Council of the African Union. For the Continental Early Warning System to be effective, the RECs should establish and harmonise their own early warning systems with that of the Continental Early Warning System. UNDP supported exchanges between the African Union Commission, ECOWAS and IGAD on their early warning systems, which are said to be more advanced than those of other RECs, such as ECCAS.<sup>114</sup>

**Regional programme support, through both the peace and security and the human security projects, enabled the African Union to begin operationalizing aspects of the Common African Defence and Security Policy but implementation was slower than expected.**

The regional programme provided support to the African Union-Regional Steering Committee on Small Arms and Light Weapons. Experts were hired to provide policy guidance; advise on the draft African Union strategy on small arms

<sup>113</sup> Mudho, B., Koerner, M. and Atta Mills, C., 'Support for the implementation of the Peace and Security Agenda of the African Union, Project No. RAF/02/018: Terminal Evaluation,' no date.

<sup>114</sup> Valerie, V.M., Pirozzi, N., and Schafer, K., 'Towards a strong Africa-EU cooperation on Peace and Security: The role of African Regional Organizations and Civil Society,' IAI Working Papers 12/28, October 2012.

and light weapons and an action plan; organise sessions on results-based management as a foundation for developing the action plan; and provide operational support to convene Steering Committee meetings. The African Union Strategy on the Control of Illicit Proliferation, Circulation and Trafficking of Small Arms and Light Weapons was adopted at a meeting of experts from Member States in September 2011 in Lome (Togo). The regional programme also supported the Peace and Security Department collect information and documents on African boundaries as a step towards establishing the African Union Boundary Information System.

**Shifts in the donor environment and capacity constraints within the Peace and Security Department were among the factors affecting the achievement of results.**

UNDP did not succeed in achieving coherent funding mechanisms for the African Union peace and security agenda, one of the project's intended outputs. One of the strengths of the preceding project had been its ability to mobilise resources from bilateral donors, on behalf of the Peace and Security Department and support it in the coordination of donor support. However, under the current project, UNDP did not mobilise resources for the project or enhance the coherence of funding mechanisms. Bilateral donors stopped pooling their funds through UNDP when the previous project ended, instead choosing to set up a technical assistance basket fund. As a result of this shift, UNDP had been unable to mobilise the funds to complement its own funding, resulting in a USD 7.4 million funding gap. UNDP does not have a mandate to coordinate bilateral support as this ultimately is the responsibility of the African Union, increasing the risk that support to the Peace and Security Department become increasingly fragmented. Interviews with selected officials the African Union Commission, showed that UNDP procurement procedures were found to be cumbersome and that officials would prefer to manage funds directly.

Funding of the African Peace and Security Architecture (and the African Union in general) was under review by the new Chairperson of the African Union Commission, who expressed concern over the dependency of the African Union on donors. It was understood that UNDP had been requested by the African Union Commission to assist with the development of strategies for local resource mobilization.

**At the subregional level, the regional programme made a good start towards enhancing capacities to control small arms and light weapons. Owing to the short period in which activities were implemented, however, only some progress was made in delivering the ambitious intended outputs. Procedures within the RECs also slowed implementation. Nevertheless, there were good elements from the work initiated that could be taken forward in the future.**

The regional programme implemented activities to strengthen the capacities of the four participating RECs to enhance human security, but these have not progressed sufficiently to yield results. UNDP also sought to conduct capacity needs assessments in the four RECs to implement the African Union action plan on small arms and light weapons. As this involved procedures and protocols of four regional economic institutions and the African Union Commission, the needs assessments proceeded slower than expected. Consultations were required on the approach and methodology, and a formal notification of the process had to be made by the African Union Commission before work could commence. Two capacity needs assessments (ECCAS and EAC) were completed by June 2012. The status of the two remaining capacity needs assessments was unclear, as the project had been held in abeyance pending a decision on its future. UNDP co-sponsored a regional knowledge sharing seminar on effective and promising practices to reduce armed violence in West Africa with government and civil society participants from the 15

ECOWAS Member States. A dedicated space was established to promote knowledge management and knowledge sharing on Teamworks.

**The regional programme helped the African Union to develop a border management strategy but fell short of achieving effective enforcement of international agreements for the management and control of cross-border arms trade.**

UNDP jointly organised a workshop with the African Union Border Management Programme to map border security, and design a strategy and curriculum for enhancing border management in Africa. It also supported the Peace and Security Department to collect information and documents on African boundaries, as a step towards establishing the African Union Boundary Information System.<sup>115</sup> Experts in small arms and light weapons and border management from the African Union and the RECs, as well as international experts, participated in the workshop. The African Union developed a draft strategy on border management which was under discussion in the African Union Commission. UNDP also supported the development of training modules for personnel involved in enforcement of international agreements on cross-border trade. The African Union Commission was reviewing these modules for submission to the African Union for formal approval. UNDP formulated a pilot initiative on border management for West Africa, to address the flow of small arms and light weapons arising from the Libyan crisis. The project was not completed as the human security project did not continue its activities.

**There was evidence that UNDP enabled two RECs in post-conflict settings to develop**

**regional frameworks for United Nations Security Council Resolutions S/RES/1325 (2000) on women, peace and security and S/RES/1820 (2008) on conflict-related sexual violence.**

UNDP and other United Nations entities supported ECOWAS to review the progress made in implementing these two resolutions and to develop a regional action plan to accelerate their implementation. ECOWAS developed a regional action plan, the 'Dakar Declaration,' that was adopted by Member States in September 2010. Regional and national plans should be mutually reinforcing and one of the benefits of a regional plan is that it can advocate for the adoption of normative frameworks that individual Member States might not adopt of their own accord.<sup>116</sup> UNDP supported the development of national action plans. However, only nine African countries had developed national action plans, seven of which had been completed during or before 2010. Two national action plans were completed in 2011 (Guinea and Senegal).<sup>117</sup> In 2011, the regional gender project supported the gender unit of the International Conference of the Great Lakes Region (ICGLR) to convene a high-level regional consultative meeting on the implementation of the United Nations Security Council Resolutions. This culminated in the adoption of the 'Kampala Declaration' by Heads of State at a special session on sexual and gender-based violence in December 2011.

UNDP also undertook research, through the human security project, on gender aspects of small arms and light weapons, focusing on gender-based violence in 2011. The work was done in partnership with the International Action Network on Small Arms (IANSA) and

<sup>115</sup> Through the 'Support for the implementation of the peace and security agenda' project.

<sup>116</sup> Olonisakin, F., 'Ten years since United Nations Security Council Resolution 1325: Envisioning its impact on African Women in 2020,' Background paper for ACCORD Seminar, Durban, South Africa, October 2010.

<sup>117</sup> Make Every Woman Count, 'African Women's Decade: Review 2010-2020, Annual Review 2012,' website: [www.makeeverywomancount.org](http://www.makeeverywomancount.org).

covered nine pilot countries. The research was reviewed by government and civil society participants from the pilot countries, IANSA and the African Union Commission's Peace and Security Department in April 2012, and a working paper and 10 point agenda action plan were developed. Information on the current status of the research was not available to the evaluation team.

**The support to disaster risk reduction under the regional programme had hardly started, and it was too early to assess its effectiveness.**

UNDP, principally through BCPR, had been providing support to disaster risk reduction across the African continent throughout the programme period. However, at the time of the evaluation, regional programme activities in the area of disaster risk reduction were just beginning, and it was too early to assess results of these interventions.

## SUSTAINABILITY

**While UNDP helped to advance the African Union's peace and security agenda, including in the area of control of small arms and light weapons, the future role of UNDP among the African Union's partners in this area appeared unclear and sustainability was not assured.**

There is a strong 'stated ownership' of the peace and security agenda by the African Union, but this is not matched by a strong financial commitment from Member States. The African Union Peace and Security Architecture and the Peace and Security Department are highly dependent on external funding provided by bilateral and multilateral donors, for example, the European Union. UNDP's financial contribution is relatively small and the sustainability of the results from the UNDP project depends on a large extent on the bilateral and multilateral donors

that are supporting the African Union Peace and Security Architecture.

The prospects for sustainability of the results of the human security project were moderate. Implementation began in May 2010, and results of the activities that the project had implemented were only beginning to emerge. At the time of the evaluation, there were no activities being carried out to nurture these early results and the partnerships that had been built over the past two years. The project's exit strategy has not been implemented. RBA, as part of its deliberations to reposition its partnership with the African Union and consolidate its support to the African Union peace and security functions, had decided that the human security project would not continue in its current form.

As the work on disaster risk reduction had only just begun, it was too early to assess sustainability.

## 3.4 ENERGY, ENVIRONMENT AND SUSTAINABLE DEVELOPMENT

The fourth focus area of the regional programme relates to one key result area - mainstreaming environment, energy and climate change - with two outcomes. Two regional initiatives, one on energy, and one on environment and climate change issues, were designed to achieve these two outcomes. As one of the interventions was designed to contribute to both outcomes, this section will analyse relevance, effectiveness and sustainability for the focus area as a whole. Efficiency will be covered in a section on overall programme efficiency.

**Outcome 16:** Enhanced capacities of regional and subregional institutions to deliver both environmental and energy services

**Outcome 17:** Participation of African governments in environmental finance<sup>118</sup>

### Relevance

**The regional programme's support to mainstreaming energy, environment and climate change into the development processes of the continent, addressed relevant emerging global, regional and national issues.**

Although Africa has experienced considerable improvement in its economic development in recent years, progress continues to be threatened by low levels of access to sustainable energy, continued and in some cases increasing loss of ecosystems, and the negative impacts of climate change.

Energy poverty in sub-Saharan Africa is one of the biggest challenges to achieving sustainable development and the MDGs. Despite the continent's vast energy resources, it is estimated that one out of two residents of sub-Saharan Africa, and as many as nine out of ten in rural regions, do not have access to modern energy sources. Without access to affordable and sustainable energy, rural communities in Africa will not be able to improve the production of goods and services and enhance their economic well-being. As a result, poverty will remain an endemic problem. The regional programme support to enhance the capacities of regional institutions to deliver energy services responded to NEPAD's programme of action for energy, which seeks to achieve universal access to sustainable energy on the continent by 2040. The programme was also aligned with the ECOWAS 'White Paper for a Regional Policy' on increasing access to energy services. The White Paper was developed with support from UNDP under the previous regional programme and approved in 2006. The EAC energy access

strategy was then approved by EAC Ministers of Energy in 2007. The regional programme also continued to build on the multifunctional platform (MFP) approach, initially piloted by UNDP and the United Nations Industrial Development Organization (UNIDO) in the mid-nineties. The approach is now implemented in several countries (primarily ECOWAS Member States) and benefits rural women in particular.

With respect to the environment, the 'Millennium Assessment Report 2005' pointed to the widespread destruction of Africa's ecosystems due to unsustainable use by human beings. The destruction of ecosystems compromises human well-being, especially that of the continent's poor who depend on natural resources capital for their survival. The consequences of the human dimension of ecosystem losses are compounded by the predicted adverse impacts of climate change on human health, agricultural production and water availability. Although international mechanisms have been put in place to finance response strategies to the impacts of climate change through multilateral frameworks such as the United Nations Framework Convention on Climate Change (UNFCCC), due to limited human capacity, African countries have generally failed to take full advantage of these facilities. The regional programme supported initiatives that were aligned with the programmes of action of the African Union, RECs and NEPAD in promoting sustainable the use of natural resources as strategies for poverty alleviation. The programme also supported initiatives that were aligned to the UNFCCC Bali Road Map, and sought to address a range of additional issues including enhancement of African capacities for participation in the post-Kyoto climate change regime and negotiations for increased carbon/environment financing.

<sup>118</sup> This second outcome does not appear in Atlas. There are two main interventions in this focus area, one focusing primarily on energy, contributing to outcome 16, and one focusing on environment and climate change issues, including some energy issues, which contributes to both outcomes, according to the project documents.

## **Effectiveness**

**The regional programme built on the foundation laid under the previous programme to enhance the capacities of ECOWAS to implement its energy-access framework and to assist member countries to implement the regional energy policy.**

The regional energy project for poverty reduction was developed to work with the RECs to formulate and accelerate the implementation of subregional energy policies, to scale-up delivery of energy services and adapt technologies, create a favourable environment for investment in the energy sector and complement capacity development initiatives for regional energy trade arrangements across the African continent.

The regional programme helped ECOWAS progress towards achieving the objectives set out in its 2006 White Paper. At the end of 2009, ECOWAS established the ECOWAS Centre for Renewable Energies and Energy Efficiency (ECREEE).<sup>119</sup> The ECREEE Secretariat was inaugurated in mid-2010 and has increased the attention given to renewable and alternative energy sources. The regional programme supported an assessment of the status of renewable energy forms in the ECOWAS region, which indicated that an annual investment of USD 4.6 million would be required to achieve universal access to electricity, cook stoves and renewable energy for all ECOWAS citizens by 2030.<sup>120</sup> The regional assessment was followed by national assessments in all 15 ECOWAS Member States, which resulted in the development of national road-maps for accelerating the development of renewable energies and energy efficiency measures. National bioenergy assessment studies have been conducted with support

from the regional programme in some Member States. The study for Guinea, for example, includes a National Biofuels Development Plan, as well as a National Priority Biogas Programme.

The regional programme also supported the establishment of national multi-sectoral groups in Burkina Faso, Côte d'Ivoire, the Gambia, Guinea, Liberia, Niger, Nigeria, Senegal, Sierra Leone and Togo, in order to promote multi-sectoral and multi-dimensional dialogue on energy access with a view to contributing to inclusive and equitable growth, in line with the ECOWAS policy framework. As a result of these dialogues, national investment programmes for energy access have been developed in Cote d'Ivoire, the Gambia, Guinea and Senegal.

**Piloting and scaling-up of decentralized and locally managed energy services delivery models - the MFPs – increased the access of rural populations to energy and led to the development full-fledged national MFP programmes.**

Pilot MFPs were first implemented in Mali, Burkina Faso and Senegal, and are being scaled-up to cover other countries in West Africa (Cote d'Ivoire, the Gambia, Guinea, Niger, Nigeria, Sierra Leone and Togo). According to the regional project 'Annual Report 2011,' more than 3.3 million rural dwellers, the majority of whom are women, were benefiting from a range of energy services provided through the 2024 MFP enterprises in eight West African countries.<sup>121</sup> Senegal and Guinea have drafted full-fledged national MFP programme documents. In Guinea the new programme is fully aligned with the national investment programme for access to energy services adopted by national

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<sup>119</sup> With support from the Austrian Development Cooperation, UNIDO and the Government of Cape Verde. The Spanish Agency for International Development Cooperation became a major ECREEE partner in 2010.

<sup>120</sup> UNDP, 'Regional Energy Project for Poverty Alleviation, Annual Report,' Dakar, 2011.

<sup>121</sup> Ibid.

stakeholders in December 2011. The full implementation of these two programmes will provide access to modern energy services to 2.7 million people in 1800 rural communities of Guinea and Senegal by 2017. Regional support was also being extended to Mali and Mauritania, as well as the Gambia where the MFP based system is to be transferred to five villages. The regional programme promoted inter-country collaboration, for example, by consulting with the Senegal MFP programme for future hands-on trainings for the Gambia.

**The regional programme had only limited success in enhancing capacities of the other RECs, but results in the ECOWAS region were generating interest.**

The regional programme had little engagement with other RECs and, therefore, little impact on their development of capacity in the area of energy. However, results in the ECOWAS region were generating interest in other regions. CEMAC requested support from the regional programme, and, building on the ECOWAS experience, UNDP supported the implementation of the CEMAC roadmap for the formulation of a regional White Paper on access to energy services. The concept note for the White Paper states that while energy is included in the national development plans of Member States, the relationship between energy and poverty is not made explicit. CEMAC has decided to formulate, with the support of UNDP, a community energy policy under the energy pillar of its regional economic programme. The policy will include a strategic plan for improving access to energy in order to reduce poverty, in line with CEMAC's overall objective of reducing the

poverty incidence from 53 percent to 25 percent by 2025.<sup>122</sup> At a regional validation workshop in 2012, the ECCAS representative indicated that the formulation of the White Paper could extend to include, in addition to the six members of CEMAC, the other members of ECCAS.<sup>123</sup>

ECOWAS and ECREEE programmes and events were contributing to and gaining visibility through the Secretary-General of the United Nations global initiative on Sustainable Energy for All (SE4ALL), launched in 2011, and which 26 African countries had joined.<sup>124</sup> The regional programme contributed to the establishment of baselines called for by SE4ALL, through support to Botswana, Côte d'Ivoire, the Gambia, Guinea, Lesotho Namibia, Nigeria, Senegal, South Africa, Tanzania, Togo and Zimbabwe to conduct national assessments and gap analyses. These assessments determined the level of progress towards achieving access to energy services at the national level, and identified the primary actions required and support needed for countries to achieve SE4ALL targets by 2030. UNDP country offices supported another four countries, bringing the total of country-based gap analyses to 16. The inclusion of countries in East and Southern Africa in these assessments provided an opportunity for the regional programme to spread its operational focus beyond the ECOWAS region, and contacts had been established with relevant officials at both the EAC and the SADC Secretariat with a view to developing programmes in these regions.

**The regional programme contributed to strengthening knowledge management, experience sharing and South-South cooperation in the area of energy to some extent.**

<sup>122</sup> CEMAC, *'Formulation d'une politique énergétique communautaire pour l'accroissement de l'accès aux services énergétiques par les populations rurales et péri-urbaines de la CEMAC'*, no date.

<sup>123</sup> Kouo, Dibongue, *'Atelier régional de validation du processus de formulation d'un Livre Blanc pour l'accroissement de l'Accès aux Service Energétiques des populations péri-urbaines et rurales des pays de la CEMAC'*, Douala, 2012.

<sup>124</sup> According to <http://www.sustainableenergyforall.org/actions-commitments/country-level-actions>, accessed 11 January 2013.

The regional programme had been collating, documenting and codifying knowledge and experiences with the implementation of the MFP over the past ten years, including video documentaries which have facilitated communications and knowledge sharing with new programme countries. With support from the Bill and Melinda Gates Foundation, the regional programme, in collaboration with European and African research institutions, conducted impact evaluation studies on the MFPS in the original pilot countries of Burkina Faso, Mali and Senegal.<sup>125</sup> It also supported ECOWAS to develop a regional communication strategy on energy access, and a regional web portal on access to energy services, although the portal was not very active at the time of the evaluation.<sup>126</sup>

**The regional programme strengthened the capacity of African governments to participate in environmental and carbon finance mechanisms, and laid the foundations for delivering environmental services, despite the delay in programme start-up and postponement of activities due to operational challenges in the RECs.**

Regional programme support to environmental services, environmental finance and climate change did not begin until 2010. It has since strengthened the capacity of African participants to engage in climate change negotiations, although this has not yet been translated into results on the ground. African countries have been engaged in international environmental management negotiations, but have generally failed to take advantage of financing facilities available for climate change mitigation activities. Further, the same countries experienced difficulties in

articulating their positions during deliberations at the Conferences of the Parties (COP) due to limitations in negotiation skills. The regional programme helped address these constraints by training over 100 African climate change negotiators. According to the project team, these negotiators showed a higher level of negotiation skills at the COP 17 than was hitherto the case. Results of the COP 18 in Doha suggest that African participation in international climate change negotiations is contributing to shape global governance on climate change. These improved performances in the debates have not yet been translated into concrete results, for example in the form of increased funding for programmes on the ground, but an important foundation is being created, as these skills are linked to overall climate finance readiness.

The regional programme also laid the groundwork for greater participation of African countries in Clean Development Mechanisms (CDMs). The programme organized capacity-building activities on sustainable charcoal, renewable energy technologies, and programmatic CDM activities with 26 African countries and ECOWAS, ECREEE, EAC and SADC. In line with the aim to improve the capacities of designated national authorities to develop and manage CDMs, the regional programme facilitated the funding of two sustainable charcoal projects by the Global Environment Facility (GEF) in Zambia and Uganda. The total budget for these two projects is over USD 50 million. Progress towards the overall intended outcome was reflected in the number of CDM projects submitted for registration. In March 2010, the accumulated total of projects submitted by African countries was 105, but this had increased to 267 by December 2012.<sup>127</sup>

<sup>125</sup> CERDI-University of Clermont Ferrand (France), Institute of High International and Development Studies of Geneva (Switzerland), Gaston Berger University of Saint-Louis (Senegal), and IDR-Polytechnic University of Bobo-Dioulasso (Burkina Faso) and the Rural Economy Institute of Mali.

<sup>126</sup> The regional web portal is available at: [www.energyaccessafrica.org](http://www.energyaccessafrica.org).

<sup>127</sup> Data provided by RBA.

The regional programme also strengthened some regional capacities in natural resource management but the interventions were not part of a coherent overall strategy. It strengthened institutional capacities to manage transboundary water resources in the Okavango River Basin, by bridging funding gaps between the finalization of a Transboundary Diagnostic Analysis, supported by a GEF-financed project which was closing, and the formulation of regional and national strategic action plans for Angola, Botswana and Namibia. According to a review of this component, the regional programme brought a ‘fresh new approach at the right place, at the right time,’ and was an ‘excellent use of resources, strategic, timely (without any delays), catalytic and flexible.’<sup>128</sup>

In the run up to the World Summit on Sustainable Development (Rio +20), the programme also supported regional entities, such as EAC and SADC, to formulate regional positions for tabling at the Summit. The positions that were presented will influence discussions that will shape the nature and future of the MDGs, post 2015. Regional teams also supported country programmes to mobilize GEF resources by contributing to the design of projects.

The regional programme had also started to introduce the concept of ‘payment for ecosystems services’ (PES), but it was too early to assess the effectiveness of the interventions. UNDP supported an African subregional study on PES and established forums for discussion of the concept in all regions. In addition, a programme to pilot PES was initiated through the International Centre for Research in Agroforestry (ICRAF). The concept of PES is new to environmental discourse, so not much had been achieved in terms of results in this area.

## SUSTAINABILITY

**Regional programme contributions in the area of energy are potentially sustainable from institutional, governance and social perspectives, although financial sustainability of the community-level infrastructure is a concern.**

Results of regional programme interventions in the area of energy have been institutionalized at REC and national levels through the development of enabling policy frameworks. These policy frameworks help ensure that the concept will be integrated into regional and national development programmes. If the inclusion of these initiatives, including the MFP, in national development planning processes is accompanied by adequate budgetary allocations, the initiatives will become sustainable over time. National governments have begun investing in MFP programmes. In Mali, for the period 2008-2012, the government contributed 20 percent of the MFP project budget. In Senegal, the government contributed approximately USD 600,000 for the MFP initiative in 2011. In Burkina Faso, the government contributed over USD 1 million in 2011, with an overall contribution of approximately USD 6 million for the period 2008-2012. The Gambia has included the MFP approach in the recurrent budgets of the Ministry of Energy. All of these examples bode well in terms of sustainability. However, to date, a large portion of the financial investments for the MFPs have still come from external sources. Such reliance on external resources poses a threat to financial sustainability, which may result in plants and equipment that has been installed in the MFP communities not being maintained. Experience with community-based development initiatives in other parts of the continent, as well as other sectors of the region’s economy, suggests

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<sup>128</sup> Tortell, Philip, ‘UNDP Support to the Okavango River Basin Commission. A Practice Documented,’ Wellington, July 2012.

that projects supported largely from external investment tend to collapse with the termination and/or withdrawal of external support.

These risks have been countered by the capacity development approach adopted by the programme, where community-level stakeholders have received business development training, as well as training to maintain the energy delivery equipment. This will allow them to manage project elements for themselves, even when external support is withdrawn.

From the social perspective, the engagement of women in community-level interventions has ensured that the interventions address local-level problems such as limited access to energy and water by rural women, thus creating positive conditions for sustainability. The improvements in the quality of life of women that have been realised as a result of improved lighting, more efficient energy forms and more reliable access to water, have potential impacts ranging from improved health delivery services, improved education opportunities for both children and adults, as well as overall reduction of drudgery. It is expected that these aspects of the project will be sustainable over the long-term.

#### **The capacity development approach adopted by the environment programme has laid a foundation for sustainability.**

The impact of training African diplomats in climate change negotiations was demonstrated by the quality of deliberations at the COP 17 and COP 18. This capacity will be sustainable if it is institutionalized within the structures of the governments that benefitted from the intervention. In addition, capacities of EAC and SADC were strengthened to participate in Rio +20 and in the development of follow-up strategies.

### **3.5 OVERALL PROGRAMME EFFICIENCY**

Efficiency of programme operations emerged as a concern cutting across the four focus areas, and is hence analysed here at the level of the programme. Efficiency assessments in this evaluation primarily examine programme delivery and management arrangements, programme design and monitoring arrangements, processes and capacity issues, and knowledge management (as a factor contributing to efficiency). Other aspects of knowledge management will be discussed in Chapter 4.

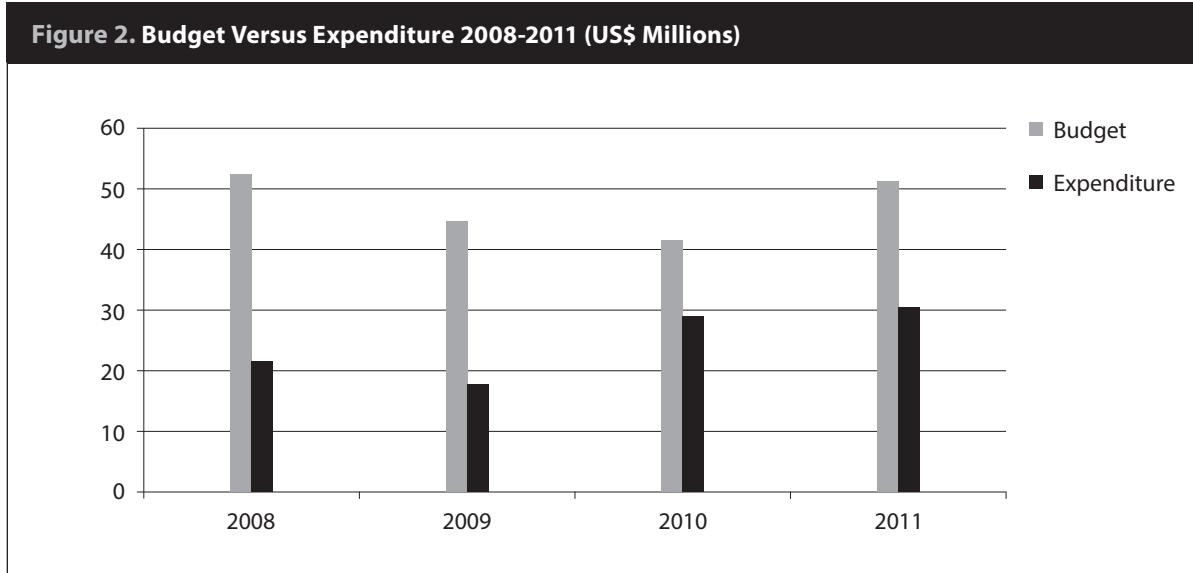
**The overall delivery rate of the regional programme was below expectations owing in part to severe start-up delays and to fluctuating management arrangements at the regional service centres.**

Delivery data rates depend in large part on the method by which they are estimated, yet different methods all point to the same conclusion: the overall delivery rate of the regional programme was below target. A comparison of budgets and expenditure for all projects linked in Atlas to the programme outcomes for the years 2008 to 2011 showed poor results, particularly for its first two years, with an improvement in 2010 (see Figure 2).<sup>129</sup>

Delays in starting the programme explained in part this poor performance, especially in the initial years of the programme. As few people currently involved in the regional programme were involved in its design, the evaluation team was unable to form a clear picture of the programme formulation process. It appears that during formulation of the programme document, relatively brief consultations were undertaken with the African Union and staff of some RECs.

<sup>129</sup> The 'Management and Technical Review' calculated annual delivery rates as a percentage of mid-year targets, which show higher delivery rates, but notes that these estimates may be somewhat higher than if actual expenditures were calculated against annual peak budgets (Pillay, Rajeev and Oumoul Khayr Ba Tall, 'United Nations Development Programme for Africa [2008-2011] Management and Technical Review,' January 2011, 41).

**Figure 2. Budget Versus Expenditure 2008-2011 (US\$ Millions)**



Source: Executive Snapshot

This perfunctory consultation resulted in a need to reassess and reaffirm regional ownership of the programme during the actual formulation and approval of regional projects, which prolonged the project development process.<sup>130</sup> In addition, there was a change in bureau leadership and, on assuming his responsibilities in 2009, the current Director put in place mechanisms to further consult with stakeholders and conduct peer-reviews of the project documents before final approval. As a result, most projects were only signed in late 2009 or early 2010, leading to start-up in early-mid 2010 and in some cases, later still. In the case of the regional governance programme, further delays were caused by the late recruitment of project staff and the need to renegotiate the contents of some of the projects, as counterparts in the implementing partner organizations had changed since the original project had been developed.

In addition, the delivery of some projects was slowed by disagreement between UNDP and partners over payment methods. In the case of

AGI, UNDP does not have a legal mechanism to transfer funds (the institute's preference) and therefore pays vendors directly on behalf of the institute. The discussions between UNDP and AGI had not resolved the issue and, between 2010 and 2011 AGI did not receive direct financial support from UNDP. In the case of the 'Africa Governance Report,' incompatibility between UNDP and UNECA processes led to delays in payments but these had been resolved. In the case of the agri-enterprise project, a misunderstanding over resources to upgrade facilities meant the Songhai Centre declined to make use of the amount budgeted by the project.

Management arrangements have not facilitated efficiency. At the time of formulation of the RPD, an Advisory Board was established to provide additional perspectives in the review of the draft document. A second Advisory Board was later created to provide strategic guidance to the regional Bureau Director on the implementation of the regional programme and advice on current and emerging issues related to

<sup>130</sup> Pillay, Rajeev and Oumoul Khayr Ba Tall, 'United Nations Development Programme for Africa (2008-2011) Management and Technical Review,' January 2011, 12.

Africa's development priorities, as well to reinforce oversight and accountability mechanisms. The Advisory Board met for the first time in March 2010, at which time decisions were made to review certain projects (leading to their closure or merger with other initiatives) and to merge two others (crisis prevention and recovery, and disaster risk reduction) to increase efficiency. Although it intended to meet annually, the Board has not actually met since the 2010 meeting. In the case of support to peace and security, two projects with complementary objectives were managed from two different locations (Ethiopia and Nigeria). Whilst there was some collaboration between the two initiatives, it was not as extensive as it could have been due to the different locations.

A lack of leadership continuity in the regional service centres during the first years of the programme period hindered the establishment of administrative procedures and systems, thereby impacting on programme efficiency. In the Dakar Regional Service Centre, a Deputy Regional Director was in place from January 2008 to August 2009, followed by a series of officers-in-charge, until the arrival of the current regional service centre manager in January 2011. An Operations Team had been in place in Dakar from August 2009, and from May 2011, to promote overall financial efficiency, it supported both the regional service centre and the Senegal country office. However, the different business models for the regional service centre and the country office required adjustment and streamlining of support. Work was temporarily disrupted in 2012 by a move to new offices. The Johannesburg Regional Service Centre had seven managers between January 2008 and January 2012.

Individual projects have had varying results, with some projects demonstrating very poor delivery

and/or few outputs and others performing well. For example, a project designed prior to the start of the current programme period, but which was intended to produce a regional human development report during the current period, did not result in a report. Lessons learned however were applied in a new project under the programme to prepare the 'Africa Human Development Report 2012' (originally scheduled for 2011). Projects developed in the early part of the programme period, which were to be executed by UNOPS, faced a number of problems. The Agri-Enterprise Development project encountered difficulties, and components were dropped from the project, resulting in few outputs and little potential for sustainability. The Contracts Negotiation and Regulation project was described by a project evaluation as suffering from confusion over the division of labour between RBA and UNOPS, a lack of uninterrupted communication with the regional bureau, and leadership by relative newcomers to both UNDP and UNOPS, all of which made it difficult to efficiently achieve the project's objectives.<sup>131</sup> The Energy project on the other hand, benefited from the experience of previous projects, and exhibited high delivery rates while achieving work plan targets, at least with respect to ECOWAS. The regional HIV and AIDS project had also been managed efficiently, providing a good example of economies of scale, whereby in working with the RECs (SADC, ECCAS, EOWAS and EAC) UNDP was able to reach a number of countries simultaneously on the same issue.

#### **Programme design and monitoring arrangements also hampered efficiency.**

As described above, the regional programme is divided into four focus areas, ten key results areas and 17 intended programme outcomes. Only 13 of these outcomes were entered into Atlas.

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<sup>131</sup> Lare-Lantone, Kango, Ibrahima Ba, Abdoulaye Yaré Fall, 'RBA Regional Project for Capacity Development for Negotiating and Regulating Investment Contracts: Evaluation Report,' July 2012, 31.

The ‘Results-Oriented Annual Report (ROAR) 2011’ includes 11 outcomes. The large number of outcomes, with in many cases several projects indicating contributions to multiple outcomes, has made it difficult to manage for results. The indicators in the results framework provide a weak basis for monitoring the programme as many of the indicators are vague. In addition, the indicators, baselines and targets are inconsistent with each other. Even where targets are quantified, reporting on progress against targets in the ‘ROAR’ was very poor with the ‘latest data’ columns often blank, even where the assessment of status against the indicator shows ‘significant progress.’ The complex and weak results framework for the regional programme has made it difficult to efficiently track results and effectively report thereon. For example, the initiative to promote youth employment adopted an agri-business focus, as did the AFIM initiative, and yet these are linked to different outcomes in Atlas and in the ‘ROAR.’ To effectively capture results from these complementary interventions, double reporting would be required.

Reporting on regional programme results was weak and scattered. For example, the ‘ROAR 2011’ used little data or evidence to show UNDP’s contribution to results, and there did not appear to be other regular, annual consolidated reports on the programme. A 2010 report on the ‘Regional Cooperation Framework (RCF) for UNDP Africa’ was prepared for the programme Advisory Board, but no similar report was prepared beyond the first quarter of 2011, since a subsequent Advisory Board meeting was not held. In the area of governance, the Johannesburg Regional Service Centre produced a report in 2011 called ‘Eastern and Southern Africa Regional Democratic Governance 2011 Highlights and Results’ with the heading Consolidating Democratic and Participatory

Governance in Africa (the title of the regional programme’s governance programme). The report covers the work of the governance team in the Johannesburg Centre, including work supported by the global and regional programmes, but the evaluation could find no similar report on the work under the regional governance programme undertaken by the Dakar Centre to complete the picture of governance related work in that year. The regional bureau has recognized the need to improve results reporting, as shown by a presentation at the economic advisers cluster meeting in October 2012, which strongly highlighted the need to report on ‘impacts,’ not only on ongoing activities.<sup>132</sup>

### **Processes and capacity constraints in UNDP and implementing partners hindered efficiency.**

The African Union, its organizations and the RECs are intergovernmental bodies and their formal decision-making processes require consultation with Member States. Even though the executive bodies of, for example, the African Union Commission or the REC Secretariats have the authority to take operational decisions, internal processes are slow. Related to this is the issue of limited capacity within these institutions. Although UNDP support to these institutions is about strengthening their capacity, the minimum capacity has not always been there to make effective use of UNDP support. This affected the efficiency with which the regional programme could be delivered. For example, in the case of support to the African Union peace and security agenda, the rate at which UNDP was able to implement planned activities was slower originally planned. Interviews with UNDP staff identified the capacity limitations within the Peace and Security Department, namely, that the small core staff were dealing with a high volume of work and therefore not always available for

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<sup>132</sup> UNDP RBA Strategic Advisory Unit, ‘RBA Economics Advisors Cluster Meeting,’ powerpoint presentation, Kigali, 28 October 2012.

meetings and workshops. The issue of the low absorptive capacity was raised in the terminal evaluation of the preceding project, and by other observers of the African Union's peace and security capability.<sup>133</sup>

UNDP management of regional programme initiatives was shared across the regional bureau in New York, the regional service centres, the UNDP-African Union Liaison Office in Addis Ababa (Ethiopia) and the UNDP Nigeria country office. For example, responsibility for implementing the regional governance programme was distributed across the three regional centres in Johannesburg, Dakar and Addis Ababa. This allowed the programme to respond to the particular needs of the subregions and the major implementing partners (for example, the African Union Commission). However, coordination among these three centres, in three different time zones, had not been optimized and opportunities for synergies had not been exploited sufficiently. Knowledge sharing within the Africa governance practice had also been limited, although the Africa governance team did hold a joint retreat for the first time in 2011. Such issues were not limited to the area of governance. In the energy and environment portfolio, for example, regular communications and collaboration between the two regional service centre teams (including the project teams) had not been institutionalized.

### **The replication and application of lessons learned strengthened efficiency, but knowledge management mechanisms were weak.**

The regional programme and the regional service centres are well-positioned to mobilize knowledge to increase value for money. Replication and application of lessons learned from past

experiences and experiences in other countries in the region (while taking into account context) strengthens efficiency. For the country offices, calling on regional expertise is cost-effective, as desk support from the regional service centres is free of charge, and mission costs from the centres are limited to travel-related expenses. Interviews revealed that country offices find that, even if the cost of engaging an adviser from the regional service centre were the same as that of engaging an external consultant, it would be preferable to engage the regional service centre expert. Regional advisers bring lessons learned from countries in the region, as well as a consistent UNDP approach to common issues. They also bring continuity through ongoing involvement. This 'knowledge management' aspect of the advisory services provided through the regional service centres was appreciated by the country offices.

Within regional projects, lessons learned and experience gained in one country increases the efficiency of implementation in others. For example, lessons learned through the implementation of MFPs led to more efficient and more rapid implementation in subsequent sites. Similarly, regional advisers brought experiences from early MAF countries to speed up the exercise in new countries. The APRM provided another good example of efficiency through replication and application of lessons. The pace of country reviews had increased since the first three countries were reviewed.<sup>134</sup> Synergies and partnership between UNDP and UNECA also made for efficient support to the APRM process, and the drafting and production of the 'Africa Governance Report.' UNECA was able to leverage UNDP country assistance where it does not have a presence.

<sup>133</sup> Williams, P.D., 'The African Union's Conflict Management Capabilities,' a working paper of the Council on Foreign Relations, New York, October 2011.

<sup>134</sup> UNECA, 'Progress report on the implementation of the African Peer Review Mechanism (APRM),' (E/ECA/CGPP/2/3), presented at the Second Meeting of the Committee on Governance and Popular Participation (CGPP), Addis Ababa, 9-10 March 2011.

Mechanisms for knowledge sharing in the regional service centres, which could further strengthen this type of efficiency, had not been fully institutionalized. For example, back-to-office reports had not been systematically shared amongst colleagues, limiting opportunities for peer-to-peer learning. Programme meetings which focused on knowledge sharing were not systematically organized.

The senior economist programme contributed generating and sharing of knowledge, not only through the provision of information to the regional bureau's Strategic and Advisory Unit and the publication of research papers, but also

through mutual support, for example where economic advisers from one country with MAF experience go on mission to support another country beginning or experiencing challenges with the process. This knowledge sharing and mutual support was particularly effective where the economic advisers had been with the programme for at least a few years. The evaluation found that induction for new economic advisers and other opportunities for internal knowledge sharing had been weak, limiting the initial effectiveness of new advisers. However, the retreat organized for economic advisers held in Rwanda, in October 2012, was an important step to remedying the weakness.

## CHAPTER 4.

# STRATEGIC POSITIONING OF UNDP IN THE REGION

This chapter will examine the strategic positioning of the regional programme, looking first at the roles expected of a regional programme, and how well the programme for Africa has fulfilled these different roles with respect to thought leadership and knowledge management, technical and advisory support, and implementation of initiatives best undertaken at the regional level such as support to regional institutions. The chapter also examines the responsiveness of the regional programme to emerging issues and its engagement with regional institutions, and assesses the extent to which UNDP has used its comparative advantages to create partnerships for results. The final section examines cross-cutting issues – gender equality and women’s empowerment, capacity development, and South-South cooperation – which are intimately linked to UNDP’s comparative advantage as a development partner.

### 4.1 STRATEGIC ROLE OF THE REGIONAL PROGRAMME

#### ROLES EXPECTED OF THE REGIONAL PROGRAMME

In an effort to assess against objective corporate criteria whether the regional programme for Africa was well-positioned within UNDP to collaborate with other units and contribute to development results, the evaluation team sought to identify the expected roles and functions of a UNDP regional programme, with respect to

other UNDP programmes. This area represents a gap in corporate guidance. According to an evaluation of UNDP’s contribution at the regional level,<sup>135</sup> no proper corporate guidance exists and there is confusion as to where various roles should be located. The management response to the regionalization evaluation provided some ideas for criteria to determine when a regional approach is appropriate and other roles of the regional programme. Based on these sources, and its findings and analysis, the evaluation team concluded that a regional programme may play a number of different roles – that of an implementer of regional projects that meet the criteria for a regional approach (notably, support to capacity development of regional institutions); that of a regional ‘thought leader’ and regional ‘knowledge manager;’ and that of a source of technical advice and support for country programme activities. While balancing these different roles, the regional programme also has to manage links with the global and country programmes, to ensure maximum synergy and efficiency for the organization as a whole.

The following sections analyse the extent to which the regional programme has performed these expected roles.

#### REGIONAL APPROACH

A key role of the regional programme is to implement regional projects.

<sup>135</sup> UNDP, ‘Evaluation of UNDP Contribution at the Regional Level to Development and Corporate Results,’ New York, 2010, 40-42.

**All regional programme initiatives had regional components, at least in their design, justifying a regional-level intervention. Many initiatives addressed issues most appropriately handled at the regional level or included a strong regional knowledge sharing component. Some projects were primarily ‘multi-country programmes,’ components of which could have been handled at the country programme level.**

Since UNDP’s global, regional and national programmes are driven by the same corporate principles and structured around the same four focus areas, there are strong similarities in their formulations and content. The key distinctive feature of a regional programme should be that it is handling issues best managed at the regional level (as opposed to the global- or country-level). This focus is particularly important given the resource position of the regional programme, which represented approximately three percent of the programme resources for Africa (regional and country programmes combined).<sup>136</sup> Members of the African Union have adopted and are pursuing regional integration as an overarching development strategy. Moreover, interregional coordination is growing, as demonstrated by the COMESA, EAC and SADC Tripartite Summit in 2008 which agreed on the establishment of a free trade area. In this context many issues lend themselves to a regional approach. From the country office perspective, 75 percent of the offices agreed that the regional programme was addressing issues that were essential regional, subregion and/or inter-country.<sup>137</sup>

Some of the regional interventions had a very clear regional orientation focusing, for example, on strengthening the capacity of regional institutions such as the African Union or RECs, and/or implementation of regional frameworks

and mechanisms, such as the ‘African Charter on Democracy, Elections and Governance,’ the ‘African Charter on Values and Principles of Public Service and Administration’ or the ARPM, or promoting the management of shared natural resources such as water. The key element of many of the regional interventions was a strategic engagement with the RECs, such as the AFIM programme which has sought to anchor its interventions with the RECs, or the energy programme, which had notable successes with ECOWAS. In the case of ECOWAS, developing a regional policy and action plans for energy access allowed the West African market to open up to a greater extent than would have happened had UNDP relied on country programmes alone to develop energy access. In addition, in the case of the MFPs, adapting to local national circumstances during scaling-up was less onerous than would have been the case had the mobilization process started in each country in turn. By piloting the MFPs in three countries initially, UNDP helped develop minimum standards which have been used throughout the region.

Some regional interventions were designed to provide a pool of knowledge and expertise to programme countries on specific issues, achieving efficiency gains over a country programme approach and bringing an important knowledge management component. For example, the programme designed to strengthen MDG-based national development and poverty reduction strategies funds economic advisers in the individual countries, as well as advisers based in the regional service centres, who support the development of MAFs, MDG-based PRSPs and MDG reports. The regional approach facilitated focus on common regional issues underlying lagging MDGs, such as food security, which is the focus of MAFs in four countries in the Sahel region.

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<sup>136</sup> Estimate based on expenditures of 46 country programmes and the Regional Programme for Africa in 2011, as listed in the Executive Snapshot.

<sup>137</sup> Only three offices disagreed with the statement while the rest ‘didn’t know.’ Source: the Country Office Survey.

Similarly, the Pôle de Dakar project provided technical expertise to a range of countries and RECs, on MDG-based development strategies with a focus on public financial management.

Other interventions, while supporting regional institutions and addressing common issues, were primarily multi-country programmes, such as the youth employment programme which supported projects at the country level, or the agri-business enterprise development programme, which had originally intended to support a regional service centre of excellence, but ended up primarily supporting national-level activities. AFIM focused on similar issues, but rather than supporting country-level projects, supported country offices with private sector development components in their country programmes, leaving more resources for regional-level engagement.

## KNOWLEDGE LEADERSHIP

Another key role for the regional programme and the regional service centres is that of a ‘thought leader’ or ‘innovator,’ which is intimately linked to its role as a ‘regional knowledge manager.’

**The regional programme significantly contributed to knowledge generation and sharing through a number of high-profile publications - including the ‘Africa Human Development Report 2012’ - which were used by a wide range of actors. It also organized and participated in conferences, workshops and seminars designed to promote knowledge sharing, including the high-level African Economic Conference in 2012. The regional programme was well-positioned to further contribute to regional knowledge generation based on UNDP’s experiences in Africa and to manage that knowledge to support UNDP’s**

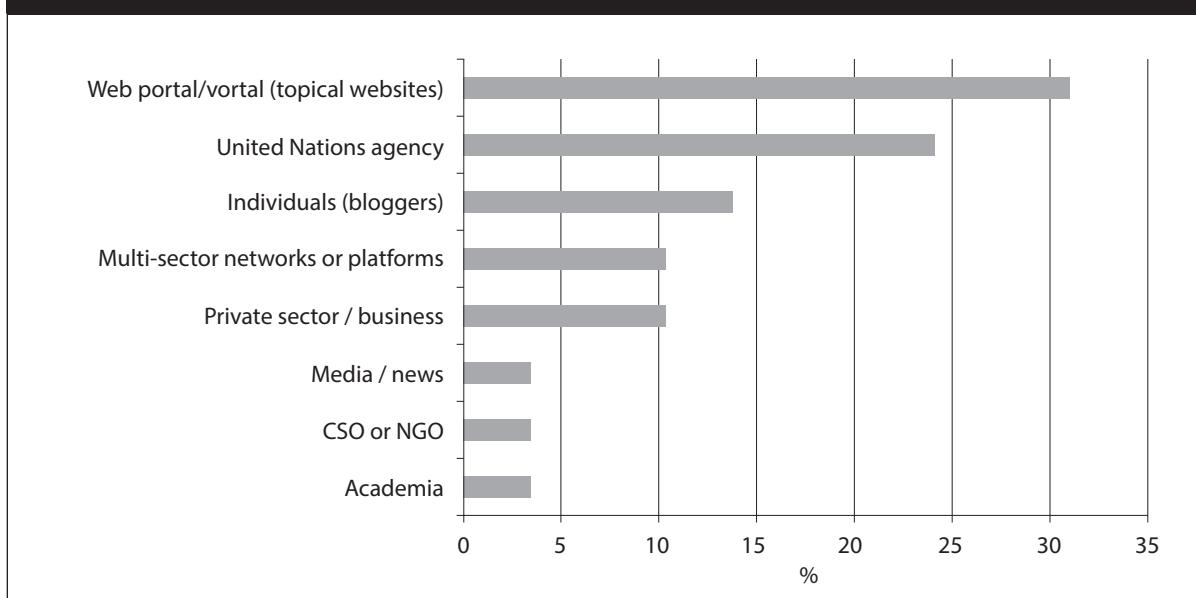
**operations in Africa but it had only partially realized its potential. Some opportunities to share knowledge to reinforce development results were missed.**

The regional programme has sought to establish itself as a thought-leader through research and publication of high-profile reports. The programme’s flagship publication, the ‘Africa Human Development Report 2012: Towards a Food Secure Future,’ published in May 2012, was widely disseminated. A cybermetric analysis of selected knowledge products produced by the regional programme was conducted to examine the degree of outreach and use of the report and other products.<sup>138</sup> This analysis conservatively estimates that the report has been referenced on 110 valid websites since its launch, considerably more than any of the other publications examined, as outlined in Table 5 on page 81. Figure 3 summarises the types of organizations referencing the report, most of which are web portals or vortals (topical websites) and United Nations agencies. Commonly, these actors referenced the report as featured content, for example in editorials, or within discussions.

Several country offices, in response to an open survey question about the global or regional knowledge products that were deemed particularly useful, specifically mentioned the ‘Africa Human Development Report.’ One country office indicated that the report had provided the basis for a debate at the leading agricultural university in the country, where government, United Nations agencies and NGOs discussed the issues in the report, and how the country could apply the lessons. Another similarly mentioned that the launch of the report provided an opportunity to debate food security issues in the country and the obstacles to achieving

<sup>138</sup> AlterSpark and Statistical Cybermetrics Research Group, ‘Cybermetric Analysis of UNDP Knowledge Products, Africa Regional Programme,’ 2012, commissioned by the Evaluation Office for this evaluation.

**Figure 3. Types of Organizations Referencing the 'Africa Human Development Report 2012'**



Source: AlterSpark (2012)

the MDGs.<sup>139</sup> The report is included in the syllabus for a 2012–2013 course on 'The World Food Economy' at Stanford University (USA).

The cybermetric analysis covered 11 more publications, including the 'MDG Reports'<sup>140</sup> produced in collaboration with AfDB, UNECA and the African Union. The analysis also included the 'African Economic Outlook,'<sup>141</sup> a collaborative effort with AfDB, the OECD Development Centre and UNECA. Regional programme economic advisers produced or co-produced country notes included in the 2011 and 2012 reports and, with UNDP's involvement, the human development chapter has become a structural feature of the report. Two other regional programme-supported publications were also included.<sup>142</sup> The analysis assessed how organizations reference

these UNDP knowledge products and the types of pages used to post the information. These knowledge products were most commonly featured in promotional pages within publication summaries and within news stories (41 percent). They were also cited as resources in online directories (20 percent), appeared in online discussions in news stories (10 percent) or as academic references in formal reports (10 percent).

In terms of types of organizations referencing the publications, web portals and vortals (topical websites) accounted for about a quarter of the references to these regional publications. United Nations agencies, including UNDP, accounted for the next largest set of references, followed by CSOs. Governments only accounted for six percent of the references. Comparing references

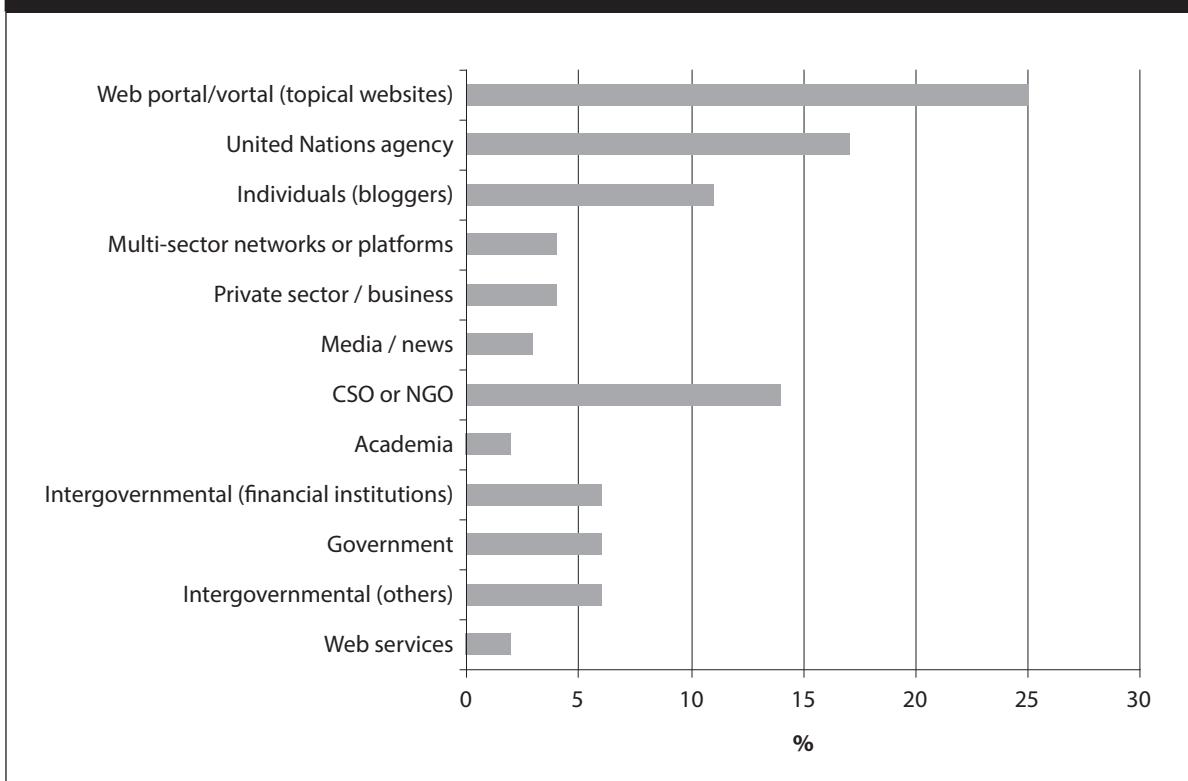
<sup>139</sup> The Country Office Survey.

<sup>140</sup> AfDB et al, 'Assessing Progress in Africa toward the Millennium Development Goals – MDG Reports 2010,' 2011 and 2012 in both English and French.

<sup>141</sup> AfDB et al, 'African Economic Outlook' 2011 and 2012, plus the 2012 pocket edition.

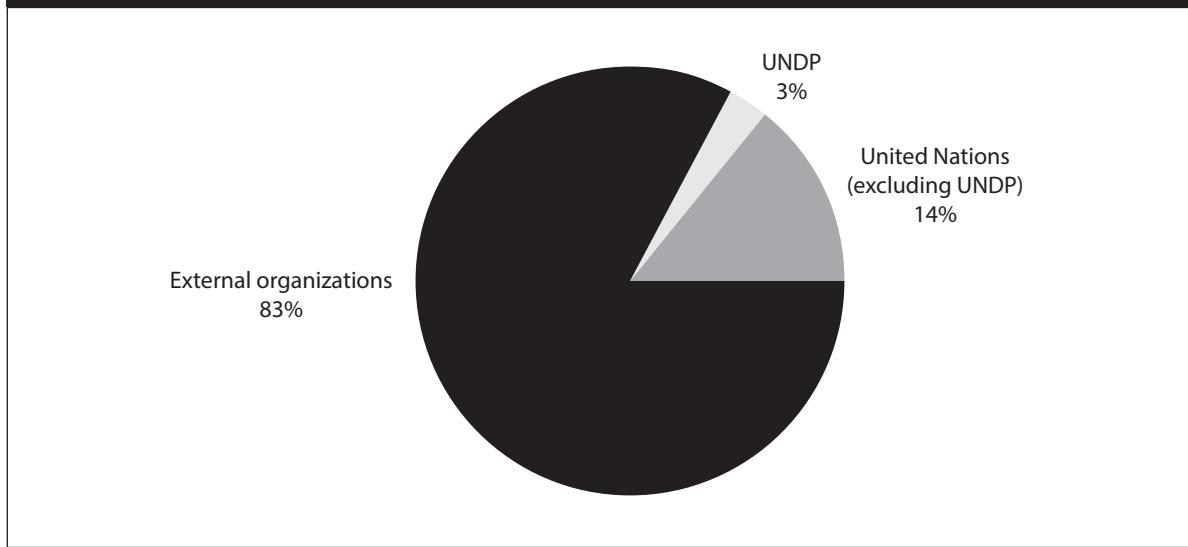
<sup>142</sup> UNDP, 'Roles and Opportunities for the Private Sector in Africa's Agro-Food Industry,' 2012 and, UNDP, 'Creating New Values for Africa: Emerging Ecosystem Service Markets,' 2012.

**Figure 4. Types of Organizations Referencing Regional Knowledge Products**



Source: AlterSpark (2012)

**Figure 5. References to Regional Knowledge Products by UNDP, United Nations Agencies and External Sources**



Source: AlterSpark (2012)

by UNDP websites and social media profiles with other United Nations agencies and external organizations, the large majority of references were disseminated by actors outside the United Nations system. This indicated the breadth of influence the regional knowledge products were having outside the United Nations system, although it may also indicate that UNDP was using its own products to a lesser extent than it should.

In terms of geographic scope, the majority of referencing organizations were either international, or affiliated with non-UNDP programme countries. However, for those organizations with a clear national affiliation, the majority fell within Africa, indicating the publications were reaching local actors. A breakdown by country showed more references in South Africa, home to the Johannesburg Regional Service Centre, and in Ethiopia, home to the African Union and the UNDP Liaison Office to the African Union. Most of the African countries referencing the publications were English-speaking. That language was a factor is reinforced by the numbers of estimated links and websites referencing the publications: the French versions of the publications were referenced significantly fewer times than the English versions of the same products.

The cybermetric analysis was limited to publications with a minimum number of references on non-UNDP sites. Some regional programme publications, such as ‘The Pôle’s Notes,’ which provide a good example of codifying experiences in the form of easily readable guides or manuals that other countries can use, have a specific audience and were not widely referenced on other sites. Thus, after an initial evaluability assessment, these were not included in the cybermetric analysis.

While some of these other publications, which were not included in the analysis but perused by the evaluation team, appear to be innovative and useful, the absence of an overall programme knowledge management strategy has resulted in a plethora of reports and publications by individual projects and initiatives, not all of which are easily accessible. Many publications and reports prepared by the regional programme were not available on-line (25 percent of the products in the list compiled by the evaluation based on information provided by the regional service centres and project teams) or were only available through Teamworks (six percent), which has restricted access. Another 12 percent of the publications listed by the regional service centres had apparently not yet been finalized, and were therefore not available online. Regional knowledge products were not systematically tracked, so it was difficult to assess the extent to which products were reaching and appreciated by their intended audience. One analysis, the evaluation of AFIM, a programme that has published high-quality reports, noted that fewer but more in-depth case studies would be more effective in the view of private sector partners.<sup>143</sup>

While country offices agreed to a very large extent that UNDP’s knowledge products were credible, and generally agreed that the products were country-relevant, there were mixed views over the extent to which knowledge generated at the country level was taken up in regional and/or global knowledge products, as shown in Figure 6 (page 82). Country offices agreed that regional products and services facilitated the exchange of knowledge and experience across the region to some limited extent.

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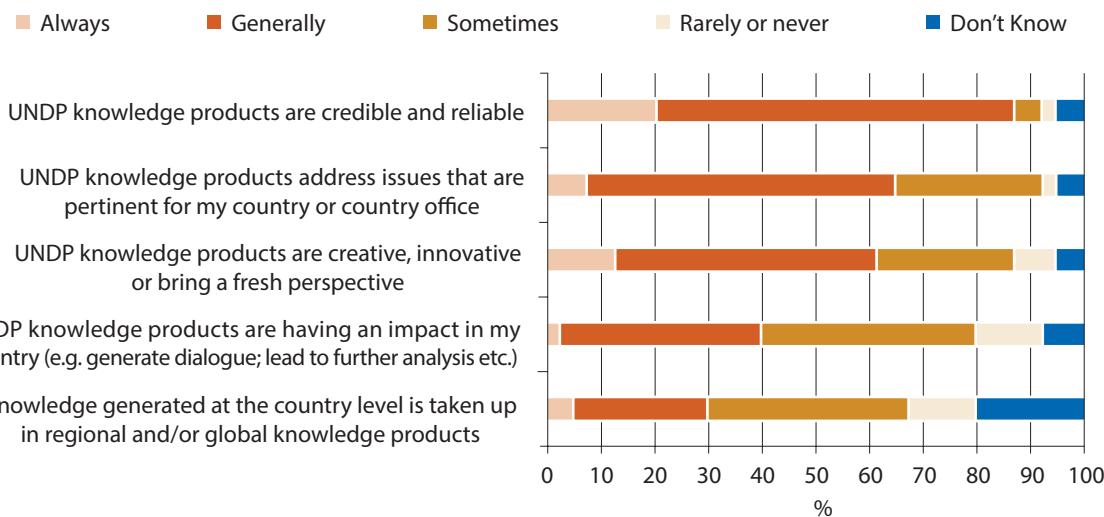
<sup>143</sup> Imani Development, ‘AFIM: Regional Project Mid-Term Evaluation,’ 11.

**Table 5. Estimated Number of Links, Websites and Reposting of UNDP Publications**

<b>Knowledge product title</b>	<b>Year</b>	<b>Language</b>	<b>Estimated links</b>	<b>Estimated websites</b>	<b>Estimated reposts</b>
Africa Human Development Report 2012: Towards a Food Secure Future	2012	English	156	110	4
MDG Report 2012: Assessing Progress in Africa toward the Millennium Development Goals	2012	English	18	14	3
Rapport OMD 2012: Evaluation des progrès accomplis en Afrique dans la réalisation des objectifs du Millénaire pour le développement	2012	French	5	5	1
MDG Report 2011: Assessing Progress in Africa toward the Millennium Development Goals	2011	English	31	21	4
Rapport OMD 2011: Evaluation des progrès accomplis en Afrique dans la réalisation des objectifs du Millénaire pour le développement	2011	French	4	4	1
Assessing Progress in Africa toward the Millennium Development Goals - MDG Report 2010	2010	English	23	17	3
Rapport OMD 2010: Evaluation des progrès accomplis en Afrique dans la réalisation des objectifs du Millénaire pour le développement	2010	French	3	2	2
African Economic Outlook 2011: Africa and its Emerging Partners	2011	English	33	27	3
African Economic Outlook 2012: Promoting youth employment	2012	English	83	59	3
African Economic Outlook 2012: Promoting youth employment (pocket edition)	2012	English	5	5	1
Roles and Opportunities for the Private Sector in Africa's Agro-food Industry	2012	English	13	9	1
Creating New Values for Africa: Emerging Ecosystem Service Markets	2011	English	5	4	0

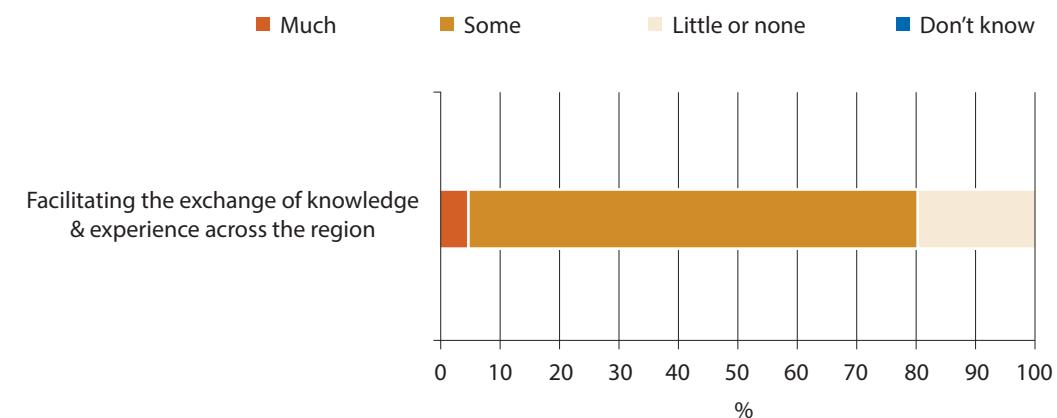
Source: AlterSpark (2012)

**Figure 6. Country Office Views on UNDP Knowledge Products**



Source: Country Office Survey

**Figure 7. Country Office Views on Regional Products and Services**



Source: Country Office Survey

The regional programme and its projects also facilitated knowledge sharing across countries and regional institutions through a multitude of regional-level conferences, workshops, forums, seminars and other gatherings, as well as through platforms such as APDev. A notable example is the African Economic Conference in Kigali (Rwanda) in 2012, which UNDP organized

with UNECA and AfDB. The main objectives of this conference were to promote knowledge management as an important driver of policy dialogue, good policy planning and implementation, and to foster and promote innovative thinking among researchers, development practitioners and African policymakers. Many other examples of such events have been provided in Chapter 3.

Knowledge management at the regional service centre/regional programme level had, however, been weak, and the practice team leaders acknowledged that both centres had a long way to go to be fully effective. Challenges began at the level of information sharing. For example, back-to-office reports were not systematically shared or archived; a good report provides an opportunity to share lessons learned and experiences during a country mission with colleagues, which may be relevant for another country or a future visit to the same country. A strong knowledge sharing culture had yet to be created at the regional service centre level, although interviews indicated that positive change was taking place. As mentioned above, monitoring and follow-up to assess results of interventions at the country or regional institution level to document what has or has not worked in which contexts, and why, was also weak, which limited the development of lessons learned that could be shared across the programme.

## TECHNICAL ADVISORY SERVICES

Yet another role of the regional programme and the regional service centres is to provide technical advisory services to country offices, and national and regional stakeholders.

**Country offices and regional and national stakeholders highly appreciated the technical advisory services provided by the regional service centres and the regional programme. They were considered, for the most part, to be of good quality, cost-effective and, while difficult to measure, to be contributing to development results. However, services were unevenly distributed across countries, not always with clear**

**justification, and some advisers/experts were perceived to lack sufficient understanding of the regional and/or national contexts or to lack sufficient experience.**

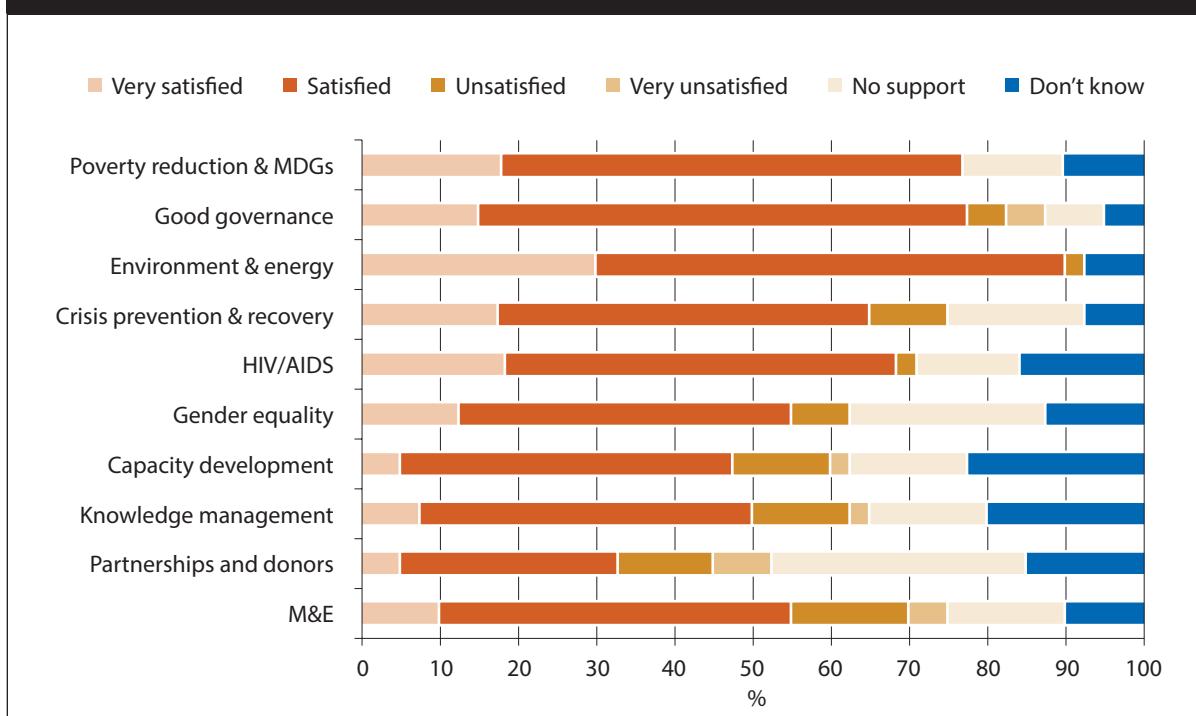
Country offices, in response to the survey, were satisfied with support received from the regional service centres, as illustrated in Figure 8. Such support came from advisers and experts funded by several different funding sources, including the regional programme. Relatively few country offices indicated dissatisfaction with services.<sup>144</sup> Several practice areas had a larger number of 'don't know' or 'no support' responses which may reflect a lack of clarity about the support available from these practices.

During interviews, country offices, and regional and national stakeholders, reiterated these positive views. Country offices also found that advisory services were provided in a timely fashion (although in answer to an open question in the survey, 11 of them recommended improving timeliness and availability of support). Advisers were generally found to provide clear guidance, bring technical competence not available locally and provide useful global perspectives for addressing development issues (see Figure 9). Approximately half of the country offices agreed with the statement that 'the regional programme or projects brought new ideas and piloted new approaches in this country.' During interviews, however, some stakeholders indicated that some service providers, while technically competent, did not have sufficient understanding of the regional or national context, whilst in other cases, stakeholders indicated that some experts did not have sufficient technical experience.<sup>145</sup>

<sup>144</sup> The evaluation team notes that the 'dissatisfied' responses are difficult to analyse, because dissatisfaction could arise from not having benefited from services desired or from actual lack of satisfaction with services provided.

<sup>145</sup> In addition to the interviews by the present evaluation, an evaluation of the Pôle de Dakar project noted that the team lacked experts with long experience in public financial management in the countries they were serving, and that the relative youth of some of the experts was sometimes problematic when they faced older more experienced civil servants in national and regional institutions. Damiba, Pierre Claver, *Evaluation du Pôle du point de vue de la prospective, de la durabilité et de la soutenabilité des actions*, Ouagadougou, 30 March 2011.

**Figure 8. Country Office Views on Quality of Technical Support Services by Practice Area**



Source: Country Office Survey

**Figure 9. Country Office Views of Technical Support Services Provided by Regional Service Centres**



Source: Country Office Survey

Both the regional service centres and country offices noted the difficulties associated with linking the provision of technical advisory services to development results, since technical support was often provided in a single or isolated event. However, as noted by a number of interviewees, this support could be effective when the dynamics were right. For example, the Prime Minister's Office in Burkina Faso wished to develop a capacity development programme, and a timely mission from the regional service centre was greatly appreciated. In the Central African Republic, the regional service centre supported the evaluation of the PRSP I in 2010, which highlighted the lack of a pro-poor growth strategy in the country. It also subsequently supported the formulation of a PRSP II, which includes a strategy for accelerated pro-poor growth in agriculture and other sectors with strong growth potential, as well as the formulation of a MAF in the area of food security in early 2012. According to UNDP, this was appreciated by all stakeholders and enabled UNDP to begin joint work with other United Nations agencies including FAO, in support of implementation of the MAF.

Technical advisory services from the regional service centres were perceived as particularly cost-effective by country offices since they only paid travel expenses. Even if the cost of using a regional advisor or outside expert were similar, there were definite advantages and efficiencies in using the former. Several UNDP country office interviewees remarked that the regional service centre advisers and experts bring the lessons and experiences of other countries, which was appreciated by national counterparts, as well as a common understanding of UNDP's approach to various development issues, appreciated by the UNDP counterparts. In addition, working with the regional service centre added

an element of continuity when there was need for follow-up support.

Overall effectiveness of technical advisory services requires directing limited resources where they are most needed and/or where they will bring about the greatest results. Regional service centres estimate that 85 percent of the technical advisory services they provided were on a 'demand driven' basis. The resulting advisory services were unevenly distributed across programme countries, with no immediately discernible pattern. For example, for the time periods when data was available for both regional service centres, Senegal received a total of 77 services, followed by Malawi with 55. Comoros and Eritrea each received desk support once during the same period. There was no correlation, for example, between a country's HDI and the total number of services received, i.e. countries with the lowest level of human development were not 'demanding' (or receiving) extra support. Neither was there a correlation between the country programme size and the total number of services received, i.e. larger programmes were not demanding/receiving more services. For example, the 'Liberia Assessment of Development Results (ADR)'<sup>146</sup> noted that UNDP Liberia, despite being a programme in the limelight, had not been able to sufficiently tap into the technical capacities of the regional services centres. From 2010 to the first of half of 2012, Liberia, which ranks sixth from the bottom in terms of HDI and had the fifth largest programme in Africa according to 2011 programme expenditure, only received seven missions from the Dakar Regional Service Centre, compared to an average of 23 missions per country for the region for the same time period.

Proximity played a role, with the Senegal and South Africa country offices disproportionately benefiting from the regional service centres, as

<sup>146</sup> UNDP Evaluation Office, 'Assessment of Development Results: Evaluation of UNDP Contribution – Liberia,' New York, 2012, 122.

did language, although not to a great extent. From interviews, there was some evidence that there was an uneven understanding of what the regional programme/centres offer, which may have influenced some of the demand. In the area of HIV and AIDS, UNAIDS determined which were the priority countries and the regional HIV team focused on these countries. However, in other areas, there was no apparent strategy for prioritizing requests for support, although the Dakar Regional Service Centre had initiated a process of more systematic engagement with country offices in order to provide more strategic support.

### **GLOBAL – REGIONAL – COUNTRY PROGRAMME SYNERGIES**

As described in Chapter 2, the regional programme intersected with the global programme and BCPR at the level of the regional service centre, and together, these different programmes provided support to countries and regional institutions to strengthen development results. At the country level, the regional programme either works to strengthen country offices to increase effectiveness of the country programme, or with the country office and national stakeholders in pursuit of common results. Technical advisory services, provided by both the global and regional programmes, have been discussed above. This section analyses other ways in which the global and regional programmes work together, and the collaboration between the regional and country programmes.

**The global and regional programmes both provided inputs designed to lead to results at the country level. The ways and extent to which the programmes worked together and achieved synergies varied across thematic areas and regional projects.**

Poverty reduction and the MDGs are a thematic area where synergies between the global and regional programmes can be clearly be

identified. The global programme provides the tools and guidance for developing MAFs and funds the poverty practice team leaders in the regional service centres who provide advice on the MAF. The RBA Strategic and Advisory Unit guides the regional programme, which funds MDG advisers working under the day-to-day guidance of the poverty practice team leader. The combined regional practice teams advise and accompany country programme teams, in collaboration with regional programme-funded economic advisers, to support national governments to design MAFs and other MDG-based national development strategies. This model of collaboration was working well in practice, although there was a risk of lack of clarity between the roles of the global and regional programme advisers, and risk of a lack of complementarity in terms of profile as team members were hired by different units. There were areas in the poverty portfolio where the link between the global and regional programme was not as strong. For example, it was not clear how the results of the global programme initiative on social protection with case studies in several African countries (Benin, Cameroun, Ethiopia, Guinea-Bissau, Kenya, Lesotho, Mozambique, Namibia, Rwanda and Togo) was to be used for regional and subregional poverty reduction strategies.

In the area of HIV, the regional project manager was also the global programme-funded HIV, health and development practice team leader for East and Southern Africa. The same team implemented projects under both the global and the regional programmes, resulting in seamless collaboration between the two. In terms of the exchange of expertise and knowledge between the programmes, the regional programme drew on knowledge and expertise of the global programme to advise SADC countries on the use of TRIPS to access sustainable supplies of drugs at lower costs. The regional programme's knowledge on mainstreaming HIV and gender into EIAs was shared globally for application in other regions. This model of collaboration was working

well, although there was a risk of inefficiency due to the burden of two administrative project structures with reporting lines to different programmes, compared to a single project structure managed by one or the other programme.

In the area of gender equality, there was strong collaboration between the two programmes. GEMPI and the Gender Awareness Economics were examples of these linkages. The global programme provided guidance and tools for these initiatives which were then implemented through the regional programme. The knowledge and lessons learned from the implementation of GEMPI in Africa were fed back to the global programme, and used in the roll-out of GEMPI in Asia.

There were different models of collaboration in the area of democratic governance. In some areas, the regional programme drew on knowledge and tools of the global programme, and in turn contributed to the global knowledge base. For example, in the area of human rights, the regional programme used global tools such as the 'Manual on Capacity Assessments for National Human Rights Institutions,' and in turn contributed to global human rights initiatives such as the Universal Periodic Review process. The regional programme also drew on tools available through the global programme in the area of anti-corruption. The regional programme contributed African case studies for Malawi, Tanzania and Uganda to the global knowledge product 'Fighting Corruption in the Health Sector: Methods, Tools and Good Practices.'<sup>147</sup> In the area of decentralization, collaboration may lead to a future joint programme. The global programme developed a study series to establish a baseline of local governance in East and Southern Africa. The study covered decentralised governance, local government financing, inclusive service delivery and local government

capacity. The individual studies were validated with the relevant governments and scheduled to be published late 2012 - early 2013. The work was done in collaboration with the regional governance programme, and it was envisaged that it would evolve into a joint programme on local governance and local development under the next regional programme.

**The regional programme provided catalytic inputs which were taken forward by country programmes. Regional programme interventions at the country level that were coordinated with country programme initiatives strengthened results.**

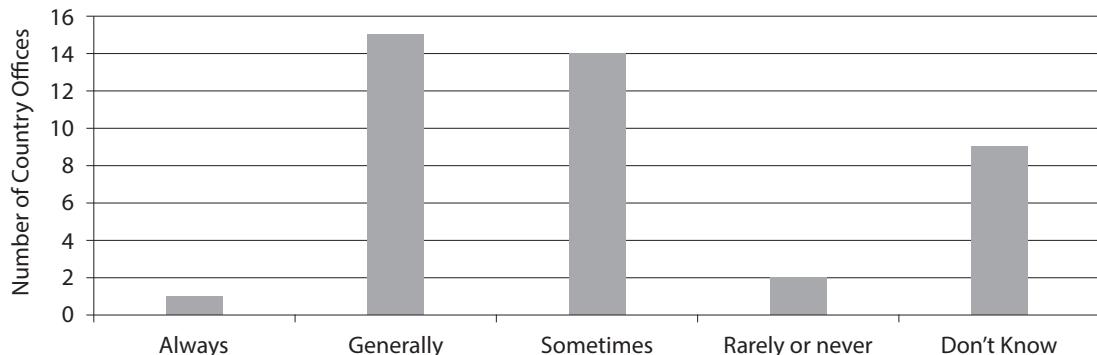
As described above, the regional programme works with both regional institutions, and country offices and national stakeholders to contribute to development results. Coordinating a regional programme with 46 country programmes is inevitably challenging, and the Country Office Survey pointed to a desire on the part of country offices for greater consultation and involvement in the formulation of regional programme interventions. Approximately one-third of the country offices surveyed found regional interventions generally well-coordinated with country programme activities, while another one-third felt they were only sometimes well-coordinated. A very small minority found them to be 'rarely or never' coordinated (see Figure 10).

The regional programme's senior economist programme is clearly linked to the country programme, since economic advisers are located directly in country offices to support development of national capacities for designing, implementing and monitoring pro-poor MDG-based development strategies. As described above, the MDGs advisers based in the regional service centre, along with other members of the poverty practice teams, provided punctual

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<sup>147</sup> The regional programme also contributed to two similar studies covering the water and education sectors.

**Figure 10. Extent to which Regional Programme Activities are Coordinated with Country Programme Activities**



Source: Country Office Survey

support to country office and United Nations country teams on specific issues, such as the development of MAFs, in collaboration with the economic advisers.

The evaluation found examples where well-timed inputs from the regional programme led to results at the country level. For example, the regional youth employment programme conducted a value chain analysis and a skills gap analysis in Kenya, which identified multiple opportunities for youth to enter the workforce with the appropriate training and materials. The UNDP country office focal point worked with national partners to identify several elements of the recommendations that could be implemented. Through demonstrations of new technologies for drip irrigation, youths became interested in greenhouse farming and the government set up a programme to provide them with training and access to credit to launch their own businesses. There are now about 278 of these greenhouses. AFIM also provided support to country offices which, according to a mid-term evaluation, was highly appreciated even if it was insufficient to reach demand. According

to the evaluation, impact was greatest in countries with the least capacity, such as Liberia, where the country focal point attributed the development of a country-level private sector development programme to the support and training provided by the programme. According to the project evaluation findings, the programme had, by operating at the regional level, broken real ground in spreading development concepts for direct inclusion in country strategies.<sup>148</sup> In Gabon, the regional programme provided critical inputs to help the government develop a national action plan for good governance, and the country office was well-positioned to assist the government in taking it forward. In the area of energy, the regional programme supported the development of the MFP model, which can now be more easily taken up by country programmes. In the area of environment, regional support helped leverage GEF funding to support national-level initiatives.

In the case of the agri-enterprise development project, where linkage to country-level activities were weak, results were also weak. In this case, study tours and training were offered, but in the

<sup>148</sup> Imani Development, 'AFIM: Regional Project Mid-Term Evaluation,' 17.

two countries visited by the evaluation, there was no country-level support mechanism to facilitate the young participants to apply their learning and nothing had come of the investment.

## 4.2 RESPONSIVENESS TO EMERGING ISSUES

UNDP's strategic positioning is also defined by its ability to respond to emerging issues, striking a balance between planning for clearly articulated results and responding to new needs and opportunities.

**The regional programme was responsive to emerging issues and implemented a series of complementary and potentially strategic initiatives. However, results in these new areas of convergence were not being clearly communicated.**

The regional programme responded to emerging issues, and an examination of programmes and results showed convergence around key themes which were not necessarily articulated in the original programme document. Food security, which was not mentioned in the RPD, was such a recurring theme. Analysis of progress towards the MDGs led to the development of the MAF, a tool which has been used in 25 sub-Saharan African countries to focus attention on lagging MDGs. In five of these countries, the focus of these MAFs was MDG 1 and in particular food security. The 'Africa Human Development Report 2012' also took on this theme and states that building a food secure future for all Africans will only be possible if food security is viewed as a challenge that extends beyond sectoral mandates and reaches across national development agendas. AFIM was also working across sectors to link private sector development with agriculture and value-chains. The regional programme published high-quality publications such as 'The Roles and Opportunities for the Private Sector in Africa's

Agro-Food Industry,' which complemented the 'Africa Human Development Report.' The youth employment programme also focused on food security in later years, and coordinated with AFIM at the 2012 Agri-Business Forum. Developing trade policy requires interaction with multiple government entities; key trade actors include ministries of agriculture and food security, as illustrated in the African case studies in 'Trade and Human Development: A Practical Guide to Mainstreaming Trade.' The disaster programme recognized that disasters impose acute development pressures including rising food insecurity and malnutrition, and further stress already fragile environments on which the poor, including small farmers, depend. The environment programme, with its emphasis on climate change, also addressed issues of relevance to agriculture and food security.

Another converging theme concerned youth related issues, the relevance of which was highlighted in the 'African Economic Outlook 2012' which had promoting youth employment as its special theme. The regional programme supported initiatives directly promoting youth employment in the poverty portfolio. Work in governance emphasized youth. For example, as discussed in Section 3.2, the regional programme partnered with the African Union to convene a multi-stakeholder policy dialogue on youth empowerment, elections and the management of diversity in November 2011, the perspectives of which fed into the AGF 2012.

However, as discussed in Section 3.5, in reporting on programme results, and particularly on emerging issues that were not necessarily captured in the results statements and indicators against which most reporting was done, these convergences were not well communicated. The UNDP public website page for the Africa region would be a logical place to highlight emerging issues, responses and results, however this communications space was not being used to its full potential.

### **4.3 ENGAGEMENT WITH THE AFRICAN UNION AND RECS**

**In the context of increasing African integration, the UNDP regional programme was strategically positioned to interact with the African Union and RECs, however, it lacked an overall strategy for engagement.**

The RPD emphasized the importance of partnerships with regional institutions, and almost all of the projects under the regional programme were devoted, at least in part, to strengthening the capacity of African institutions, notably the African Union and RECs, tasks clearly less suited to a country or global programme. This gave the regional programme particular strategic relevance. Regional programme support to the African Union on normative frameworks in areas such as democracy and human rights also promoted United Nations values.

The network of regional institutions on the African continent is complex, and, as was also pointed out in the management and technical review of the regional programme, nowhere in the documentation made available to the evaluation was there a systematic, strategic analysis of these overlapping mechanisms and structures, nor evidence of a strategic plan of engagement for UNDP with these institutions.

UNDP's support to the African Union is situated within the United Nations-African Union 'Framework for the Ten-Year Capacity-Building Programme for the African Union,' signed in November 2006. United Nations-system support to the African Union is coordinated through the Regional Coordination Mechanism, which is chaired jointly by the African Union and the United Nations. UNDP co-convenes the governance cluster of the Regional Coordination

Mechanism with the Department of Political Affairs of the African Union. In addition, UNDP established a UNDP-African Union Liaison Office, responsible for coordinating with the African Union and UNECA, under the guidance of the Resident Coordinator/Resident Representative in UNDP Ethiopia.

UNDP support to NEPAD, which dates back to NEPAD's inception, has been guided by a three-year MOU signed in October 2011. The MOU lists the key areas of cooperation,<sup>149</sup> and calls for twice-yearly meetings to identify programmes and projects for cooperation, and to agree on action plans for the implementation of the programmes or projects, as well as put in place appropriate M&E systems.

Engagement with other regional institutions, notably the RECs, was not guided by similar institutional agreements or frameworks that set rules of engagement or areas of support required by the institution as a whole. Different practices within the regional service centres/ regional programme engaged with specific units within the RECs. The UNDP-African Union Liaison Office in Addis Ababa (Ethiopia) had a good overview of UNDP's support to the African Union, however, no other office had the same overview of support to any of the RECs. Communication and coordination mechanisms had not been clearly established; in some cases communications between the RECs and the regional service centre passed through the country office in the country of the REC Secretariat, and in others, the RECs contacted the regional service centre directly.

Despite the lack of overall strategy, engagement with the RECs had proven effective in some areas. For example, as described in Section 3.4, addressing energy issues through ECOWAS

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<sup>149</sup> The key areas for cooperation listed in the MOU are: development policy and strategy; governance; capacity development; South-South cooperation and aid-effectiveness; knowledge management; environment and climate change; trade; and gender equity and women's empowerment.

had been more effective than it would have been to work with individual countries. In the case of HIV and AIDS, while many interventions are best implemented at the country level, there are aspects where a regional approach is needed to catalyse action at the country level. Populations in the Africa region, especially in Southern Africa, are highly mobile with a large migratory labour force. Also, although HIV has been on the health and development agenda for about 30 years, the stigma and issues of sexuality associated with HIV make it a sensitive topic in a number of countries. Engaging governments through regional processes can make the subject less sensitive for them. As discussed in Section 3.1, support to SADC laid good foundations for it to mainstream HIV into key non-health sectors, although work with ECCAS was proceeding slowly as its capacity to use the support was limited at this stage.

In the area of governance, the regional programme concentrated on increasing the capacities of SADC and ECOWAS with the implementation of their governance initiatives and programmes. Other regional economic institutions, namely COMESA, IGAD, CEMAC and the Mano River Union (as well as ECOWAS), were supported through the regional CD-PGA project. While this capacity development project was beginning to show results in its support to ECOWAS and COMESA, it had been difficult to gain traction with the other the RECs due to a number of factors, including leadership changes. The link between UNDP support to the RECs and its work with the African Union Commission was tenuous. As highlighted in the United Nations ‘Regional Coordination Mechanism Governance Cluster Annual Report’, there were low levels of participation by the RECs in the cluster.

#### 4.4 USE OF UNDP’S COMPARATIVE ADVANTAGES AND PARTNERSHIPS

UNDP’s effectiveness depends in part on its ability to make use of its comparative advantages and to establish partnerships. UNDP’s broad country presence, in combination with its broad thematic coverage, has been one of the organization’s greatest comparative advantages. UNDP has, however, recognized that one of its challenges is ensuring that its broad mandate is mirrored in its work, with development links across its four main focus areas systematically operationalized through cross-practice approaches.<sup>150</sup>

**The RPD and its constituent projects recognized the potential of cross-practice linkages, but including too many linkages in results frameworks led to confusion.**

The regional programme and its constituent projects recognized the multi-dimensional aspects of development challenges they were designed to address. Many projects designed under the regional programme were intended to contribute to more than one outcome, both within the same and across focus areas. For example, the regional project to support MDG-based national development and poverty reduction strategies listed three outcomes to which it contributes - two under the poverty focus area and one under governance. The revised governance programme results framework included an output which was to be realized through a separate project in the poverty portfolio (the Pôle de Dakar), as well as an output related to the management of natural resources, a topic linked to the environment focus area. Underlying these crossovers between the poverty and governance focus areas are the real-world links between pro-poor planning and budgeting, public financial management, and

<sup>150</sup> UNDP, ‘Mid-Term Review of the UNDP Strategic Plan and Annual Report of the Administrator,’ DP/2011/22, New York, 2011, 30.

public expenditure and accountability mechanisms. The first is seen as the work of the poverty practice area, and the last as part of governance, which illustrates the challenges of categorizing UNDP's work into one area or another. However, as there were few management mechanisms in place to manage and promote these interlinked contributions to outcomes, the frameworks resulted in confusion and incomplete reporting against outcomes.

**Cross-practice work in the regional service centres and the regional programme led to results. Yet such initiatives were due largely to individual initiatives and relationships since formal mechanisms to foster cross-practices approaches to address multi-dimensional development challenges were inadequate.**

As described in Section 4.2, the regional programme undertook converging, cross-practice work on themes such as food security, and youth employment and empowerment. In addition to this, the regional service centres and the regional programme undertook cross-practice work in response to other multidimensional development challenges. For example, increased access to energy sources has positive effects for poverty reduction, and the poverty and energy teams worked together to support Burkina Faso link a new phase of the MFP programme to broaden poverty reduction and local governance goals. Work on parliamentary engagement in the MDGs brought together the poverty/MDG, gender, HIV and environment practice teams, along with economic advisers at the country level. The regional HIV and AIDS project, in collaboration with the regional environment and gender teams partnered with the Southern Africa Institute for Environmental Impact Assessment to conduct a review of EIA laws and regulations, and to develop a self-assessment tool (Environmental Assessment Barometer) and a guide ('Environment Assessment Guidelines for

integrating gender and HIV into EIA processes'), on which 50 trainers from seven SADC countries have been trained. Cross-practice work involving the gender and capacity development teams are discussed in Section 4.5. In the area of democratic governance, there were cross-practice initiatives with the poverty practice (local governance and local development); governance inputs to the Africa Dialogue on HIV and the Law; training of officials in gender and elections with the gender practice; and collaboration with the capacity development practice on the Africa common position on development effectiveness.

Some project teams indicated that project management mechanisms constrained collaboration, with each team accountable for achieving results in its annual work plan, and shifting activities for greater collaboration was challenging. Insufficient attention to strategic and cross-practice planning at the beginning of interventions or the beginning of each programme year limited the potential for synergies.

**The regional programme drew on the UNDP country presence in its collaboration with other partners and built on the UNDP reputation for neutrality to convene and coordinate regional-level interventions.**

UNDP's broad thematic mandate is matched by its broad geographic coverage. UNDP's country presence is considered by partners as an important advantage, which the regional programme builds on. For example, UNDP contributed to country studies in the UNECA-led 'Africa Governance Report.' Similarly, UNDP support to national MDG reports positioned the regional programme as a key contributor to the collaborative Africa MDG reports, produced with UNECA, AfDB and the African Union. In the case of the AFIM initiative, UNDP was well-positioned to lobby for policy change at the regional and national level, through its credible work on the

ground, in collaboration with country offices.<sup>151</sup> In the area of governance, UNDP has been a key partner for the ARPM. Not only did the regional programme support the APRM Secretariat, but UNDP through its country offices also assists countries going through the review process, including the national self-assessment.

UNDP is recognized as an actor able to convene and coordinate others, bringing value-added beyond its specific sectoral expertise. For example, in the area of youth employment, other actors such as ILO, UNESCO and UNIDO implemented similar activities to those of UNDP, but UNDP, through its regional initiative, according to an evaluation of the project, was able to facilitate dialogue and coordination.<sup>152</sup> The mid-term evaluation of the AFIM initiative found that UNDP was viewed as able to convene the appropriate actors in a way that others may not have been able to do. While UNDP is not recognized as a solely private sector interest body, it was perceived to be aware of multilateral politics, public sector culture and responsibilities and poverty alleviation challenges.<sup>153</sup> One example of this is the Agri-Business Forum which brought together representatives from 29 African governments, the African Union, at least three RECs and the private sector and resulted in the Johannesburg Declaration.' In the case of the regional environment initiative, UNDP was, with additional inputs and support from the Angola country office, able to support the Okavango River Basin countries to finalize a transboundary diagnostic analysis and strategic action programme. A review of this programme component stated that the involvement of the regional programme was crucial in

conveying a clear message of neutrality to the three governments. The country offices, Angola in particular, supported both the intervention and their counterpart governments, which could have been problematic while negotiating the Strategic Action Plan at the political level. The regional programme was able to 'hold the players together' and create a wide partnership that resulted in a new positive approach, without committing to support one particular government.<sup>154</sup> An evaluation of the Pôle de Dakar found that UNDP brought a neutrality that assured openness to and acceptance of its support, not always found when interventions, such as those of the World Bank or the IMF, are linked to conditionalities.<sup>155</sup>

In the area of crisis prevention and recovery, the European Union and bilateral donors such as GIZ had become major players, and no longer wanted to channel their funds through UNDP, making it a challenge for UNDP to play its traditional coordinating and convening role. UNDP's role was further diminished by its limited financial contributions and delays in implementing projects. However, the African Union values UNDP and its neutrality, and there are indications of renewed engagement in the area of peace and security issues.

## 4.5 CROSS-CUTTING ISSUES AND STRATEGIES

As mentioned in Chapter 2, gender equality, in addition to being targeted as a specific goal, was identified by the regional programme as an underpinning principle for all interventions. Chapter 3 discussed the specific contributions of

<sup>151</sup> Imani Development, 'AFIM: Regional Project Mid-Term Evaluation,' presentation made on 4 December 2012.

<sup>152</sup> Jones and Negue, 'Regional Programme for Social Cohesion and Youth Employment for Sub-Saharan Africa: Final Evaluation Report.'

<sup>153</sup> Imani Development, 'AFIM: Regional Project Mid-Term Evaluation.'

<sup>154</sup> Tortell, Philip, 'UNDP Support to the Okavango River Basin Commission.'

<sup>155</sup> Damiba, Pierre Claver, '*Evaluation du Pôle du point de vue de la prospective, de la durabilité et de la soutenabilité des actions*,' 28.

the regional gender project and the section below assesses the degree to which gender equality considerations have been mainstreamed throughout the programme. Capacity development was also identified as a cross-cutting issue by the programme, which intended to design all of its policy and programmatic interventions from a ‘capacity development perspective.’ South-South cooperation, while not clearly articulated as a strategy in the RPD, is given importance in UNDP’s Strategic Plan and is linked to capacity development approaches. It has therefore been considered a cross-cutting strategy.

**The regional programme incorporated gender-equality considerations into the focus areas. Gender equality featured prominently in the design of projects and programmes, although the degree to which gender was mainstreamed varied from project to project.**

The evaluation of the previous regional programme found that the integration of gender equality considerations into the programme had been modest. From the available evidence, the current regional programme addressed this deficit to a significant extent and there were several examples of integration of gender equality into the various projects and initiatives.

Gender equality was well-integrated into projects focused on poverty and the MDGs through the GEMPI and gender-responsive budgeting initiatives. Economic advisers were exposed to gender perspectives in economic planning at the 2012 meeting of African economic advisers in Kigali (Rwanda). The Togo MAF, which focused on reducing poverty by improving the productivity of small producers’, includes a gender strategy which ensures that women represent at least 40 percent of the beneficiary population. The Ghana MAF on maternal health primarily focused on the improvement of women’s welfare. The HIV, health and development practice developed tools to assist SADC countries mainstream

gender and HIV into EIAs. The regional trade project developed case studies/capacity development tools to support women entrepreneurs gain access and benefit from trade opportunities. The regional programme also promoted gender equality in the area of climate change and this topic was integrated into the Gender Awareness short course at Makerere University. Promoting gender equality in political participation was also integrated into the regional governance programme. There was evidence of integration of gender equality considerations in conflict prevention, including research on gender aspects of small arms and light weapons, and support to ECOWAS and the International Conference of the Great Lakes Region for the development of plans to give effect to United Nations Security Council Resolutions 1325 and 1820. Gender equality was a key consideration in the regional programme’s work on access to energy. The MFPs recognised how access to sustainable energy can significantly improve women’s access to economic opportunities. Gender equality, however, was not well-integrated into the regional CD-PGA project.

A number of gaps still needed to be addressed to fully integrate gender equality into the regional programme. The staffing of the gender practice in the Africa region was small and insufficient to support gender mainstreaming across all projects in the regional programme as well as provide technical support to country offices on gender mainstreaming. There were also risks to sustainability of support provided to country offices. Even though gender focal points in 45 country offices had been trained over the period of the regional programme, movement of staff meant the knowledge was not always retained in the country offices.

**Capacity development underpinned many of the regional programme interventions but adopting a capacity development approach was not without its challenges owing to differing**

## **understandings of the concept amongst stakeholders, and the varying capacity levels of partner organisations.**

The RPD emphasised capacity development as a guiding principle in the design of its policy and programmatic interventions, and the need for interventions to target institutional as well as human capacity development. The current evaluation found that capacity development underpinned many of the interventions supported by the regional programme, as previously discussed in Chapter 3. Capacity development interventions varied across the different projects and reflected the varying needs of the regional institutions supported by the regional programme. Support to the African Union Commission was a mix of institutional capacity development and human capacity development, in response to the shortage of human capacity. Examples of capacity development include establishment of the Partnership Coordination Unit and support to the Peace and Security Department. In contrast, NEPAD received institutional capacity development support, for example, APDev. Capacity development in selected regional economic communities focused on strengthening strategic planning frameworks, technical guidance in establishing specialist units (for example, the trade policy unit in COMESA), technical tools and guidance in the use of TRIPS (SADC). The regional gender project focused primarily on developing human capacity through education and training courses. The regional governance programme used multiple approaches to capacity development though it tended to focus on training and advisory approaches. Examples of capacity development approaches in the democratic governance thematic area include electoral management training, financial forensic training for anti-corruption, training government officials on public administration, and advising on development of human rights action plans,

anti-corruption strategies, strategic plans and work programmes of governance institutions. In the area of energy, capacity development took the form of supporting regional institutions to formulate policies and training community-level stakeholders. In the area of environment, capacity was developed by training African diplomats to formulate African regional positions on topical issues such as climate change, which proved to be useful in negotiations at COPs. The high quality of interventions and contributions by African delegates to discussions at the Durban Climate Change Conference fully testifies to this.

Adopting a capacity development approach has not been without challenges and UNDP's approach requires a capacity assessment before designing and implementing related interventions. Regional institutions were not always willing to subject themselves to capacity assessments. They claimed to know what they needed and did not want their capacity needs assessed by every donor wanting to provide support. Also, a common understanding of capacity development, between UNDP and the regional institutions that it supports, did not exist. Some programme beneficiaries viewed capacity development as UNDP providing funding to fill vacant positions, or sending officials to training courses, suggesting they were interested in addressing urgent capacity requirements rather than adopting a longer-term approach. In addition, the weaker the capacity in the partner organisation, the harder it has been to adopt a capacity development approach. There were also varying understandings of the meaning of capacity development within UNDP, with some projects focusing on training, whilst others, such as the CD-PGA project, took a more comprehensive approach. The capacity development practice in the regional service centres provided some advisory support to regional projects, but not to a sufficient extent, according to the other practice areas.

**While not explicit, the regional programme supported efforts to mainstream South-South approaches in line with the UNDP Strategic Plan (2008-2013).**

According to the UNDP Strategic Plan, ‘UNDP increasingly supports capacity development services through South-South cooperation, by facilitating linkages and sharing experiences, expertise, institutional resources, and knowledge among developing countries.’ It further indicates that UNDP’s efforts to support development of capacities for human development and achievement of the MDGs ‘will be characterized by stepping up efforts to seek South-South solutions in its areas of focus.’ The one reference to South-South cooperation in the RPD outlines UNDPs intent to ‘facilitate Africa’s participation in the CDM, including technology transfer through South-South cooperation.’ However, many of the guiding principles set out in the RPD support the spirit of South-South cooperation, for example, promotion of African ownership and leadership of the continent’s development agenda; reinforcement of partnerships with regional institutions; and knowledge management and sharing through policy research, advocacy and the partnerships with African centres of excellence. One component of the regional governance programme focused explicitly on strengthening African governance institutions, think tanks and networks and developing platforms for sharing information and knowledge. UNDP, as described above, contributed to the codification and sharing of African practices in governance through support

to the ‘African Governance Report,’ the AGF and the AGI, a centre of excellence that conducts cutting-edge research on governance. The regional programme also supported the African Union Commission and NEPAD to establish APDev, which was designed to bring ‘a common voice to Africa’s development perspectives, strategies and policies focusing on capacity development, aid effectiveness and South-South cooperation.’<sup>156</sup> Other areas in which the regional programme supported programme countries to identify, document and disseminate innovative experiences include the documentation and presentation of value chains at events organized by the AFIM and the sharing of experiences in promoting youth employment at annual meetings of programme countries. Over the past 10 years, the regional programme has collated, documented and codified energy-related knowledge and experiences through implementation of the MFP. It also supported ECOWAS establish a regional web portal on access to energy services ([www.energyaccessafrica.org](http://www.energyaccessafrica.org)) making available methodologies, innovative tools and best practices, although at the time of the evaluation the portal was not very active. The regional programme also fostered exchange of knowledge across regions by co-hosting the Africa-China Poverty Reduction and Development Conference, which brought together officials from African countries, China, Viet Nam, regional African institutions, academic institutions, CSOs, private sector representatives and development partners to share lessons from China and other emerging economies of the global South.<sup>157</sup>

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<sup>156</sup> Africa Platform for Development Effectiveness, <http://www.africa-platform.org/overview>, accessed 14 December 2012.

<sup>157</sup> UNDP, ‘Breakthrough Strategies for Accelerating Growth and Reducing Poverty in Africa, Africa-China Poverty Reduction and Development Conference, Addis Ababa (Ethiopia), 1-2 November 2010, Conference Report.’

## CHAPTER 5.

# CONCLUSIONS AND RECOMMENDATIONS

The following conclusions and recommendations are based on the findings described in Chapters 3 and 4. The conclusions should be seen as mutually reinforcing, conveying an overall sense of UNDP's strengths and challenges in contributing to development results through the Regional Programme for Africa.

## 5.1 CONCLUSIONS

**Conclusion 1. The regional programme has been highly relevant, responding to ongoing development challenges in the vast and diverse region of sub-Saharan Africa. The regional programme has also been responsive to emerging issues and has implemented a series of complementary and potentially strategic initiatives.**

The Regional Programme for Africa was designed to address interlinked issues of poverty reduction and governance, with a strong emphasis on promoting regional integration. The largest programme component, poverty reduction and achievement of the MDGs, has focused on strengthening regional, subregional and national strategies for pro-poor growth and the reduction of gender inequalities while promoting inclusive globalization, regional integration and private-sector development. The second-largest component of the programme has promoted the consolidation of democratic and participatory governance, working not only to promote results that are realized at the country level, such as elections, but also supporting an accelerated pace of regional and subregional integration. Regional programme initiatives in the areas

of crisis prevention and recovery, and energy, environment and sustainable development also complemented the efforts to strengthen governance and achieve the MDGs.

The regional programme has been responsive to issues not initially articulated in the RPD, such as food security, which the programme addressed through complementary initiatives, such as the 'Africa Human Development Report 2012,' MAFs on food security, the promotion of agribusiness value chains through AFIM and support to youth employment. Access to energy through MFPs also contributed to improving food security, as may nascent work on disaster risk mitigation. Youth was another theme on which several initiatives converged. The relevance of this theme was highlighted in 'African Economic Outlook 2012,' which had as its special theme the promotion of youth employment. The regional programme supported youth employment through a project focused on this theme in the poverty portfolio as well as through activities under the energy project and supported youth empowerment in the governance portfolio.

**Conclusion 2. In light of the increasing emphasis on African integration and the promise that regional integration holds for supporting inclusive growth and accelerating and sustaining human development, the regional programme engagement with the African Union and RECs has been appropriate. Many of these institutions have weak capacity, requiring long-term engagement for capacity development. The reliance of the regional programme on short-term interventions has been inadequate in this area.**

As already noted in the ‘Evaluation of UNDP’s Second Regional Cooperation Framework for Africa 2002-2006,’ working with and through regional institutions as partners is an effective model for producing synergies between partners and countries in the region. The regional programme has been able to engage with the African Union to promote normative frameworks such as the ‘Human Rights Strategy for Africa’ and the ‘African Charter on Democracy, Elections and Governance.’ It has also been able to support the implementation of continental frameworks such as the APRM or the piloting of the harmonized indicators for labour information management systems.

Working with the RECs has been mutually advantageous: UNDP has been able to engage with them on issues that are difficult to take up at the country level, and the RECs benefited from the UNDP country presence to support the implementation of regional initiatives. For UNDP, the RECs also provided an existing mechanism for addressing multi-country issues and facilitated engagement with countries that are accustomed to working together. Furthermore, engagement at the REC level facilitated the sharing of experiences between different subregional groupings and not just between countries. For example, the ECOWAS experience with promoting access to energy has increased the interest of CEMAC in engaging with UNDP on energy issues.

Engagement with the RECs has been uneven across the programme, however. As was also pointed out in the ‘Management and Technical Review,’ nowhere in the documentation shared with the evaluation team was there evidence of a systematic, strategic analysis of the numerous and overlapping continental, regional and subregional bodies that have been established nor did UNDP appear to have a clear strategy to engage with these institutions or with some institutions over others. While coordination mechanisms such as the United Nations Regional Coordination Mechanism and the UNDP-African Union

Liaison Office in Addis Ababa have facilitated engagement with the African Union, coordination with the RECs has been more *ad hoc*. UNDP has engaged with the RECs on a sectoral basis: for example, the HIV team has engaged with the directorate or unit covering health and the energy team has engaged with the directorate or unit responsible for infrastructure or energy. There is, however, no focal point for each REC in the regional service centres, and no one appeared to have a complete understanding of what UNDP is doing with any one REC. In addition, many of these institutions have weak capacity, requiring long-term engagement for capacity development. The reliance of the regional programme on short-term interventions has been inadequate in this area, especially in the absence of a longer-term strategic plan of engagement. Given that support to regional integration is a central element in the regional programme, a more strategic and coherent approach appears desirable.

**Conclusion 3. The regional programme, for the most part, has been appropriately positioned within UNDP and has focused on issues with regional dimensions. The regional programme collaborated with country programmes to contribute to development results. Where coordination with country programmes was weak, there were challenges in yielding results and the value added of the regional programme was questioned. Holistic approaches, drawing on the ability of the regional programme to work with regional institutions and the country programme presence at the national level, were particularly effective.**

Most of the regional programme initiatives had a strong regional dimension, supporting the regional institutions to develop and implement regional frameworks and implementing programmes designed to address issues of relevance to multiple countries. The regional programme provided catalytic inputs that country programmes have been able to take forward. For example, in the case of Kenya, well-timed,

informative studies led the Government to take actions to increase youth employment, and, in the case of the Central African Republic, support to its poverty reduction strategy paper and MAF has helped to position the UNDP country office as an advocate for pro-poor development strategies. Linkages between regional and country-level interventions took different forms. For example, the regional youth employment programme supported, and in some cases directly implemented, country-level youth employment projects, whereas AFIM was designed to provide support to existing and emerging country-level private-sector projects. In the case of the directly implemented youth employment projects, some stakeholders saw little value added in having these managed by a regional project. Where the regional initiatives were weakly linked with country programmes, results were negligible. In the case of the agri-enterprise programme, for example, participants in regional training had no support structures to help them to apply their learning on their return home. The work on energy in West Africa, which engaged at the REC level to strengthen regional policies and frameworks, at the national level through support to national multisectoral groups and at the community level through implementation of the MFPs, was very effective in this region.

**Conclusion 4. The regional programme collaborated with the global programme. The degree and forms of integration between the support provided by the global and regional programmes varied to a great extent. Both programmes provided technical advisory support to country programmes. In terms of the efficacy of the support, the merit of having parallel global and regional support structures was not very clear.**

With respect to technical advisory support to country programmes, there were many cases where advisers from the global and regional programmes collaborated through effective

role-sharing. In the area of the MDGs, for example, the global programme provided the tools for development of the MAFs and funded some of the advisers in the regional poverty practice teams that also supported the application of the MAF at the country level along with the regional programme-funded MDG advisers at the regional centre and the economics advisers in the country offices. In terms of efficacy and lines of accountability, however, the merit of having a parallel support structure, with both the global and regional programmes directly delivering services to the country-level, was not very clear (as opposed to having a vertical structure, with the global UNDP structure supporting the regional UNDP structure, which supports the UNDP country programmes as well as regional institutions). Collaboration between the two programmes was often based on individual initiatives rather than on clear strategies, as evidenced by the great variation in the degree and forms of collaboration across focus areas. The uneven, and in part unexplained, distribution of support services across recipient country offices implies the lack of strategic allocation of services. The parallel structures of the global and regional programmes may in some cases have hindered the strategic allocation of limited service resources across countries.

**Conclusion 5. The regional programme was designed taking into consideration UNDP corporate priorities, emphasized normative values, addressed sensitive issues and, in particular, was highly responsive to gender issues. Its dual approach of having a gender-equality project as well as integrating gender equality into other projects ensured that gender equality remained visible in the regional programme, although to varying degrees across different interventions. The limited capacity to deal with gender equality in country offices undermines the efforts of the regional programme as do the capacity constraints within the regional gender teams.**

The regional programme has been able to promote United Nations values, engaging with partners at the regional level on issues that can be challenging to address at the country level, such as anti-corruption, HIV and AIDS, and gender. The issue of gender equality is inextricably bound up with the social, economic and political development of Africa as well as being a fundamental human rights issue. The regional programme has demonstrated good examples of integrating gender equality. The mainstreaming of gender and HIV into EIAs, the integration of gender into economic analysis, regional initiatives to address gender-based violence, the development of gender statistical capacity and the integration of gender into climate change are some of the examples explored in the evaluation.

However, the extent to which the regional programme can achieve results at the country level is dependent on capable gender focal points and the commitment of leadership in country offices to promoting gender equality. Weaknesses in the country office gender machinery have been noted in evaluations of UNDP country programmes. The regional programme, even though its stated intentions on gender equality were good, failed to allocate human resources commensurate with its goals and necessary to overcome the weak capacity of country offices in gender mainstreaming.

**Conclusion 6. The late start-up of many initiatives and the fragmented nature of some interventions limited the overall progress towards the intended results of the regional programme. The resulting short time frame for interventions was at odds with the long-term capacity development needs of regional institutions. The programme nevertheless made some useful contributions towards the intended programme outcomes, particularly in the case of longer-term initiatives.**

Delays in initiating many of the regional programme initiatives until late 2009 or 2010

limited the time frame for the achievement of development results. The delays were due in part to insufficient consultation with stakeholders during the development of the regional programme, necessitating a longer consultation phase for individual initiatives, and were compounded in some cases by delays in recruitment. Some projects such as the support to contract negotiations and agri-enterprise development, initiated under the previous programme or at the beginning of the current programme, suffered from weak oversight and yielded very few results. Other initiatives have, despite the short period of their operation, made important contributions. For example, the regional HIV and AIDS project laid a good foundation for further strengthening of regional responses to HIV and AIDS and the removal of discriminatory laws that hinder access to treatment, care and support. Implementation of human-security initiatives, though started late, yielded some results that can be built on in the next regional programme. Initiatives building on previous interventions under the earlier regional programme (RCF 2002-2007), such as the support to energy initiatives in West Africa, to MDG-based poverty reduction strategies, to the ARPM and to NEPAD, made useful contributions towards intended outcomes.

**Conclusion 7. The lack of a clear programme framework, weak communication, and poor monitoring, evaluation and reporting have been doing UNDP a disservice since regional programme results have not been clearly recorded, shared, reported or otherwise communicated.**

The current programme framework and project results frameworks attempt to capture complex realities where interventions in one area contribute to results in another. This approach may be theoretically valid but in practice leads to an unwieldy document. The resulting framework, with 17 outcomes many of which overlap in substance and with programme components contributing to several outcomes, has been difficult

to use as a strategic communication tool. In addition, the reporting against multiple outcomes has not only been weak but it has also not captured well synergistic work or work converging on key emerging issues.

Reporting of results was scattered and usually confined to listing activities conducted, with little information on how results of activities were leading towards intended outcomes. The indicators in the original results framework, with their inconsistent baselines and targets, have hardly been used to track progress. Project evaluations provided some useful assessments of project-level contributions to results but are not available across all programme areas. The single outcome evaluation that sought to cover all programme outcomes at once was unable to provide an in-depth assessment of progress against any one outcome.

As a consequence, programme results are not clearly communicated either internally through the 'ROAR' or externally through the UNDP public website, and the achievements of UNDP at the regional level have not been as visible as they could be. This weakens public accountability and could damage the image of UNDP as a credible business partner in the eyes of donors or other stakeholders.

**Conclusion 8. Owing to weak monitoring, learning, knowledge management and communication, the potential of the regional programme and the regional service centres to function as a regional knowledge hub has been only partially realized.**

The UNDP regional programme has produced high-quality knowledge products such as the 'Africa Human Development Report 2012' and has collaborated with other organizations to produce others, such as the Africa MDGs progress reports and 'African Economic Outlook.' Regional teams also contributed to global products such as 'Regional Integration and

Human Development: A Pathway for Africa' and 'Trade and Human Development: A Practical Guide to Mainstreaming Trade.' Regional teams also produced a large number of other research and policy documents, toolkits and guidelines the dissemination of which was uneven. In addition, regional teams took knowledge and experiences from one country to support advocacy and activities in other countries through, for example, implementation of the MAF and the MFPs. The regional programme used global programme expertise and in turn generated knowledge that has been shared globally. For example, in the case of HIV and AIDS, it drew on global knowledge to advise SADC countries on the use of trade-related aspects of intellectual property rights (TRIPS) to access sustainable supplies of drugs at a lower cost. The regional programme generated knowledge on the mainstreaming of HIV and gender into EIAs, and this experience has been shared globally for application in other regions. However, in many cases, knowledge and experience remained with individuals since mechanisms to foster the exchange of knowledge and experience, and to monitor results of regional support to country offices and country programmes in order to strengthen the analysis of lessons learned, remained weak.

## 5.2 RECOMMENDATIONS

Based on the findings of the evaluation, the following recommendations are presented for consideration by RBA and UNDP. These recommendations are not independent of each other, but are intended to be mutually supportive.

**Recommendation 1. The regional programme should continue to focus on interventions where a regional approach brings the greatest value added. First priority should be given to strategic initiatives, undertaken in consultation with other United Nations partners, that strengthen the capacity of regional institutions and support the implementation**

**of their priority frameworks. In the case of multi-country programmes, the regional programme should focus primarily on the provision of expertise, facilitation of cross-country exchanges and knowledge management, with country programmes implementing national or subnational activities. Where it is appropriate for the regional programme to implement country-level activities, this should be done in close collaboration with country offices, with a view to eventually incorporating these activities into country programmes.**

Given its limited resources, the regional programme should continue to focus on interventions where a regional approach brings significant value added. The regional programme should, in consultation with other United Nations partners, give first priority to strategic initiatives that strengthen the capacity of and support regional institutions to develop and implement priority frameworks, policies and programmes (one example among many from the work of the current programme being the support to the ‘African Charter on Democracy, Elections and Governance’) and to high-level advocacy for issues pertinent to the region (such as the ‘Africa Human Development Report’). The regional programme may complement these initiatives with interventions at the country level to support Member States in implementing those regional agendas. For example, under the current programme, in the area of HIV and AIDS, the regional programme has worked with SADC at the regional level and with Member States at the country level on specific priority issues identified with SADC. As the second priority, the regional programme should address issues of concern to multiple countries, where a regional approach brings advantages over individual country approaches. This may include, for example, the provision of specialized technical advisory services required by several countries (for instance, the Pôle de Dakar under the current programme) or initiatives that address cross-border issues, such as natural resource management.

In the case of multi-country programmes, generally, the primary roles of the regional programme should be the provision of technical expertise and guidance, knowledge management including facilitation of cross-country exchanges of experiences, and monitoring of progress in specific themes relating to the intervention and in codifying and sharing lessons learned, while country programmes implement activities at the national or subnational level. For example, any future regional programme work on youth employment could focus on regional issues (as in the work of the current programme with ECOWAS on a youth-employment action plan) and on bringing together countries to share experiences in promoting youth employment, leaving community-level initiatives to promote employment to country programmes. There may be cases where it is appropriate for the regional programme to support country-level activities directly, such as piloting a new activity or approach that may not yet be incorporated into country programmes. Such country-level activities should be carried out in close collaboration with the country offices, with a view to eventually incorporating these activities into country programmes.

**Recommendation 2. RBA should develop a results-oriented strategy for engagement with regional institutions.**

Building on analyses conducted by various regional interventions under the current regional programme as well as by partners, RBA should conduct a systematic, strategic analysis of regional institutions to identify their strengths, weaknesses and opportunities for engagement with UNDP as well as review in greater depth results achieved and lessons learned through UNDP work to date with regional institutions. On this basis, RBA should develop a strategy for engagement with regional institutions, including mechanisms for systematic consultation between UNDP and the regional institution, and between units within UNDP engaging with the same institution. This

framework for engagement should be both results-oriented and flexible, enabling the regional programme to respond quickly when opportunities to strengthen a regional institution arise without losing sight of the intended outcomes to which interventions should contribute.

**Recommendation 3. The regional programme and projects should be designed from the outset in consultation with stakeholders, in particular the African Union and RECs and, to the extent possible, national governments and country offices, to ensure ownership.**

In light of the challenges faced by the regional programme during the initial years of the programme period, stemming in part from insufficient consultation with stakeholders during the design of the programme and some initiatives, RBA should design a strategy for the development of the next regional programme and constituent projects that ensures adequate consultation with regional and national stakeholders to create ownership and that promotes continuous, long-term engagement in strategic areas. In addition to this consultation with partners, the regional bureau should involve UNDP staff, including regional advisers and other regional service centre team members as well as country office teams, during formulation to strengthen internal ownership of the overall programme, facilitate more efficient start-up, and identify from the outset the potential for cross-practice collaboration during the implementation of the new programme.

**Recommendation 4. With respect to its strategic initiatives and projects, the regional programme should sharpen its focus and articulate in the RPD a limited number of outcomes and outputs. In addition, RBA could consider identifying a few unifying cross-cutting themes highly relevant to Africa in the coming years that can be mainstreamed across interventions to give additional coherence and visibility to the programme.**

When developing the regional programme and its constituent strategic initiatives, RBA should, as already recommended in the 'Evaluation of UNDP's Second Regional Cooperation Framework for Africa 2002-2006,' define a limited number of outcomes and outputs. This will provide vision and facilitate the prioritization of interventions. It will also facilitate monitoring, learning, knowledge management and communication of programme results. At the same time, the regional bureau could consider identifying a few unifying cross-cutting themes highly relevant to Africa to be mainstreamed across interventions in different focus areas. Identifying and mainstreaming a small number of cross-cutting themes will give additional coherence and visibility to the programme. This will also promote cross-fertilization of ideas and collaboration across practice areas. The new regional programme should include an M&E framework with clear indicators and consistent baselines and targets and a plan for evaluations of strategic initiatives.

**Recommendation 5. With respect to technical and advisory services, the UNDP global policy bureaux and RBA should ensure an integrated strategy for the provision of a necessary range of regional advisory and technical support services to country offices. The management should monitor the effect of services provided by the regional advisers and take decisions based on the need for, and the efficacy of, support in helping country offices to realize development results.**

With respect to technical and advisory services, UNDP and RBA should ensure an integrated strategy for the provision of a necessary range of regional advisory and technical support services to country offices in support of country programmes. Given the great needs of country offices for technical support and the limitation in resources available for this purpose, it is imperative to establish a clear responsibility and accountability mechanism for allocating support

services in a strategic manner across countries and technical areas. For this purpose, it should be made clear that all regional advisers, regardless of the funding source, are accountable to the management of the regional service centre. The management should monitor the effect of services provided by the regional advisers and take decisions based on the need for, and the efficacy of, support in helping country offices to realize development results. In the longer-term, the levels and types of expertise of these advisers should be adjusted on the same basis. The management could also consider studying the engagement mechanism used by the Asia-Pacific Regional Centre with its country offices.

**Recommendation 6. RBA, BDP and BCPR should strengthen monitoring and follow-up by the regional service centre for learning, knowledge management and effectiveness.**

There is great potential for the regional service centres and regional programme to expand their learning and knowledge-management role. The regional service centre teams should more systematically follow up on and monitor the results of their interventions at the country level. In addition, the regional teams can follow different country programme interventions in areas of particular regional interest in order to strengthen understanding of which initiatives are leading to results in which contexts. This will enable the regional teams to further tailor their advisory

services and to share their analysis and lessons learned with institutions and countries of the region, as well as contribute to regional and global knowledge products.

**Recommendation 7. RBA, through the regional programme, should further enhance the development and dissemination of regional knowledge and knowledge products.**

To further strengthen its knowledge-management role, RBA and the regional programme should assist regional projects and country offices to identify experiences and lessons learned that should be documented and the best means of disseminating this information, not only in the form of publications but through other forms of media such as social media, e-learning and video-clips as appropriate. Knowledge products should be showcased and made readily available on relevant UNDP websites and should also be made available, to the extent possible and as relevant, in English and French. Knowledge products can be designed to strengthen programme synergies and reinforce messages by, for example, producing 'Africa Human Development Reports' on one or more of the unifying themes of the programme or by involving relevant regional teams in the conceptualization and development of knowledge products. The regional programme should monitor the dissemination and use of different products to refine continuously its knowledge-management strategy.

## ANNEX 1.

# TERMS OF REFERENCE

## 1. PURPOSE AND OBJECTIVES OF THE EVALUATION

The 2012 programme of work approved by the UNDP Executive Board indicates that the Evaluation Office should conduct independent evaluations of regional programmes implemented under the responsibility of UNDP's five regional bureaux.<sup>158</sup> The objectives of a regional programme evaluation are to:

- Provide substantive support to the Administrator's accountability function in reporting to the Executive Board;
- Facilitate learning to inform current and future programming at the regional and corporate levels, particularly in the formulation and implementation of the new regional programme to be approved in 2013 and to start in 2014; and
- Provide stakeholders in regional programme countries and development partners with an objective assessment of the development contributions that have been achieved through UNDP support and partnerships with other key players through the regional programme during a given multi-year period.

To achieve the above objectives, the Evaluation Office will conduct these evaluations to analyse the contributions made by the regional programmes during the current programme period, as well as their strategic positioning from the viewpoint of assessing its relevance and responsiveness, and strengths and weaknesses.

## 2. BACKGROUND AND CONTEXT

### 2.1 UNDP PROGRAMME STRUCTURE

UNDP delivers support to programme countries through the following three programme frameworks:

- Global programmes run by two global sectoral policy bureaux the Bureau of Development Policy (BDP) and the Bureau of Conflict Prevention and Recovery (BCPR);
- Regional programmes run by five regional bureaux (respectively for Africa, Arab States, Asia and Pacific, Europe and the Commonwealth of Independent States, and Latin America and the Caribbean) mainly through its regional centres; and
- Country programmes and multi-country programmes run by country and multi-country offices under each regional bureau.

Each of these programmes is defined by a programme document approved by UNDP's Executive Board, which allocates core funding for the delivery of the programme. In addition, activities in each programme are financed by funds from external sources, usually provided to achieve specific objectives within each programme.

### 2.2 UNDP REGIONAL PROGRAMMES

Since its inception, UNDP has been extending support to groups of countries at regional and subregional levels, in addition to its global and country-level operations. Most recently, with the

<sup>158</sup> DP/2011/24, Programme of work for the Evaluation Office for 2011-2012, 'Annual Report on Evaluation in UNDP 2010,' Executive Board of the UNDP, UNFPA and UNOPS, 6-17 June 2011.

introduction of UNDP's corporate Strategic Plan 2008-2011, the current regional programmes were introduced, replacing the former regional cooperation frameworks. These regional programmes, compared to the former cooperation frameworks, have a clearer programme structure with a more explicit results-framework, and their programme cycle was aligned to that of the Strategic Plan 2008-2011. In 2010, the Strategic Plan was extended to complete in 2013. Accordingly, the regional programmes were also extended to 2013.

Since their establishment in 1970, the regional bureaux have been managing regional programmes and projects in addition to providing oversight to country offices in their respective region. In the mid-1990s, UNDP introduced a subregional resource facility system to provide technical support to the country offices and linkage to the sectoral expertise in the two policy bureaux and beyond. In the mid-2000s, UNDP developed regional service centres in each region, building on the subregional resource facility system while adding new functions and management arrangements, including the responsibility to implement regional programmes.

The regional programmes are designed around UNDP's four focus areas, namely: poverty reduction; democratic governance; environment and energy; and crisis prevention and recovery. Within this structure, the regional programmes also address cross-cutting issues such as gender equality and South-South cooperation.

Typically, a regional programme involves the following types of activities:

- Regional public goods, such as advocacy materials or tools that can be used by concerned in the region.
- Subregional or cross-border activities that are delivered in multiple countries, addressing an issue of the cross-border nature, such as illegal drug trafficking.

- Multi-country activities that are put together for the purpose of achieving cost-efficiency by organizing a group event (e.g. organizing a seminar of interest to multiple countries), for the purpose of addressing politically-sensitive issues (e.g. gender equality and human rights), or for any other purposes where participation of multiple countries would be deemed more appropriate.

The three programme frameworks – global, regional and country – are inevitably and inextricably linked. For example, a regional programme component or activity may be funded by core and other resources mobilized to finance that specific activity, or it may be partly financed by global programme or country programme resources. The global programme funds positions in the regional centres to provide expertise. The experts in these positions normally work together with experts funded by regional programme to implement the regional programme. Similarly, activities undertaken at the country level may use resources from both country and regional programmes. All three frameworks contribute to common development results, and attempting to isolate the contribution of one or the other programme, for example the global or the regional, to a specific development change may not be meaningful.

### **2.3 THE REGIONAL CONTEXT – AFRICA**

The UNDP Regional Bureau for Africa (RBA) covers 46 countries, which collectively have shown robust economic growth, political and social progress, and advancement towards the MDG targets for more than a decade. Some of the world's fastest growing economies are in Africa, and they have expanded even during the on-going uncertainty in the global economy. This has brought a renewed sense of optimism about the region's future. At the regional level, the African Union is reorganizing to address conflicts and political instability more effectively, and to accelerate economic integration. Regional economic communities (RECs) such as

the Common Market for Eastern and Southern Africa (COMESA), Economic Community of Central African States (ECCAS), Economic Community of West African States (ECOWAS), and Southern African Development Community (SADC), have become much more proactive in promoting regional integration. The New Partnership for Africa's Development (NEPAD) constitutes the economic strategy of the African Union, and the African Peer Review Mechanism (APRM) is the mechanism for benchmarking progress on democratic governance.

Nevertheless, Africa still faces considerable development challenges. Economic growth is yet to impact meaningfully on poverty reduction or decent employment – especially for youth, and private sector expansion; nor has it led to a reduction of gender disparities or other social inequalities. Sub-Saharan Africa's average hybrid Human Development Index (HDI) stood at 0.43 in 2010 compared to 0.64 for developing countries as a whole.<sup>159</sup> Disease also remains a challenge to human capital development and the attainment of the MDGs. Despite a significant drops in HIV incidence rates in many countries, in 2010, sub-Saharan Africa accounted for 70 percent of new HIV infections.<sup>160</sup> Tuberculosis and malaria further aggravate the burden of disease in the region. Progress in democratic governance has been uneven, and peace and conflict resolution in several subregions remain fragile. Recent events in North Africa have raised concerns about the potential for political turmoil to spread to sub-Saharan Africa. Another challenge is the impact of climate change. Sub-Saharan Africa may be the world's lowest emitter of carbon dioxide, but it stands to be the region most affected by climate change which will compound the environmental and energy challenges that the region faces.

## 2.4 THE REGIONAL PROGRAMME FOR AFRICA 2008-2013

The Regional Programme for Africa provides a framework for the implementation of regional projects and programmes, and a provision of policy and advisory services. The regional programme is managed by RBA. Individual regional projects, which provide support to regional institutions and countries in the region are administered, with some exceptions, through regional service centres in Dakar (Senegal) and Johannesburg (South Africa). The regional centre in Dakar covers 23 countries in West and Central Africa, and the regional service centre in Johannesburg serves 23 countries in Eastern and Southern Africa.

The regional programme (2008 -2011) was approved during the September 2007 meeting of UNDP's Executive Board and further extended to 2013 during the 2009 Board meetings, aligning it with the extension of the Strategic Plan. The regional programme is the third in a series of regional programmes that were previously referred to as regional cooperation frameworks (RCFs). Consistent with UNDP's Strategic Plan and responding to Africa's development priorities and emerging challenges, the regional programme outlines programming interventions to build regional capacities in four broad focus areas, namely:

- Poverty reduction and the achievement of the MDGs;
- Consolidating democratic and participatory governance;
- Conflict prevention, peacebuilding and recovery; and
- Energy, environment and sustainable development.

The Executive Board directed that all policy and programme interventions emerging from

<sup>159</sup> UNDP, 'Human Development Report 2010,' New York, 2010.

<sup>160</sup> UNAIDS, 'UNAIDS World AIDS Day Report,' New York, 2011.

the regional programme should be designed from a capacity development perspective, promote targeted institutional and human capital reinforcement programmes in critical areas of African economies, and be further underpinned by strategies to promote gender equality. The regional programme gives pre-eminence to support to the African Union and its related RECs and, accordingly, regional project documents were formulated with the principal objective of strengthening the capacity of these institutions. Where appropriate, project documents also supported capacity development at national-levels, especially where regional/cross border imperatives were clearly demonstrated.

The regional programme is structured around the four above mentioned focus areas, with 17 intended outcomes, set out as follows:

#### **Focus Area 1: Poverty reduction and achievement of MDGs**

- Programme Component: Promoting inclusive growth, gender equality and the achievement of the MDGs

Outcome 1: Regional, subregional and national strategies for higher levels of pro-poor growth and reduction of gender inequalities formulated/ implemented

Outcome 2: Accelerated pace of progress towards attainment of the MDGs in Africa and adequate resources mobilized in support of them

- Programme Component: Inclusive globalization and regional integration

Outcome 3: Strengthened capacity of African countries for increased participation in global trade, and linking trade policies to poverty reduction

Outcome 4: Outcome of trade negotiations reflect common African position

- Programme Component: Mitigating the impact of HIV on human development

Outcome 5: Capacity built in critical social sectors linked to pandemics, especially HIV/AIDS, tuberculosis and malaria

- Programme Component: Private sector development and CSO engagement

Outcome 6: Conducive policy and regulatory environment for private sector growth including private sector participation

Outcome 7: Diversified private sector including SME

#### **Focus Area 2: Consolidating democratic and participatory governance**

- Programme Component: Responsive and effective democratic states

Outcome 8: Enhanced political participation and management of elections

Outcome 9: Strengthened economic governance and enhanced service delivery

- Programme Component: Accelerated pace of regional and subregional integration on the continent

Outcome 10: More effective regional institutions

- Programme Component: Effective governance knowledge management

Outcome 11: Better understanding, codifying and sharing best African practices in governance

#### **Focus Area 3: Conflict prevention, peace-building and economic recovery**

- Programme Component: Effective subregional and regional mechanisms for crisis prevention

- Outcome 12: More effective regional institutions for crisis prevention
- Outcome 13: Effective regional mechanisms for disaster preparedness & response
- Programme Component: Effective regional mechanism for crisis recovery
- Outcome 14: Greater responsiveness to, and sustainable recovery from, crisis
- Outcome 15: Human security enhanced

#### **Focus Area 4: Energy, environment and sustainable development**

- Programme Component: Mainstreaming environment, energy and climate change
- Outcome 16: Enhanced capacities of regional and subregional institutions to deliver both environmental and energy services
- Outcome 17: Participation of African governments in environmental finance

The Executive Board allocated USD 80 million in TRAC resources for the RPA. There was also a carryover of USD 30 million from the previous programme cycle. In addition, some USD 45 million was mobilized, principally from the Spanish Government, the Bill and Melinda Gates Foundation and the European Union. These resources have been further supplemented by several re-activated trust funds, amounting to USD 8.4 million. Between January 2008 and July 2011, regional programme expenditures amounted to approximately USD 64 million.

As indicated in the above sections, UNDP's global and regional programmes are closely interconnected. This is also the case in the Africa region, where 'practice leaders,' funded through the global programme (BDP-managed) and BCPR resources, are posted in the regional service centres and – to varying degrees – oversee and support activities of the regional programme. The integration of the

global and regional programmes is often more implicit than explicit, but in understanding the regional programme, such linkages will need to be taken into account. The regional programme also works together with other initiatives, funded by both core and non-core resources, to deliver services and products to programme countries the senior economist programme, is a case in point, which is co-funded by the regional programme and, directly, by the Biennial Support Budget.

A 'Management and Technical Review,' commissioned by RBA, was conducted in late 2010 to early 2011 for the entire regional programme. Since programme implementation had in many cases only recently commenced, the review did not focus on contribution to outcomes. In line with the Executive Board's mandate to conduct outcome evaluations for the regional programme, an outcome-level evaluation, commissioned by RBA, is currently underway (April-June 2012).

### **3. SCOPE**

The evaluation will cover the programme period from 2008 – 2013 and will assess all dimensions of the regional programme. For the purpose of this evaluation, 'regional programme' will be defined as a set of programme activities designed to contribute to the achievement of the outcomes as set out in the regional programme document (RPD) approved by UNDP's Executive Board. Initiatives supported, in part, through the regional programme, such as the senior economist programme, will also be assessed.

The overarching focus of the evaluation will be on the relevance of the Regional Programme for Africa to targeted counterparts – including the African Union, RECs and member countries – and its added value to the region.

The evaluation will assess the regional programme's contributions to development results, and the strategic contribution of the regional

programme to the broader goals of regional integration. Furthermore, it will analyse the factors that have contributed to the performance of the regional programme.

The outcome-level evaluation of the regional programme commissioned by the RBA will be used to triangulate and validate findings of the present evaluation.

The evaluation will factor in the interlinkages between the fourth Global Programme (GP IV), and the regional and country programmes in contributing to development results in the region.

The evaluation will take into account the changing global development context, as well as UNDP's responses thereto, including UNDP's Agenda for Organizational Change, and ongoing efforts by RBA to reform its institutional arrangements in Africa.

## 4. METHODOLOGY

### 4.1. EVALUATION CRITERIA

The regional programme evaluation assesses performance against a given programme framework that specifies the strategic intent of the implementer and the precise objectives to which the programme is intended to contribute. Given that outcomes are, by definition, the work of a number of partners, *attribution* of development change to the regional programme (in the sense of establishing a causal linkage between a development intervention and an observed result) will be extremely difficult and, in most cases, impossible. The evaluation will therefore consider *contribution* of the regional programme to the intended change stated in the programme document and the evaluators will need to explain how the regional programme contributed to the observed results.

To make the assessment, the evaluation team will first examine the stated outcomes; identify the change over the period being evaluated and the

regional and national strategies and actions in support of that change. Second, they will examine the regional programme's strategy and the implemented actions in support of national/regional efforts. The contribution of the programme to the development outcomes will be assessed according to a standard set of evaluation criteria to be used across all regional programme evaluations:

- **Relevance:** How relevant is the regional programme to: (a) the priority development challenges and emerging needs of the region; (b) promotion of UN values and UNDP mandate; and (c) its comparative strengths?
- **Effectiveness:** To what extent has the regional programme contributed to the realization of the intended outcomes as outlined in the RPD?
- **Efficiency:** Has the regional programme made good use of its financial and human resources?
- **Sustainability:** To what extent are the results that UNDP contributed to through the regional programme sustainable?

While assessing performance using the above criteria the evaluators will identify the various factors that can explain the performance. Even though regional programmes are implemented in a wide range of contexts the evaluations are looking at a standard programming framework. As a result there are some standard explanatory factors that can be assumed to affect performance, for example covering:

- **Partnerships:** How well did the regional programme use partnerships (with civil society, private sector, regional inter-governmental bodies, parliaments, international development partners, etc.) to improve its performance?
- **Gender:** Did the regional programme undertake adequate gender analysis to ensure more effective performance?

- **Capacity development:** Did UNDP adequately invest in, and focus on, national capacity development to ensure sustainability and promote efficiency?
- **Project/programme design:** Has UNDP applied an appropriate mix of modalities (e.g. regional public goods, subregional issues, multi-country interventions, technical support to country offices, etc.) to maximize performance in view of regional needs?
- **Knowledge management:** Are the knowledge products (reports, studies, etc.) delivered by the regional programme and regional centre adapted to country needs?

A set of guiding questions has been prepared to assist in conducting the evaluation with respect to the above criteria and explanatory factors.

#### **4.2. EVALUABILITY**

Some of the challenges in evaluating the regional programme relate to:

- Overall lack of a clear programme framework and the absence of meaningful indicators;
- Absence of a clear understanding of what outcomes would imply in the context of regional and subregional institutions;
- Integration of the regional programme with other programme initiatives (e.g. the Global Programme), which makes it difficult to clearly delineate what is ‘in’ and what is ‘outside’ the regional programme; and
- Relatively late launch of many regional programme initiatives which will make the determination of contribution to outcomes more difficult.

While the development of a logic model will help clarify regional programme and project

intentions, data collection and analysis will need to be mindful of these challenges in order to ensure best possible results.

## **5. DATA COLLECTION AND ANALYSIS**

### **5.1 DATA COLLECTION STRATEGY**

The evaluation will draw conclusions based on triangulation of evidence from different methods and sources (primary and secondary). The primary data collection strategy will use three modalities to ensure both sufficient coverage (breadth) and insight into the role and functioning (depth) of the regional programme. The evaluation will draw on a survey of Resident Representatives and country offices, commissioned by the Evaluation Office. The evaluation team will conduct interviews by thematic area through on-line/telephone interviews with a wide range of stakeholders. Finally, the evaluation team will visit selected countries to conduct in-depth, face-to-face interviews.

The evaluation team will also review secondary materials, including but not limited to programme and project documents, annual reports including the ‘Results-Oriented Annual Report (ROAR),’ reports to and minutes of Advisory Board meetings, the 2011 ‘Management and Technical Review’ and the 2012 ‘Outcome Evaluation’ commissioned by the regional bureau, evaluations of regional projects and the evaluation of the previous regional cooperation frameworks.

### **5.2 DATA COLLECTION AND ANALYTICAL METHODS**

The evaluation team will use, *inter alia*, the following methods to collect and analyse data. These methods are presented in a logical sequence, although activities may be carried out simultaneously, or in an iterative manner.

- **Comparative analysis of the programme intent and implementation**

Conduct a comparative analysis of the programme as designed in the programme document and project documents, and the implementation as presented in the annual work plans, regional centre's annual reports and regional programme ROARs, to assess *inter alia* the relevance of activities implemented.

Conduct interviews (with, for example, regional centre staff) to examine the process in which the activities were identified for implementation, to identify *inter alia* the factors affecting relevance.

Compare the results reported for the activities against the programme and project results framework and draw preliminary conclusions on the performance of the programme.

- **Quality assessment of project outputs**

Conduct quality assessments of the main project products, such as reports, studies and toolkits.

Use the quality assessment to inform the assessment of the performance, *inter alia* on the relevance and effectiveness dimensions.

- **Media analysis**

As appropriate, and when relevant, analyse the media coverage of main products and activities collected or disseminated by the regional centre on major reports and advocacy activities to inform, *inter alia*, the assessment of the effectiveness of the activities.

- **Analysis of survey results**

Analyse the results of the survey of the country offices conducted by the Evaluation Office.

- **Analysis of advisory services**

As appropriate and based on information available, including the results of the

survey, analyse advisory services provided, for example based on service types, service lines, client types and countries.

- **Analysis of secondary data on associated country programme activities**

Identify programme activities delivered through country-level activities from the regional programme annual work plans, regional centre's annual reports and ROARs.

Examine readily available information on the results achieved by these country-level activities such as from their websites and other reports.

Scan the existing evaluation reports (Assessment Development Results [ADRs], country office evaluations) to collect their findings and assessments on the performance of the activities and services.

- **Analysis of the findings of the outcome Evaluation commissioned by the RBA**

Review the report of the 'Outcome Evaluation' commissioned by RBA to extract findings and validate findings from primary data collection and analysis.

### 5.3 DATA COLLECTION PLAN

The evaluation team will prepare a plan for data collection, prior to conducting the primary data collection. The plan will contain:

- The activities for which the primary data will be collected;
- Secondary data sources consulted for each activity;
- Primary data sources (e.g. interviewees) for each activity;
- Interview questions for each types of activity and stakeholder; and
- Country visit plans and coverage of activities in country visit.

## **5.4 OUTCOME OF THE DATA ANALYSIS**

As the data is collected, the evaluation team will engage in the analysis of the data. The result of the data analysis should be structured as follows:

- The findings, namely corroborated facts and statements (by activity);
- Assessments, identifying the factors that led to the assessments made (by outcome and by evaluation criteria);
- Conclusions, general statements on the value and performance of the programme addressing broadly the evaluation questions, and underlying factors and features of the programme that led to such conclusions; and
- Preliminary recommendations.

## **6. PROCESS**

**Desk study:** Each evaluation team member must first conduct a desk study of relevant materials to proceed on the preliminary secondary data analysis. A set of main UNDP documents and information about the programme, including the survey of country offices, will be provided by the Evaluation Office for this purpose. The team member should also consult other relevant sources of information such as documents found in UNDP websites.

**Missions to the regional centres and finalization of the data collection plan:** The Principal Evaluator will conduct an initial mission to the Johannesburg Regional Service Centre. After the preliminary desk study and the initial mission to the regional centre in Johannesburg, the evaluation team, including the Evaluation Manager and the Task Manager, will visit the Dakar Regional Service Centre. These missions will deepen the team's understanding of programmes and projects through interviews with the regional centre staff. It will also provide an opportunity to collect additional materials and further the

secondary data analyses, discuss the preliminary findings from the secondary data analysis, and finalize the data collection plan.

**Data collection:** Once the data collection plan is finalized, the team will start collecting primary data following the plan. Data collection will involve country visits as set out in the plan, as well as interviews through telephone and other distance-communication means. After each country visit, the team member will circulate the interview results provided in the agreed format.

**Data analysis and second team mission:** When sufficient data are collected, each team member will start analysing them in the area of his/her responsibility, and prepare preliminary outcomes of the analysis. The team will get together for one week to complete the data analysis, identifying the common factors and issues, and general conclusions.

**Validation and feedback session with the regional bureau:** As deemed appropriate, the team will make a presentation to either the regional bureau or one or both of the regional centres on the outcomes of the data analysis, including preliminary findings, assessments and conclusions, with a view to solicit the feedback and further validate them.

**First draft:** Based on the data and the analysis, as well as from the feedback at the validation session, the evaluation team members will prepare the first draft of the report. The first draft will be reviewed by the Evaluation Office and an external reviewer for its quality, and the team may need to revise it accordingly.

**Stakeholder reviews and the final draft:** Once the Evaluation Office thus clears the report, the draft will be provided to the regional bureau for written comments. The team will revise the report based on those comments while recording the changes made in an audit trail, to prepare the final draft.

The final draft will be presented to members of UNDP Executive Board during its informal session. After any necessary revisions are made, it will be published by the Evaluation Office.

Prior to the presentation to the Executive Board members, a stakeholder meeting may be held – if there is an appropriate opportunity – for presentation and feedback.

## **7. MANAGEMENT ARRANGEMENTS**

### **7.1 ROLES AND RESPONSIBILITIES**

In keeping with its basic mandate, the Evaluation Office will have overall responsibility for the content and production of the evaluation report and its presentation to the Executive Board. The Evaluation Office will manage the evaluation process, put in place a quality assurance system, provide administrative and substantive backstopping support, and ensure the coordination and liaison with concerned agencies at headquarters as well as the country-level. It will also ensure that the evaluation is conducted in accordance with the Code of Conduct for Evaluation in the United Nations System, as approved by the members of the United Nations Evaluation Group.

RBA, the Johannesburg and Dakar Regional Service Centres, and country offices in the region will facilitate the evaluation by providing all the necessary information and documents, as well as logistical support to the evaluation team as may be required.

### **7.2 COMPOSITION OF THE EVALUATION TEAM**

The evaluation team will be led by an Evaluation Manager assigned by the Evaluation Office of UNDP. The Evaluation Manager will be assisted by a Task Manager, also assigned by the Evaluation Office. The evaluation team will include a Principal Evaluator who will take lead

responsibility for the analytical chapter of the report, and for ensuring quality inputs into this chapter by other team members. Two additional sectoral experts will be engaged to support data collection and analysis.

Responsibilities of each team member will be provided in addenda to these Terms of Reference.

## **8. DELIVERABLES**

The deliverables of the evaluation team comprises the following:

- A data collection plan;
- An evaluation report;
- Report briefs for the Executive Board and publicity materials; and
- Presentations to the regional bureau, Executive Board members and others, as required.

The main text of the evaluation report will be 60-80 pages, excluding annexes. The team should submit the drafts in English and must follow drafting guidelines provided by the Evaluation Office. The report will be structured as follows:

- |            |  |
|------------|--|
| Chapter 1: | Introduction, presenting the report and the methodology used                   |
| Chapter 2: | Regional context and UNDP's regional programme                                 |
| Chapter 3: | Contributions of UNDP's regional programme (assessments by programme outcomes) |
| Chapter 4: | Strategic positioning of UNDP's regional programme                             |
| Chapter 5: | Conclusions and recommendations  |

- Annex 1: Terms of Reference
- Annex 2: List of people consulted
- Annex 3: List of documents consulted
- Annex 4: List of regional programme projects and activities studied

## **9. TIMEFRAME**

The tentative time frame for the evaluation is as follows:

- Preparatory phase – January to May 2012
- Inception phase – July – September 2012
- Main evaluation phase – October–November 2012
- Report preparation phase – December – February 2013



## ANNEX 2.

# PEOPLE CONSULTED

### National Governments

#### BENIN

Agli, Evariste, Ministry of Development, Economic Analysis and Forecasting  
Akpo, Samuel Romain, Ministry of Development, Economic Analysis and Forecasting  
Cossi, Houeninvo, Prime Minister's Office, Public Policy Evaluation Office  
Domingo, Benoit, Coordinator, Prime Minister's Office  
Houssou, Prosper, Prime Minister's Office  
Kangni, Achille, Ministry of Development, Economic Analysis and Forecasting  
Lokossou, Innocent, Ministry of Development, Economic Analysis and Forecasting  
Savy, Myrielle A., Ministry of Development, Economic Analysis and Forecasting  
Vigan, Evariste, Ministry of Development, Economic Analysis and Forecasting

#### CHAD

Patcha, Kandje Victor, Director, Department of Programmes and Projects, Ministry of Agriculture and Irrigation

#### GAMBIA

Ceesay, Kemo, Director, Ministry of Energy

#### KENYA

Kasera, Josephine, Officer, Ministry of Youth Affairs and Sport  
Mwinzi, Dinah C., Director of Youth, Ministry of Youth Affairs and Sport  
Wanjiru Karuru, Irene, Officer, Ministry of Youth Affairs and Sport

#### MALAWI

Chiluzi, MacDavis, Director of Youth, Ministry of Youth and Sport  
Maganga, Joyce, Principal Research and Employment Officer, Ministry of Labour  
Msosa, Angela, Chief Statistician, Demography and Social Statistics Division, National Statistical Office, Malawi  
Zombe, Edward, Principal Youth Officer, Ministry of Youth and Sport

#### NAMIBIA

Nghitila, Teofilus, Environmental Commissioner, Directorate of Environmental Affairs

#### SENEGAL

Gueye, Ibrahima, National Director of Employment, Ministry of Youth, Vocational Training and Employment  
Ndiaye, Aly Coto, Minister, Ministry of Youth, Vocational Training and Employment  
Thimbo, Abdoulaye, Director General, National Fund for the Promotion of Youth, Ministry of Youth, Vocational Training and Employment

#### TOGO

Assiongbon, Kuésssan Kuézoum, Secretary General, Ministry of Water, Sanitation and Rural Water Supply  
Assouma, Derman, Technical Adviser to the Minister, Ministry of Water, Sanitation and Rural Water Supply  
Djassibe, Paul, Engineer, Ministry of Water, Sanitation and Rural Water Supply  
Djatuz, Bawa, Chief, Planning Division, Ministry of Water, Sanitation and Rural Water Supply

Lamboni, Mindi, Secretary General, Ministry of Agriculture, Livestock and Fisheries  
Tchabore, Hatim, Director, Ministry of Water, Sanitation and Rural Water Supply

### **Regional Institutions**

#### **AFRICAN UNION COMMISSION**

Benali, Leila, Head of Gender Policy and Development Division  
Hussein, Hassan Hussein, Head of Industry Division, Trade and Industry  
Kaloko, Mustapha Sidiki, Commissioner Social Affairs  
Kayitesi, Jeanne Flora, Programme Officer, Women's Rights, Women, Gender & Development Directorate  
Niyongabo, Philippe, Head, Energy Division

#### **EAST AFRICA COMMUNITY (EAC)**

Mulugeta, Yacob, Energy Division

#### **ECONOMIC COMMUNITY OF WEST AFRICAN STATES (ECOWAS)**

Dabire, Bayornibe, Director of Energy  
Njie, Ebrime, Commissioner for Infrastructure  
Saho, Ba F.M., Renewable Energy Expert, ECOWAS Regional Centre for Renewable Energy and Energy Efficiency (ECREEE)

#### **SOUTHERN AFRICAN DEVELOPMENT COMMUNITY (SADC)**

Banda, Alex, Senior Programme Officer, Environment  
Mlatledi, Fred, Senior Programme Officer, Energy

### **Civil Society**

#### **BENIN**

André, Thierry, Coordinator, Songhai Nigeria, Songhai Centre, Porto-Novo  
Blandine, Araba, Partnerships Assistant, Songhai Benin, Songhai Centre, Porto-Novo  
Gabriel, Guindehou, Administrator, Songhai Benin, Songhai Centre, Porto-Novo

Kormawa, Patricia, Assistant to the Director, Songhai Benin, Songhai Centre, Porto-Novo  
Loueke, Guy, Coordinator, Songhai Project, Songhai Benin, Songhai Centre, Porto-Novo  
Sessou, Leone, Partnerships and Communication, Songhai Benin, Songhai Centre, Porto-Novo  
Symenouh, Simphorase, Human Resources Assistant, Songhai Benin, Songhai Centre, Porto-Novo  
Zoffoun, Kelly, Human Resources Assistant, Songhai Benin, Songhai Centre, Porto-Novo

### **KENYA**

Kinungi, Peter, Agri-business, Juja Farms Polytechnic  
Mugo, Antony, IT Fashion, ICT, Juja Farms Polytechnic  
Muito, Nancy, IT Technician, ICT, Juja Farms Polytechnic  
Mwangi, Lucy, Designer, Fashion Design and Garment Making, Juja Farms Polytechnic  
Ngugi, Daniel, Motor Vehicle Mechanic, Juja Farms Polytechnic  
Waihumbu, Joseph, Electrician, Electricity and Technology Department, Juja Farms Polytechnic  
Wambugu, Chris, youth greenhouse farmer  
Waruingi, Grace, Cateress, Food Technology Department, Juja Farms Polytechnic

### **NIGERIA**

Muhammad, Usman, Executive Director, Centre for Renewable Energy and Action on Climate Change (CREACC)

### **SENEGAL**

Badiane, Rose, Member, Bokkjøm Thiokhol Association  
Cissé, Djiby, Adviser, Bokkjøm Thiokhol Association  
Diop, Gorgamade, Agriculture Expert, Sanghal-Kam Farm  
Lo, Mor, Adviser, Bokkjøm Thiokhol Association  
Ndiaye, Fatou, Chairperson, Bokkjøm Thiokhol Association

Ngom, Paul, Programme Manager, LAIC  
Volunteers International Association  
Sarr, Mamadou, Integrated Framework  
Programme Coordinator, Ministry of  
Commerce, Industry and Informal Sector

### **United Nations System**

#### **UNDP, BUREAU OF CRISIS PREVENTION AND RECOVERY (BCPR)**

Dabo, Awa, Portfolio Adviser (Africa)

#### **UNDP BUREAU OF DEVELOPMENT POLICY (BDP)**

Chi, Margaret, Coordinator, Democratic  
Governance  
Kazi, Jamshed, Democratic Governance Practice  
Manager, Democratic Governance Group  
O'Malley, Jeff, Director, HIV, Health and  
Development Group  
Rasheed, Nadia, HIV/AIDS Practice Manager,  
HIV, Health and Development Group

#### **UNDP REGIONAL BUREAU FOR AFRICA (RBA)**

Cissé, Babacar, Deputy Regional Director  
Conceicao, Pedro, Chief, Strategic and Advisory  
Unit  
Gajraj, Priya, Chief, West and Central Africa  
Cluster  
Gettu, Tegegne work, Assistant Administrator  
and Regional Director  
Haverman, Patrick, Policy Specialist  
Malunga, Siphosami, Senior Governance  
Adviser  
Nanthikesan, Suppiramaniam, Monitoring &  
Evaluation Adviser  
Odusola, Ayodele, Policy Adviser  
Robinson, Vinetta, Policy Adviser  
Valeiras-Taboada, Leonor, Programme Analyst  
van-Rijn, Natasha, Country Adviser

#### **UNDP REGIONAL SERVICE CENTRE DAKAR**

Akpadji, Alan.A, Aid Effectiveness Specialist

Akuoko, Forster, Programme Specialist (African  
Union-Regional Economic Communities)  
Badibanga, Léon, Programme Finance Specialist  
Baranes, Sophie, Practice coordinator  
Baribonekeza, Jean-Baptiste, Programme  
Analyst  
Basse, Tahir, Knowledge Management and  
Communication Expert  
Bernard, Alain Pierre, Trade Adviser  
Blanquer, Pau, Aid Effectiveness Analyst  
Bonifas, Christophe, Coordinator, Pole de Dakar  
Bonkoungou, Charles, Capacity Development  
Expert  
Boukahla, Samy, Regional Adviser, Pôle de  
Dakar  
Broux, Armand-Michel, Regional Conflict  
Prevention and Recovery Specialist  
De Souza, Etienne B., MDG Policy Adviser  
Fall, Couty, Programme Manager, Regional  
Programme for Social Cohesion and Youth  
Employment  
Fall, Khady, Assistant  
Gnonlonfoun, Luc, Deputy Country Director  
Operations  
Gueye, Moustapha, Practice Leader, Bureau  
for Development Policy, HIV, Health and  
Development  
Kasse, Ibou, Employment Specialist, Regional  
Programme for Social Cohesion and Youth  
Employment  
Laberge, Marie, Governance Assessment  
Specialist  
Lavoie, Mylène, Local Governance and  
Development Policy Specialist  
Lebot, Benoit, Policy Adviser, Climate Change  
Lepage, Marc, Team Leader Knowledge  
Management  
Milbach-Bouché, Nathalie, Poverty Practice  
Leader  
Oualy, Aboubacar, Coordinator, Regional  
Energy Project  
Pangalos, Christianna, Anti-Corruption  
Specialist

Tourqui, Nadia, Programme Specialist  
Tshiyoyo, Dieudonné N., Programme Specialist – Elections  
Welch, Gita H., Manager

### **UNDP REGIONAL SERVICE CENTRE JOHANNESBURG**

Akinyi-Okoth, Rose, Policy Specialist, Poverty Practice  
Bonzom, Pascale, Programme Specialist, Private Sector Regional Programme African Facility for Inclusive Markets  
Change, Evelynne, Programme Management Specialist, Regional Governance  
Chulu, Osten, MDG Policy Adviser  
Ekoko, Francois, Senior Policy Adviser and Regional Coordinator  
Endroma, Evelyn, Access to Justice and Human Rights Policy Adviser  
Fausther, Ernest, Country Adviser  
Gebru, Almas, Programme Manager/Gender Adviser  
Gichenje, Helen, Regional Environment Project Manager  
Gyamfi-Aidoo, Jacob, Project Manager – Capacity Assessment  
Getahun Haileyesus, Mesfin, Policy Adviser, HIV and AIDS Governance  
Kagoro, Brina, Adviser, Africa Governance & Public Administration Programme  
Keklik, Mumtaz, Trade Policy Adviser  
Lakew, Zemenay, Programme Adviser NEPAD/APRM  
Lewis, Kenneth W.M., Operations Adviser  
Mwaniki, Elizabeth N., Environment Knowledge Management Officer  
Mwebaza, Rose, Regional Climate Change Policy Adviser  
Neuman, Francis, Knowledge Management Team Leader  
Ng'ombe, Assan, Assistant Project Manager, Environment  
Ogonda, Job, Regional Policy Adviser

Ofori-Koranteng, Benjamin, Senior Policy Adviser (HIV & Development Planning)  
Omilola, Babatunde, Practice Leader, Poverty Reduction and MDGs  
Olweya, Jacqueline Saline, Regional Coordination Adviser  
Phiri, Arthur, Business and Operation Performance Analyst  
Ponga, Auxilia, Gender Practice Leader  
Rukambe, Joram K., Regional Electoral Adviser, Global Programme for Electoral Cycle Support  
Saha, Amitrajit, Senior Adviser, HIV and Human Rights  
Sales, Tomas, Manager, Private Sector Regional Programme, African Facility for Inclusive Markets  
Sellers, Tilly, HIV and AIDS Practice Leader  
Sibanda, Backson, Regional Adviser, Monitoring & Evaluation  
Trogemann, Gerd, Manager  
Turunen, Tiina, Programme Analyst, Private Sector Regional Programme, African Facility for Inclusive Markets  
Venter, Elaine, Practice Leader, Capacity Development  
Woodsworth, Gregory, Policy Adviser, Energy

### **UNDP-GEF REGIONAL CENTRE IN PRETORIA**

Black, Lucas, Regional Technical Adviser, Climate Change  
Ruhweza, Alice, Regional Technical Adviser, Biodiversity

### **UNDP COUNTRY OFFICES**

#### **BENIN**

Alofa, Janvier Polycapte, National Economist  
El-Hadji, Fall, Economics Adviser  
Houssou, Moise Achille, Macro-economist  
Nardos, Bekele-Thomas, United Nations Resident Coordinator/UNDP Resident Representative

Paraiso, Isabelle, Programme Associate  
Tigo, Andrien, Programme Analyst, Monitoring and Evaluation  
Soussou, André Félix, Coordinator, Capacity Building Support Project for the MDGs

#### **BURKINA FASO**

Ouédraogo, Harouna, Assistant Resident Representative/Team Leader Governance

#### **CENTRAL AFRICAN REPUBLIC**

Cluckers, Anne-Marie, Country Director  
Diarra, Becaye, Economics Adviser

#### **CHAD**

Bedoum, Allassoum, Assistant Resident Representative, Governance  
Kondo, Tetsuo, Country Director  
Mondongou, Camara Ginette, Economic Adviser  
Ngoidi, Masra Tamtangar, Economic Specialist

#### **CÔTE D'IVOIRE**

Tsassa, Célestin, Economics Adviser

#### **ETHIOPIA**

Ayangafac, Chrysantus, Governance Adviser  
Buleha, Dassa, Programme Analyst, Governance and Human Rights Unit  
Bwalywa, Samuel, Senior Economist  
Koroma, Ibrahim, Project Manager, African Union/UNDP Peace and Security Project.  
Matlosa, Khabele, Programme Adviser, UNDP/ECA Joint Governance Initiatives  
Mekonnen, Deborah, Policy and Programme Specialist, African-Union/UNDP Liaison Office  
Mekonnen, Fisseha, Programme Specialist, Governance and Human Rights Unit  
Owusu, Eugene, United Nations Resident Coordinator, UNDP Resident Representative and United Nations Humanitarian Coordinator  
Tadesse, Helina, Programme Consultant, UNDP/ECA Joint Governance Initiatives

#### **GABON**

Simobiang, Jean-Charles, Programme Specialist Governance

#### **GAMBIA**

Janice, James, Economics Adviser

#### **GHANA**

Appiah-Gyapong, Joseph Yaw, Programme Specialist, Sustainable Development Unit  
Dalla Stella, Paolo, Climate Change Programme Officer  
Kamaluddeen, Kamal, Country Director  
Kuukpen, Luis, M & E Specialist  
Rafisura, Karepf, Climate Change Technical Specialist  
Takemoto, Shoko, Climate Change Programme Analyst  
Yeboah, Jane, Governance Specialist

#### **GUINEA**

Idrissa, Diagne, Economics Adviser

#### **KENYA**

Averbeck, Carolin, Team Leader, Inclusive Economic Growth & Social Development Unit  
Chuma, Aeneas C., United Nations Resident Representative and Humanitarian Coordinator  
Kitili, Mutila Boniface, Programme Assistant, Inclusive Economic Growth & Social Development Unit  
Luval, Lynette, Private Sector Specialist, Inclusive Economic Growth & Social Development Unit

#### **LESOTHO**

Kraybill, Ronald, Peace and Development Adviser

#### **LIBERIA**

Sam, Dominic, Country Director

#### **MADAGASCAR**

Simplice, Zouhon Bi, Economics Adviser

## **MALAWI**

Bhonopha, Juana Blyden, Technical Specialist and Gender Adviser  
Kebedew, Gebrehiwot A., Economics Adviser  
Kitahara, Naomi, Deputy Resident Representative, Programme  
Kulemeka, Peter, Programme Assistant  
Shawa, Timothy, Programme Analyst, MDGs

## **NAMIBIA**

Mwandingi, Martha, Assistant Resident Representative, Environment

## **NIGER**

Mansou, Ndiaye, Economics Adviser

## **NIGERIA**

Uyigue, Etiosa, National Project Coordinator, Energy Efficiency Project

## **SOUTH AFRICA**

Mwaka, Nelly Mary, HIV and AIDS  
Shole, Khepi, Assistant Country Director

## **SWAZILAND**

Hlatshwako, Sithembiso, Programme Analyst, Head Energy & Environment  
Nasidi, Kabiru, Assistant Country Director

## **TANZANIA**

Lyatuu, Gertrude, Assistant Resident Representative, Energy & Environment

## **TOGO**

Amouzouvi, Kokou, National Economist  
Kazadi, Nicolas, Economics Adviser  
Mama, Damien, Deputy Resident Representative  
Tenou, Yawo Jonky, Climate Change Specialist

## **UNITED NATIONS ECONOMIC COMMISSION FOR AFRICA (UNECA)**

Atta-Mensah, Joseph, Director, Office of Strategic Planning and Programme Management  
Busia, Kojo, Senior Development Management Officer Chief, African Peer Review Mechanisms Support Unit  
Dada, Lade A., Technical Adviser / Programme Management Officer, Office of the Executive Secretary  
Diarra, Demba, Secretary to the Commission, Office of the Executive Secretary  
Dioné, Josué, Director, Food Security and Sustainable Development Division (FSSD)  
Elhiraika, Adam B., Chief, Macroeconomic Analysis Section, Economic Development and NEPAD Division  
Kyerematen, Alan, Coordinator, African Trade Policy Centre (ATPC)  
Mangue Nnandongo, Guillermo, Development Management Officer, GPAD  
Puliyel, Grace, Associate Social Affairs Officer, African Centre for Gender and Social Development  
Ruzvidzo, Thokozile, Director, African Centre for Gender and Social Development  
Sam-Gwang Cho, Private Sector/Enterprise Development Section, GPAD

## **OTHER UNITED NATIONS AGENCIES**

Ngeruka, Wizeye Fabiola, Gender Adviser, UNFPA Chad

## **OTHER**

Bousalem, Fabrice, Former Project Manager, Small Arms and Light Weapons Project

## ANNEX 3.

# DOCUMENTS CONSULTED

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## ANNEX 4.

# PROGRAMMES AND PROJECTS REVIEWED

FOCUS AREA	KEY RESULT AREA	OUTCOMES AND PROJECTS <sup>161</sup>
Poverty Reduction & MDGs	Promoting inclusive growth, gender equality and the achievement of the MDGs	<b>Outcome 1 (13)<sup>162</sup>: Regional, subregional and national strategies for higher levels of pro-poor growth and reduction of gender inequalities formulated/ implemented</b>
		Regional Programme for Social Cohesion and Youth Employment for Sub-Saharan Africa (Award ID 00049285; Project ID 00059993)
		Agri-Enterprise Development for Stimulating Rural Economies in Africa (Award ID 00050909; Project ID 00063135)
		Regional Project for Gender Equality and Women's Empowerment in Africa (Award ID 00057958; Project ID 00071785)
		Regional Project to Strengthen Institutional Capacities to Accelerate Pro-Poor Growth and Accountability in Sub-Saharan Africa (Award ID 00057960; Project ID 00071787)
		Regional Project for Supporting MDG-based National Development and Poverty Reduction Strategies in RBA countries (Award 00045545; Project IDs 00071832 (Phase II Support MDG 2009-2010; 00062631-RBA Senior Economist Programme; 00076325 PSIA))
		Regional Project for the Production of the 2011 African Human Development Report (AfHDR) on 'Food Security for Human Development' (Award ID 00060799; Project ID 00076700)
		Pôle de Dakar (Award ID 00048859; Project ID 00059205)
		<b>Outcome 2: Accelerated pace of progress towards attainment of the MDGs in Africa and adequate resources mobilised in support of them (Note: does not appear in Atlas)</b>

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<sup>161</sup> The projects are listed under the outcome to which they are linked in Atlas. As discussed in the report, some projects are intended to contribute to more than one outcome.

<sup>162</sup> The number in parentheses refers to the outcome number in Atlas.

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FOCUS AREA	KEY RESULT AREA	OUTCOMES AND PROJECTS <sup>161</sup>
Poverty Reduction & MDGs (continued)	Programme Component: Inclusive globalisation and regional integration	<p><b>Outcome 3 (15): Strengthened capacity of African countries for increased participation in global trade, and linking trade policies to poverty reduction</b></p> <p>Regional Project for Capacity Development for Negotiating and Regulating Investment Contracts (Award ID 00050087; Project ID 00061685)</p> <p>Building African Capacity to Gain Maximum Benefit from Inclusive Globalization and Regional Integration (Award ID 00057944; Project ID 00071768)</p> <p><b>Outcome 4: Outcome of trade negotiations reflect common African position (Note: does not appear in Atlas)</b></p>
	Mitigating the impact of HIV/AIDS on human development	<p><b>Outcome 5 (16): Capacity built in critical social sectors linked to pandemics, especially HIV/AIDS, tuberculosis and malaria.</b></p> <p>Accelerating Efforts to Mitigate the impact of AIDS on Human Development in Sub-Saharan Africa (Award ID 00067959; Project ID 00071786)</p>
	Private sector development and CSO engagement	<p><b>Outcome 6 (17): Conducive policy and regulatory environment for private sector growth including private sector participation</b></p> <p>Private Sector and Inclusive Market Development for Poverty Reduction in Africa: African Facility for Inclusive Markets (AFIM) (Award ID 00060718; Project ID 00076580)</p> <p><b>Outcome 7 (18): Diversified private sector including SME (Note: appears in the Atlas programme tree, but no new projects under the programme are linked to this outcome)</b></p>
Consolidating democratic and participatory governance	<p><b>Note: there is a Governance Umbrella Programme: Consolidating Democratic and Participatory Governance in Africa (Award ID 00058204) with components supporting the outcomes below</b></p>	<p><b>Responsive and effective democratic states</b></p> <p><b>Outcome 8 (19): Enhanced political participation and management of elections</b></p> <p>Support to the African Peer Review Mechanism (APRM) (Project ID 00072195)</p> <p><b>Outcome 9 (20): Strengthened economic governance and enhanced service delivery</b></p> <p>Support to the Africa Governance and Public Administration Programme (Project ID 00072221)</p> <p>Strengthening capacities for negotiating investment contracts in the natural resource sector (Project ID 00083355)<sup>163</sup></p>

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<sup>163</sup> Work under this new project, added in 2012, intends to build on work done under the 'trade' outcome (Outcome 3 above), through the 'Regional Project for Capacity Development for Negotiating and Regulating Investment Contracts' (ID 61685).

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FOCUS AREA	KEY RESULT AREA	OUTCOMES AND PROJECTS <sup>161</sup>
<b>Consolidating democratic and participatory governance (continued)</b>	<b>Accelerated pace of regional and subregional integration on the continent.</b>	<b>Outcome 10 (21): More effective regional institutions</b>
		Support to Strengthen the Governance Capacities of the African Union (AU) and Regional Economic Communities (RECs) (Project ID 00072207)
		<b>Outcome 11 (22): Better understanding, codifying and sharing of best African practices in Governance</b>
		Support for the coordination of Joint UNECA/UNDP Governance Initiatives (project ID 00072209)
	<b>Effective governance knowledge management</b>	Programme and knowledge management (Project ID 00072258)
		African Peer Review Mechanism Implementation Support (Phase 2-APRM Trust Fund) (Award ID 00036395; Project ID 00045180)
	<b>Conflict prevention, peace building and economic recovery</b>	<b>Outcome 12 (23): More effective regional institutions for crisis prevention</b>
		Support for the Implementation of the Peace and Security Agenda of the African Union Commission (Award 00058106; Project ID 00071895)
		Enhanced Regional Capacities in Africa for Preventing and Recovering from Crisis Caused by Natural Disasters and Conflicts (Award ID 00061807; Project ID 00077226)
		<b>Outcome 13 (24): Effective regional mechanisms for disaster preparedness &amp; response (Note: outcome appears in the Atlas programme tree, but has no projects linked to it)</b>
	<b>Effective regional mechanism for crisis recovery</b>	<b>Outcome 14: Greater responsiveness to, and sustainable recovery from, crisis (Note: does not appear in the Atlas programme tree)</b>
		<b>Outcome 15 (26): Human Security Enhanced</b>
		Enhanced Human Security through the Strengthening of the Capacity of Regional and Subregional Organizations to Control Small Arms and Light Weapons in Africa (Award ID 00058023; Project ID 00071905)
<b>Energy, environment and sustainable development</b>	<b>Mainstreaming environment, energy and climate change</b>	<b>Outcome 16 (27): Enhanced capacities of regional and subregional institutions to deliver both environmental and energy services</b>
		Regional Energy Project for Poverty Reduction (Award ID 00051408; Project ID 00063997) (including linkages with the previous Energy for Poverty Reduction Project, Award ID 14560, components of which have been extended until 2012, and are executed by UNOPS in parallel with the UNDP-executed award 00051408).
		Management of Environmental Services and Financing for Sustainable Development (Award ID 00057110; Project ID 00070437)
		<b>Outcome 17: Participation of African governments in environmental finance (Note: outcome does not appear in the Atlas programme tree)</b>



## ANNEX 5.

# MANAGEMENT RESPONSE

## TO THE EVALUATION OF THE REGIONAL PROGRAMME FOR AFRICA, 2008-2013

### CONTEXT, BACKGROUND AND FINDINGS

The regional programme for Africa, 2008-2013, was approved by the Executive Board at its Annual Session in 2007. It focuses on four broad themes – poverty reduction and achievement of the Millennium Development Goals; consolidating democratic and participatory governance; conflict prevention, peace-building and recovery; and energy, environment and sustainable development – all with a view to maximizing the provision of regional public goods and developing African capacities (institutional and human) across the four areas.

The 2012 evaluation report, prepared by the Evaluation Office, presents findings, conclusions and recommendations resulting from the assessment of the performance of UNDP in terms of its contribution to regional development results and its strategic positioning in the region. The objectives of the regional programme evaluation are to: (a) provide substantive support to the Administrator's accountability function in reporting to the Executive Board; (b) facilitate learning to inform current and future programming at the regional and corporate-levels, in particular in the formulation and implementation of the new regional programme to be approved in 2013 and to start in 2014; and (c) provide stakeholders in regional programme countries and among development partners with an objective assessment of the contributions made by the regional programme.

The evaluation involved a comprehensive desk review, supplemented by interviews with staff of

the Johannesburg and Dakar Regional Service Centres; online/telephone interviews and country visits, including to the offices of major beneficiaries; a survey of resident representatives and country offices; and cybermetric analysis of key regional-programme knowledge products.

The evaluation concluded that the Regional Bureau for Africa (RBA) regional programme: (a) has been highly relevant and effective; (b) has been strategically positioned to interact with the African Union and regional economic communities (RECs); (c) has provided leadership in knowledge-generation and knowledge-sharing; (d) has also provided quality and cost-effective advisory services to regional and national stakeholders; (e) has responded well to emerging issues; and (f) has contributed appropriately to regional public goods. Generally, the evaluation also found that the regional programme incorporated gender considerations and adopted a capacity development approach to its interventions.

While highlighting achievements and best practices, which contributed to development results across the region, the evaluation also identified areas for improvement. The key actions respond to the findings and recommendations and build on ongoing work, including: (a) a new strategic framework to guide future support to Africa; (b) implementation through merger of the two regional service centres and clarification of roles and responsibilities, including an enhanced role for resident representatives/resident coordinators where regional institutions are located; and (c) strengthened partnerships, principally with the United Nations Economic Commission for Africa and the African Development Bank.

## ANNEX. Key recommendations and management response

**Evaluation recommendation 1. The regional programme should continue to focus on interventions where a regional approach brings the greatest value added. First priority should be given to strategic initiatives, undertaken in consultation with other United Nations partners, that strengthen the capacity of regional institutions and support the implementation of their priority frameworks. In the case of multi-country programmes, the regional programme should focus primarily on the provision of expertise, facilitation of cross-country exchanges and knowledge management, with country programmes implementing national or subnational activities. Where it is appropriate for the regional programme to implement country-level activities, this should be done in close collaboration with country offices, with a view to eventually incorporating these activities into country programmes.**

**Management response:** Relevant and acceptable.

The new regional programme for Africa, 2014-2017, will continue to focus on regional public goods, principally strengthening the capacity of regional institutions and providing support to the implementation of their priority frameworks. Multi-country programmes will continue to focus on the provision of expertise, facilitation of cross-country exchanges and knowledge management. An enhanced role will also be given to the resident representatives/resident coordinators in country offices co-located with regional institutions. The regional programme will seek to minimize activities that are of a purely national nature and will work closely with country offices to ensure synergies between country programmes and the regional initiatives from which countries benefit. Response already initiated through the formulation of the new regional programme in close coordination with the African Union Commission and the regional economic communities (RECs). The process of consultation and implementation will also be undertaken with the United Nations agencies, particularly the Economic Commission for Africa and those partners that have regional programmes in support of the RECs.

<b>Key action(s)</b>	<b>Time frame</b>	<b>Responsible unit(s)</b>	<b>Tracking</b>	
			<b>Comments</b>	<b>Status</b>
1.1 Focus further on the development priorities of the African Union and other regional institutions in the formulation of the new regional programme for Africa.	2014-2017	Regional Bureau for Africa (RBA) / Regional Service Centre (RSC)		
1.2 Engage with actors, including United Nations partners, that are supporting the African Union and RECs through regional programmes.	2014-2017	RBA/RSC		
1.3 Engage in regular dialogue between RBA and the African Union and RECs to review progress and adjust to emerging priorities.	2014-2017	RBA/RSC		
1.4 Increase synergies between the regional and country programmes to ensure more targeted subregional responses, in particular through continued participation of resident representatives/resident coordinators in Project Appraisal Committees (PACs) and the Regional Programme Advisory Board.	2014-2017	RBA/RSC		
<b>Evaluation recommendation 2. RBA should develop a results-oriented strategy for engagement with regional institutions.</b>				
<b>Management response:</b> Relevant and acceptable. Response already initiated through RBA request to the Bureau of External Relations and Advocacy (BERA) to lead the negotiation of relevant partnership agreements with the African Union and RECs, which will also facilitate their role as implementing partners for the RBA regional programme.				
2.1 Reflect evaluation recommendations in the new regional programme for Africa, 2014-2017, and subsequent programming.	2014-2017	RBA		

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Key action(s)	Time frame	Responsible unit(s)	Tracking	
			Comments	Status
2.2 Negotiate a long-term memorandum of understanding with selected RECs that is similar to arrangements with the New Partnership for Africa's Development (NEPAD) and that will form the basis of the future results-based and improved issue-focused approach to addressing subregional and regional challenges.	2014	RBA/BERA/RSC		
<b>Evaluation recommendation 3. The regional programme and projects should be designed from the outset in consultation with stakeholders, in particular the African Union and regional economic communities and, to the extent possible, national governments and country offices, to ensure ownership.</b>				
<b>Management response:</b> Relevant and acceptable; response already initiated. Enhanced ownership is among the guiding principles informing the design and future implementation of the new regional programme. The team designing the new regional programme has already commenced consultations with the African Union and some RECs as well as country offices. Participation of the African Union and RECs and country offices in the UNDP project appraisal process has already started and will be strengthened.				
3.1 Reflect evaluation recommendations in the new regional programme for Africa, 2014-2017, and subsequent programming.	2014-2017	RBA/RSC		
3.2 Hold more systematic and inclusive consultations, accelerating them during the formulation of the new regional programme document (RPD).	2013	RBA		
3.3 In addition to NEPAD, institutionalize the participation of the African Union and RECs in the Regional Programme Advisory Board together with institutionalized participation of regional bodies in the UNDP PAC.	2014-2017	RBA/RSC/ UNDP-African Union Liaison Office in Addis Ababa		
<b>Evaluation recommendation 4: With respect to its strategic initiatives and projects, the regional programme should sharpen its focus and articulate in the RPD a limited number of outcomes and outputs. In addition, the regional bureau could consider identifying a few unifying cross-cutting themes of high relevance to Africa in coming years that can be mainstreamed across interventions to give additional coherence and visibility to the programme.</b>				
<b>Management response:</b> Relevant and acceptable. While the number of outcomes and outputs in the new regional programme for 2014-2017 will be driven by the results framework of the Strategic Plan, the outcomes and outputs will also be aligned with a priority set of African objectives and targets. The new regional programme will be developed based on reduced and more focused thematic areas prioritized in the region and translated into the outcomes with clear and quantifiable baselines, indicators and targets that tell a simple story line of the challenges faced and the responses that UNDP intends to make to support economic and social transformation in Africa. Unifying cross-cutting themes highly relevant to Africa have already been identified to include areas such as gender equality, youth empowerment, capacity development and South-South cooperation.				
4.1 Reflect evaluation recommendations in the new regional programme for Africa, 2014-2017, to develop more targeted outcomes and outputs.	2013-2017	RBA		

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Key action(s)	Time frame	Responsible unit(s)	Tracking	
			Comments	Status
4.2 Formulation of Results and Resources Framework for the new regional programme will be built on stronger data capture, using the knowledge products, such as the <i>African Human Development Report</i> and <i>African Economic Outlook</i> .	2013	RBA/Operations Support Group (OSG)		
4.3 Enhance the role of the RBA Evaluation Advisers in establishing outcomes, outputs, benchmarks, targets and indicators for the new regional programme and subsequent projects.	2014-2017	RBA/RSC/OSG		
4.4 Mainstream gender and other cross-cutting principles during the RPD and project formulation processes.	2013-2017	RBA/RSC/OSG		
<b>Evaluation recommendation 5: With respect to technical and advisory services, UNDP's global policy bureaux and RBA should ensure an integrated strategy for the provision of a necessary range of regional advisory and technical support services to country offices. The management should monitor the effect of services provided by the Regional Advisers and take decisions based on the need for and the efficacy of support in helping country offices to realize development results.</b>				
<b>Management response:</b> Relevant and acceptable. In close coordination with the Bureau for Development Policy (BDP), RBA/RSC has been strengthening and will continue to strengthen investment in the professional development of staff and improve its capacity to provide high-level advisory services to regional institutions and country offices.				
5.1 Adjust the current business model for the Regional Service Centre to strengthen internal capacities and ensure efficient and focused support in priority areas to regional institutions and country offices.	2014-2017	RBA/BDP/Bureau of Management/ Bureau for Crisis Prevention and Recovery (BCPR)/RSC		
5.2 Develop innovative ways to support collaboration between regional and global advisory functions that are demand driven and responsive to African needs and priorities.	2014-2017	RBA/BDP/BCPR/RSC		
5.3 Develop innovative ways to support knowledge exchange between RBA Policy Advisers and global advisory functions to provide effective support to regional institutions and countries.	2014-2017	RBA/Country Offices/ RSC		
<b>Evaluation recommendation 6: RBA, BDP and BCPR should strengthen monitoring and follow-up by the Regional Service Centre for learning, knowledge management and effectiveness.</b>				
<b>Management response:</b> Relevant and acceptable; response already initiated. Several knowledge products have been developed jointly with BDP, and efforts will be made to systematize the development of new knowledge-management products during the implementation of the new regional programme, 2014-2017, bearing in mind responsiveness to Africa's needs and priorities. BCPR and BDP are already being consulted closely in the preparation of the new regional programme and RBA will continue to promote a cross-practice approach in the planning and implementation of regional projects and advisory services in support to more coherent and effective interventions.				

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<b>Key action(s)</b>	<b>Time frame</b>	<b>Responsible unit(s)</b>	<b>Tracking</b>	
			<b>Comments</b>	<b>Status</b>
6.1 Develop a more systematic knowledge-management strategy that is responsive to Africa's needs, priorities and positive best practices.	2014	RBA/BDP/BCPR/RSC		
6.2 In project formulation for the new regional programme, give more attention to communicating and disseminating African knowledge products.	2014- 2017	RBA/BDP/BCPR/RSC		
<b>Evaluation recommendation 7: RBA through the regional programme should further enhance development and dissemination of regional knowledge and knowledge products.</b>				
<b>Management response:</b> Relevant and acceptable; response already initiated. The new regional programme for 2014-2017 will be developed to give appropriate attention to the development and wide dissemination and use of African knowledge and knowledge products.				
7.1 Design a knowledge-management and communication strategy that is responsive to regional needs and that seeks to capture and disseminate good practices in Africa.	2013-2017	RBA/RSC/BDP/ Communications Office		
7. 2 Foster an organization-wide knowledge-management strategy that uses successful African pilot projects as the basis for scaling up global initiatives.	2013-2017	RBA/RSC/BDP/ Communications Office		











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United Nations Development Programme  
Evaluation Office  
220 East 42nd Street, New York, NY 10017, USA  
Tel. (646) 781 4200, Fax (646) 781 4213  
Internet: [www.undp.org/evaluation](http://www.undp.org/evaluation)

