



UNITED NATIONS DEVELOPMENT PROGRAMME



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**PROJECT DOCUMENT**

**Democracy Strengthening in Zambia 2019-2022**

**Project Title:** Democracy Strengthening in Zambia 2019-2022

**Project Number:** ZMB10 - 00124412

**Implementing Partner:** UNDP

**Start Date:** 1 January 2020 **End Date:** 31 December 2022 **PAC Meeting date:** 26 September 2019

**Brief Description**

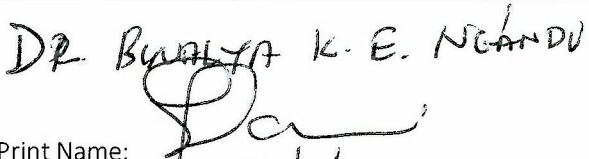

Democracy Strengthening in Zambia (DSZ) is a three-year multi-donor project designed to address recently identified evolving challenges and builds on previous electoral interventions as Zambia enters its next electoral cycle and the run-up to general elections in 2021. The DSZ is developed based on the recommendations of the needs assessment mission (NAM) conducted by the United Nations from 29 July to 4 August 2018 and is aligned and supportive of Zambia's strategic framework, the 7th National Development Plan 2017-2021 (7th NDP), particularly Pillar 5, in which the government pledges to "promote transparency, accountability, citizen participation as well as strengthen governance institutions". The 7th NDP recognizes that practice of good governance and promotion of a stable political framework are the foundation of sustainable development.

Through its Strategic Plan, 2018-2021, UNDP enlists the contribution of partner organisations and civil society to support efforts aimed at structural transformation by consolidating and strengthening democratic processes and institutional practice in Zambia. Fundamental to these goals is the engagement of citizens as the primary stakeholders in the governance and administration of Zambia with the aim to achieve complete adherence to the Sustainable Development Goals by 2030. UNDP engages Signature Solution 2 to strengthen governance for peaceful, just, and inclusive societies and Signature Solution 6 to promote women's empowerment and gender equality.

Many of the emergent issues revealed during the previous electoral cycle have been partly addressed under UNDP's 2015-2018 project, but more remains to comply fully with the 7NDP's aspirations. This project, Democracy Strengthening in Zambia 2019-2022 (hereafter DSZ), aims to fulfil the objectives of previous electoral intervention, by deploying the Electoral Institutions and Processes Strengthening approach centred around five key dimensions: inclusion, accountability, transparency, integrity and capacity. Simultaneously, as Zambia enters its next electoral cycle and the run-up to general elections in 2021, the project is taking on the evolving challenge of electoral conflict and violence through the Programming for Peace framework.

<p>Contributing Outcome (UNDAF/CPD, RPD or GPD):  <b>7<sup>th</sup> NDP</b>  Pillar 5: Creating a conducive governance environment for a diversified and inclusive economy  <b>Partnership Framework</b>  Outcome 3: By 2021, all people in Zambia, including women, youth and marginalized groups, have equitable and effective participation in national and local democratic processes  <b>Country Programme Document</b>  Outcome 2: Citizens expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance  <b>Indicative Output(s) with gender marker<sup>2</sup>:</b>  Output 1: Electoral Institutions and Processes Strengthening (Gender marker – 1)  Output 2: Programming for Peace (Gender marker – 1)</p>	<b>Total resources required:</b>	USD 13,643,949	
	<b>Total resources allocated:</b>		
		<b>UNDP TRAC:</b>	
		<b>Donor:</b>	
		<b>Government:</b>	
		<b>In-Kind:</b>	
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**ACRONYMS**

CCMG	Christian Churches Monitoring Group
CMC	Conflict Management Committee
COMESA	Common Market for Eastern and Southern Africa
CSO	Civil Society Organization
CVM	Campaign Venue Management
DFID	Department for International Development
DIM	Direct Implementation Modality
DNRPC	Department of National Registration, Passports and Citizenships
DSZ	Democracy Strengthening in Zambia
EAD	Electoral Assistance Division
EDR	Electoral Dispute Resolution
EC	European Commission
ECZ	Electoral Commission of Zambia
EIMS	Electoral Information Management System
EISA	Electoral Institute for Sustainable Democracy in Africa
EMB	Election Management Body
EMS	Electoral Management System
EWS	Early Warning System
EU	European Union
EU EOM	European Union Election Observation Mission
FBO	Faith-Based Organisation
HOC	House of Chiefs
ICCPR	International Covenant on Civil and Political Rights
IBA	Independent Broadcasting Association
ICGLR	International Conference of the Great Lakes Region
ICT	Information and Communications Technology
INRIS	Integrated National Registration Information System
JOC	Joint Operations Centre
JTO	EC-UNDP Joint Task Force on Electoral Assistance
LAZ	Law Association of Zambia
MOCTA	Ministry of Chiefs and Traditional Affairs
MCDSS	Ministry of Community Development and Social Services
MFA	Ministry of Foreign Affairs
MHA	Ministry of Home Affairs
MIBS	Ministry of Information and Broadcasting Services
MOJ	Ministry of Justice
MLG	Ministry of Local Government
NAZ	National Assembly of Zambia
NAM	Needs Assessment Mission

NDI	National Democratic Institute
NDP	National Development Plan
NIC	National Identity Card
NIM	National Implementation Modality
PMU	Project Management Unit
PWD	Persons with disabilities
SC	Steering Committee
SADC EOM	Southern African Development Community Election Observation Mission
SADC PF	SADC Parliamentary Forum
TC	Technical Committee
TCC	The Carter Center
TORs	Terms of Reference
TOT	Training of Trainers
TSM	Temporary Special Measures
UNDP	United Nations Development Programme
UNDPA	United Nations Department of Political Affairs
UNV	United Nations Volunteer
VESC	Voter Education School Club
ZAP	Zambian Accountability Programme
ZAPD	Zambia Agency for Persons with Disabilities
ZCID	Zambian Centre for Inter-Party Dialogue
ZCS	Zambian Correctional Services
ZLDC	Zambia Law Development Commission
ZNWL	Zambia National Women's Lobby
ZPS	Zambia Police Service



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## I. DEVELOPMENT CHALLENGE

### 1.1 Development Context

Credible and genuine elections are an institutionalized process of uncertainty that depend upon procedural certainty and reliability to achieve legitimacy<sup>1</sup>. In this sense, 'procedural' refers not to a narrow definition of election procedures but to the broad practices and norms of the technical, political and legal processes that define an election, which should be broadly known, accepted and that produce reasonably anticipated outcomes. The role of the state as the exclusive authority to administer elections in Zambia is essential, but alone, it is insufficient to realize the goal of comprehensive free and fair elections. State organs – the ECZ primarily – must administer procedures to ensure credible and genuine elections within an enabling environment that assists it to do so, engaging key partnerships with complementary stakeholders exercising their mandates effectively and impartially.<sup>2</sup> The core development challenge that this project therefore seeks to address is to assist national efforts in maximizing the legitimacy of Zambia's electoral outcomes by promoting and assisting in the development of procedural certainty, institutional capacity and reinforced democratic values.

Elections represent a crucial point of contact for citizens with Zambia's governance structures. As such, the electoral cycle is under periodic and intense public scrutiny and inhabits a uniquely visible position within the realm of public perception – particularly in the sense it becomes a focal point of public discourse during democratic competition. Significant strides have been taken since the emergence of multi-party democracy in 1991, and previous UNDP interventions have successfully contributed to consolidating democratic practices within both the electoral process and Zambian society.<sup>3</sup> Yet, despite a broadly recognized democratic culture, undeniable fissures from the 2016 electoral cycle have exposed a fragile veneer of political civility. Increasingly, personality-centred mores have permeated political platforms and issue-based platforms have suffered greater displacement.

The challenge in Zambia is framed herein by a number of interrelated and overlapping components: a) shortcomings and inconsistencies in the legal and policy framework for elections; b) the need to enhance public confidence in the impartiality, effectiveness and credibility of institutions responsible for Zambia's electoral process; c) a lack of inclusion among select groups (such as, women, youth and PWDs) and; d) Increasing polarisation of political processes and the need to mitigate election related violence and promote a peaceful political environment. Putting into context these elements is the need to acknowledge and navigate the macro-economic and social realities of Zambia that are emphasised in the 7<sup>th</sup> National Development Plan and the inter-related concerns of elections as a catalyst for violence.

Despite positive outcomes in recent years, the electoral environment continues to face serious challenges. In addition to major policy commitments found within the 7NDP (National Development Plan), the task ahead includes resolving inadequacies and inconsistencies in the regulatory framework – largely as a result of constitutional changes and subsequent legal decisions. Harmonizing the regulatory framework notwithstanding, core governance values such as transparency, accountability, social inclusion and decentralisation fall within the electoral remit.

Limited national financial resources moreover impress the need to maximize the impact of available funding to address these challenges and for international financial support to complement rather than replace national budgets. Zambia has a positive record in this respect with over 90% of the costs of the 2016 electoral process met through the national budget.<sup>4</sup> It is therefore important to carefully sequence and prioritize support, in alignment with a democratic strengthening approach that promotes strategic investment rather than reactive interventions during elections. Addressing each aspect of the challenges will have a direct-bearing on enabling national stakeholders to effectively manage the 2021 elections to support Zambia's evolution of an inclusive, peaceful and institutionalized process of multiparty democracy.

<sup>1</sup> Refer to Lyons, T. (2007) "Post-conflict elections and the process of demilitarizing politics: the role of electoral administration".

<sup>2</sup> Of note, the ECZ works closely with Ministry of Local Government, which is a direct implementing partner for election delivery.

<sup>3</sup> UNDP and donor support in various forms has been provided for Zambian elections in 2006, 2008, over 2009 to 2014, and in the latest project cycle from 2015 to 2018.

<sup>4</sup> UN, *Report of the Electoral Needs Assessment Mission (NAM)*, Zambia, 29 July to 4 August 2018.

## 1.2 Current Challenges

### a. Shortcomings and inconsistencies in the legal and policy framework for elections

Zambia seeks to achieve a robust and inclusive democratic system. The UN Electoral Needs Assessment Mission (NAM) conducted in 2018 concluded that that “overall, the existing legal framework provides a solid basis to ensure credible and transparent elections in Zambia”.<sup>5</sup> However, there remain inconsistencies between the constitution and the electoral laws. Moreover, there are concerns that the application of some existing laws do not support the inclusive participation of all parts of the population and do not provide a level playing field for all parties in electoral processes.

For example, the NAM report highlights that while the Constitution provides for universal suffrage for all Zambian citizens, aged 18 or over and in possession of a national ID card, the electoral law revised in 2016 disqualifies from voting people who suffer from intellectual disabilities, detainees and those in lawful custody. A Constitutional Court ruling in 2018 stated that detainees and those in legal custody are eligible to register to vote. Stakeholders have also raised concerns that the current regulations in the Political Parties Bill setting the educational qualification requirements and registration fees for candidates in elections exclude many women from becoming candidates.<sup>6</sup> There is therefore a need to ensure revisions are made to the legal framework for elections to support full and inclusive democratic participation and align with the Zambian Bill of Rights.

The NAM report also highlights concern from stakeholders that selective application of the Public Order Act which governs the holding of public meetings is undermining the level playing field for electoral competition as candidates of the ruling party face fewer obstacles in organising and conducting electoral meetings than opposition parties. Similar concerns have been raised regarding electoral bias in the media which could be addressed through revisions to the regulatory framework for public and private media.

Current initiatives to conduct national consultations to support the revision of key national policies provide an excellent opportunity to improve the legal and regulatory framework for an improved electoral process. Harmonising statutes and practices in line with Zambian legal reform processes requires a multi-sectoral approach. Close coordination with the Ministries of Justice and Home Affairs to ensure legal compliance with recent constitutional amendments is integral to a fluid and coherent electoral management process. The Ministry of Justice (MOJ), in particular, has a unique role as a national implementation agency and lead for the Governance cluster of Pillar 5 of the 7NDP. There are currently a number of legal reform initiatives ongoing including the possible revision to the Public Order Act and the Electoral Process Act. The provision of operational arrangements to enable remanded persons and incarcerated individuals to exercise their right to vote is also ongoing to implement the Constitutional court ruling. The UNDP project will ensure a coordinated approach in legislative reform and national implementation with the aim to uphold comprehensive and equitable democratic participation for all Zambians. Synchronising these efforts with actors outside formal governance structures, including both the media – as a recognised stakeholder in elections – and civil society are key aspects of fortifying the Zambian governance sector and inclusive democratic practices.

### b. Need to enhance public confidence in the impartiality, effectiveness and credibility of institutions responsible for Zambia's electoral process

The NAM report concluded that while many stakeholders appreciate the efforts of the ECZ in performing its functions and improving electoral processes, further improvements are needed.<sup>7</sup> The Electoral Commission of Zambia (ECZ) is duty-bound to contribute to the development outcomes defined in the 7NDP, particularly

<sup>5</sup> UN, *Report of the Electoral Needs Assessment Mission (NAM), Zambia, 29 July to 4 August 2018*

<sup>6</sup> The National Dialogue Forum resolved to amend Article 60 of the Constitution by relegating some provisions to subsidiary legislation. It also resolved to delete the provision that provided for financing of political parties with seats in parliament from public funds. Article 60(3)(a) in the current constitution provides for “the establishment and management of a Political Parties’ Fund to provide financial support to political parties with seats in the National Assembly”. The project will track carefully the fluid shifts in legislative processes.

<sup>7</sup> A full summary of the NAM recommendations is found in Annex 9.



the commitments found in Part IV, Section 11.5, Outcome 3: *An inclusive Democratic System of Governance*, from which stems Strategy 1: *Promote platforms for citizen engagement and participation* and Strategy 2: *Strengthen electoral processes and systems*. The ECZ has a core role to play in ensuring a well-functioning Zambian democracy does not become disrupted by the cycles of electioneering. The capacity of the ECZ to ensure fair and free elections and act as a harbinger of deeper social transformation by promoting transparent and inclusive participation is critical to the credibility of Zambia's democratic process.

The credibility of electoral processes is also dependent on the effectiveness of available mechanisms to address complaints. The NAM Report highlights the fact that Zambia has a range of formal and informal mechanisms to resolve disputes related to elections. However, the report signals shortcomings in the existing judicial electoral dispute resolution mechanisms, including lack of logistical support, premises and equipment and short time frames to deliver decisions that involve consultations with multiple stakeholders. The report also highlighted the important role played by Conflict Management Committees (CMC) at national and district levels that provide effective alternative dispute resolution mechanisms for electoral related issues. Other parties also play an important role in dialogue and mediation processes including Political Party Liaison Committees, the Zambian Centre for Interparty Dialogue (ZCID), the Church Mother Bodies and the House of Chiefs among others.<sup>8</sup> The UNDP project will seek to strengthen these bodies to ensure more accountable and transparent electoral processes.

The NAM report also highlighted the need for more effective and timely voter education to combat voter apathy and reduce the risk of electoral violence (*See d. below*). There are valuable civil society structures, such as the Christian Churches Monitoring Group (CCMG), already in place that complement the work of the ECZ and existing CSOs in providing voter education and outreach on key issues such as women's political participation and mitigation of electoral violence.<sup>9</sup> The UNDP project will strengthen ECZ's capacity for liaison with civil society organisations and other government offices to coordinate and galvanise action around communication and outreach.

Combining the efforts of sustainable civil society structures such as non-governmental organisations, faith-based groups, and traditional communities under coordinated frameworks capable of holding national institutions accountable to articulated development ideals is key to responsive democratic governance. The project will therefore also provide support and capacity building directly to civil society organisations that play a key role in supporting voter education and ensuring transparent and peaceful electoral processes.

Finally, the NAM Report highlighted the key role played by the media in ensuring a level playing field for all parties and candidates contesting elections, and providing credible, unbiased information to electors. The report identified polarised media and a perception of bias in favour of the ruling party in state media as underlying causes of the rise in electoral violence in Zambia in recent years<sup>10</sup> (*See d. below*). The project will therefore engage with media organisations, political parties, electoral institutions and civil society groups to promote equitable access to information and build capacity for responsible, transparent and accountable media coverage of elections.

#### *c. Lack of inclusion among select groups (such as, women, youth and PWDs)*

The UNDP project is designed to support the ECZ to remain steadfast in the performance of delivering credible elections – requiring a deepening of its institutional practices, accountability, transparency and policy reform. It must also be able to effectively respond to the challenges of ensuring the inclusion of groups often on the margins of Zambian society, namely, persons with disabilities, rural populations and the poorly educated, underprivileged women, the burgeoning youth population, and remanded individuals in custody (*See c. below*). Among others, these changes need to be reflected in the ECZ's institutional framework through the development and adoption of a gender strategy. This will be achieved in coordination with agencies that intersect with the National Gender Policy, including the Ministry of Gender, but is not limited in this respect.

<sup>8</sup> UN, *Report of the Electoral Needs Assessment Mission (NAM)*, Zambia, 29 July to 4 August 2018.

<sup>9</sup> UN, *Report of the Electoral Needs Assessment Mission (NAM)*, Zambia, 29 July to 4 August 2018.

<sup>10</sup> UN, *Report of the Electoral Needs Assessment Mission (NAM)*, Zambia, 29 July to 4 August 2018



Zambia seeks to achieve a transparent and inclusive democratic system. However, some social groups face additional barriers to effective participation. The marginalized include women, youth, and persons with disabilities (PWD). It also includes remanded individuals in custody and persons with intellectual disabilities that the current electoral law disbars from participating in elections. Only 18.8 per cent of current members of the national assembly are women<sup>11</sup> and this figure falls to 6.4 per cent when considering local government representation.<sup>12</sup>

In line with the 7NDP, the government must enhance efforts to achieve gender equity across all dimensions of the democratic process. This includes actions to enhance capacity for gender mainstreaming and engender policies, plans, programmes, projects, activities and budgets, in the national assembly and within the ECZ. Barriers to women's electoral participation need to be addressed, including educational qualification requirements and registration fees that exclude many women from becoming candidates.<sup>13</sup> The UNDP project will also seek to engage political parties to further "intraparty democracy and selection of female candidates" to address the specific challenges for women candidates, through direct support and outreach to create a level playing field for women to participate in democratic electoral processes.<sup>14</sup> It will also support the ECZ to promote equitable distribution of electoral resources between women and men, stimulate greater participation of women in politics – particularly as candidates for office – and offer youth of both genders the opportunity to participate meaningfully in the country's future equally, particularly as government policies have a direct impact on the medium and long-term consequences over social inclusion and participation among women and girls.<sup>15</sup>

During the next electoral cycle, Zambia has the opportunity to enhance measures to address the needs of special voters and the disabled – to facilitate deeper integration as productive members of society. The specific issues of these vulnerable groups are widely known but poorly documented, although it is recognised that greater consideration is required to foster a culture of inclusion. Focus will be on delving into specific data collection, developing both intellectual and physical infrastructure, providing better access to electoral services, and inclusion in the consultative structures of the election management body (EMB), namely, the ECZ. Arrangements that uphold PWD's potential not only as participants, but also as facilitators to inspire the participation of others must be encouraged and supported. National action in all sectors targeting more social inclusion will procure greater equality to see that all Zambians are beneficiaries in the national development context.

*d. Increasing polarisation of political processes and the need to mitigate election related violence and promote a peaceful political environment.*

The NAM Report highlighted significant concern regarding the rise of political violence in Zambia, particularly since the 2016 elections, which is unprecedented in Zambian politics. The report identifies a number of root causes of electoral violence including increasing polarisation of issues based on regionalism and ethnicity rather than policy, incitement of youth and political party cadres by some politicians, unemployment, biased application of the Public Order Act and polarised media.<sup>16</sup> There is therefore a need both to ensure the safety and security of electoral processes, and also to intervene upstream to reduce the risk of electoral violence.

<sup>11</sup> UN, *Report of the Electoral Needs Assessment Mission (NAM), Zambia, 29 July to 4 August 2018*

<sup>12</sup> *Zambia-United Nations Sustainable Development Partnership Framework 2016-2021*, p. 3. In the 2014 Human Development Report, Zambia's Gender Equality Index was 0.617, placing it 133 of 149 countries ranked.

<sup>13</sup> UN, *Report of the Electoral Needs Assessment Mission (NAM), Zambia, 29 July to 4 August 2018*

<sup>14</sup> *Zambia-United Nations Sustainable Development Partnership Framework 2016-2021*, p. 4.

<sup>15</sup> This feeds directly into human rights considerations as state institutions, among other commitments, must seek to embrace an emphasis on compliance with the International Covenant on Civil and Political Rights (ICCPR), specifically in the area of gender equality, where the covenant sets out "to ensure the equal right of men and women to the enjoyment of all civil and political rights." *International Covenant on Civil and Political Rights* (1966), Article 3.

<sup>16</sup> UN, *Report of the Electoral Needs Assessment Mission (NAM), Zambia, 29 July to 4 August 2018*

## II. STRATEGY

### 2.1 Theory of Change

The overall goal of the project is that **Zambia has strengthened democracy through functional and inclusive electoral processes that ensure the peaceful conduct of the 2021 elections and demonstrate heightened legitimacy and institutionalization of the multiparty system.**

The Theory of Change states that **IF electoral processes and institutions are strengthened to be functional and inclusive AND elections are conducted peacefully THEN Zambia's democracy will be strengthened through strengthened electoral process demonstrating heightened legitimacy and institutionalization of the multiparty system and peaceful conduct of the 2021 elections.**

For this reason, the project is structured around two key results areas:

1. ***Electoral Institutions and Processes Strengthening.*** This approach focuses on strengthening the institutional capacity of all relevant stakeholders to ensure procedural certainty and strengthen the legitimacy of the electoral process on an ongoing basis rather than focusing on specific electoral events. The approach is structured around the improvement of five core elements of democratic processes: *inclusion, accountability, transparency, integrity and capacity*. The theory of change posits that:
  - a. IF decision-making is more inclusive and participatory, and discrimination is reduced AND
  - b. IF institutions are strengthened to be responsive and accountable, providing access and services AND
  - c. IF institutions are more transparent and provide access to information AND
  - d. IF credible and legitimate institutions work with integrity AND
  - e. IF technical and organisational capacities of national electoral stakeholders are strengthened THEN democratic processes are strengthened
2. ***Programming for Peace.*** This approach aims to enhance conflict prevention and mitigation mechanisms to support the peaceful conduct of elections by strengthening context-specific institutional mechanisms that allow for the gathering of data, monitoring, early warning and response to electoral violence at the federal, provincial and local level in collaboration between governmental actors and civil society. The theory of change posits that:
  - a. IF conflict prevention and mitigation mechanisms to support the peaceful conduct of elections are enhanced THEN elections are conducted peacefully

A diagram of the Theory of Change may be found in Annex 7.

### 2.2 The Electoral Institutions and Processes Strengthening Approach

To achieve these aims, the Electoral Institutions and Processes Strengthening approach is designed to support the achievement of the targets set by SDG 16+, which are in line with the 7<sup>th</sup> National Development Plan. This programming strategy emphasizes long-term and holistic engagement to strengthen the core functions of democratic actors, institutions and processes to ultimately foster peaceful and inclusive societies as the basis of sustainable development. This governance strategy centres around developing clear, equitable and enforced 'rules of the game' for electoral processes with the goal of developing strong, empowered and independent democratic institutions able to deliver key political processes, including peaceful elections. The approach seeks to improve coordination and build trust between electoral stakeholders. This affords improved ownership, cost efficiency and impact, but critically, seeks to constructively address a root problem of structural and operational issues that can erode the effectiveness and credibility of electoral processes. The multi-institutional approach encourages linkages and contributes to ensuring procedural certainty, restoring trust in institutions, facilitating meaningful participation and continuous dialogue between all stakeholders.



With this focus the Electoral Institutions and Processes Strengthening approach aims to address many of the underlying causes of electoral violence identified in the NAM Report (*See above 1.2 Challenges, d; Increasing polarization of political processes*). The approach further highlights the importance of strategic engagement in the post-electoral context, outside politically-charged electoral periods. The Electoral Institutions and Processes Strengthening approach in Zambia is built around five thematic areas: **inclusion, accountability, transparency, integrity and capacity**. These are entirely consistent with the 7<sup>th</sup> National Development Plan, the UNDAF and the CPD.

The approach focuses on improving inclusion in line with SDG 16, target 7, to “ensure responsive, inclusive, participatory and representative decision-making at all levels” and SDG 5 and 10 to end discrimination and promote equality. The inclusion pillar centres around the understanding that democracy is built upon meaningful participation and representation of all people in democratic institutions and processes. Inclusion therefore entails that everyone has an equal right and opportunity to engage with and contribute to the functioning of public institutions and processes. The project particularly supports measures to promote the participation of women, youth, persons with disabilities and persons remanded in custody who face particular barriers to participation. It includes support to strengthen relevant legal and policy frameworks and targeted measures to public institutions such as the ECZ and the National Assembly, and political parties to increase their inclusivity and outreach to marginalised groups and promote inclusive participation. It also includes support to civil society groups to coordinate and strengthen their role in promoting inclusive electoral processes in Zambia. The programme thus contributes to the objectives of UNDP’s Strategic Plan to increase participation in the electoral process and see a rise in the percentage of women in decision-making positions within the 2019 - 2022 electoral cycle.

The Electoral Institutions and Processes Strengthening approach targets support to improving **accountability** in line with SDG 16 target 6, to “develop effective, accountable and transparent institutions at all levels”, the accountability pillar speaks to the need to ensure that actions and decisions taken are subject to oversight and sanction to guarantee that government initiatives meet stated objectives. In this regard, elections are a mechanism to hold governments accountable. It is the obligation of state institutions to be held to account for policies, decisions, and deliverables. To this end, accountability measures aim to create openness in decision-making, strengthen the rule of law, increase government responsiveness and enhance efficiency in public administrations. Strengthening accountability starts with long-term capacity of institutions and key players in the electoral process. The project will focus its action on strengthening the capacities of the National Assembly to ensuring good governance at all levels. The project will also focus on strengthening electoral dispute resolution mechanisms as a critical element that underpins the credibility of electoral processes.

The approach also focuses on **transparency** of electoral processes in line with SDG target 16.6 to develop amongst others, transparent institutions at all levels, and target 10 to “Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements”; the transparency pillar is considered a condition for fostering accountability and integrity. It is only when information is accessible that performance can be assessed, and improvements can be proposed through democratic checks and balances. The provision and dissemination of clear, relevant and timely information with appropriate levels of detail is therefore central to democratic governance. This requires not only open and capable institutions but also independent and balanced media reporting alongside active citizen engagement. The project therefore focuses on building the capacity for effective strategic communications and access to information from key electoral institutions including the ECZ and the National Assembly. It also provides support to media organisations to strengthen independent and responsible media reporting across the electoral cycle. Transparency, verifiability, and accountability are fundamental to counter perceptions of impunity or malfeasance that erode the confidence of both the electorate and contestants’ in the genuineness of the electoral process.

The approach places specific emphasis on **integrity** and ensuring that key institutions are legitimate and credible and able to deliver free, fair and peaceful electoral processes, in line with SDG 16 target 10.6, “to deliver more effective, credible, accountable and legitimate institutions”. The integrity pillar is aimed at

strengthening citizens' perception of the genuineness of the decision-making processes and the effectiveness of protecting human rights. The Electoral Institutions and Processes Strengthening approach works together with stakeholders by supporting legal and electoral reforms, thereby building public confidence and strengthening the credibility and independence of institutions to counter threats to democratic integrity, including corruption, hate speech and online disinformation. The project will therefore provide support to addressing the current shortcomings and inconsistencies in Zambia's legal and policy frameworks and supporting ongoing legal reform processes. The programme will give special emphasis to ensuring that legislation supports gender equity and inclusive electoral participation. The project also supports the development and implementation of biometric identification systems to support the integrity of electoral processes and combat instances of voter fraud that undermine public confidence in the electoral system.

The strengthening democracy approach also includes particular focus on strengthening the capacity of stakeholders in Zambia's electoral system. In many countries, capacity gaps represent a critical barrier to meaningful SDG 16 implementation and follow-up. The capacity dimension of the approach refers to all activities directed at improving the transfer of knowledge and expertise. It further relates to the development of technical, organisational and human capacities with the intent to capacitate democratic institutions in the long run. A well-organised election relies on the capacity of national actors, such as electoral commissions, to deliver on their respective mandates. Capacity strengthening is not only aimed at increasing the level of trust in democratic institutions among the general population, but also serves to guarantee national ownership. The Electoral Institutions and Processes Strengthening approach helps to build these capacities by conducting capacity needs assessments, provide technical assistance and enhance training for electoral stakeholders. The project therefore focuses on supporting key institutions and electoral regulators to manage, monitor and ensure the equitable enforcement of electoral rules. The project is thus designed to strengthen the capacity of electoral institutions, build capacity that fortifies democratic practice and strengthen human rights architecture. It addresses specifically the *UN-GRZ Partnership Framework 2016-2021*, Pillar 3, outcome 3.3 supporting equitable and effective participation in national and democratic processes, and outcome 3.4 promoting an understanding of citizens' rights, greater human security, access to justice and encouraging equal opportunity.

The Electoral Institutions and Processes Strengthening approach signals a shift from disconnected initiatives working in parallel to support individual institutions and processes to an integrated thematic approach, involving coordinated action involving a range of sectors and actors over the entire electoral cycle. Integral to this strategy is the application of lessons learned from previous election project evaluations that emphasise the need for activities that proactively build inter-stakeholder trust, while simultaneously strengthening institutional and social responses to electoral conflict. To this end, the key features of the Electoral Institutions and Processes Strengthening approach are the following:

- It is **multi-dimensional**. The Electoral Institutions and Processes Strengthening approach is built around support that covers *inclusion, accountability, transparency, integrity and capacity*. Through an institutional to thematic shift, various institutions work towards the realisation of SDG 16+ target areas. Arriving at inclusive, independent and resilient democratic institutions calls for a comprehensive project that addresses multifarious aspects that impinge upon democratic electoral processes, in particular exclusion and inequality as identified above in the development challenge.
- It involves **multiple stakeholders**. The Electoral Institutions and Processes Strengthening approach promotes multi-stakeholder strategy formulation, thus fostering much needed inter-institutional cooperation and coordination, as well as ownership by actors involved in the process.<sup>17</sup> It thereby takes a 'whole of society' approach; facilitating broad and meaningful engagement and consultations with stakeholders across all sectors. In addition, the strategy is intended to bridge communities of practice and to capitalize on expertise to better integrate the various forms of envisioned support.

<sup>17</sup> Typically, this includes, although is not limited to the Election Commission; other constitutional, national and provincial level commissions; the Prime Minister's office, the National Planning Commission and relevant Ministries and local government, political parties, Parliament, the Judiciary, the media and CSOs



It covers **longer timeframes**. The approach is intrinsically a preventive approach; incorporating meaningful lesson learnt methodology that continues throughout the project. Sustainability is promoted by allowing for longer-term strategies and shorter-term interventions, including activities in the field of access to justice, electoral support, parliamentary support, human rights and social cohesion to complement and inform each other in order to meet the SDG targets. This allows for continuity while minimizing the loss of institutional knowledge.

### ***2.3 Programming for Peace***

The **Programming for Peace** component is designed to directly address the increasing risk of electoral violence that has characterised Zambian politics in recent years, particularly since the 2016 elections. While the Electoral Institutions and Processes Strengthening component addresses many of the underlying causes of political violence, the Programming for Peace component focuses on ensuring human security and conflict mitigation of democratic processes across the electoral cycle. The Programming for Peace framework presents solutions relating to the prevention of electoral violence and conflict to support stakeholders in formulating conflict sensitive electoral conflict prevention programmes. A range of electoral conflict prevention activities have been developed, which can broadly be divided into (1) analysis and mapping; (2) monitoring and early response; (3) activity and training design. The analysis and mapping component ensures the development of conflict-sensitive and evidence-based prevention strategies. Monitoring and Early Response is key to guaranteeing accurate and publicly accessible information to inform response and mitigation strategies. Activity and Training Design encompasses a range of context-specific electoral conflict prevention activities based on the analysis and monitoring, foreseeing capacity building with trainings as a vital component. The framework aims to enhance the involvement of multiple stakeholders to enrich analysis, ensuring shared diagnosis, and coherent and coordinated responses. Moreover, it allows for regular updating and adaptation of violence mitigation strategies, when required. To this end the, project will provide support to the Zambian police service to ensure security and respect for human rights and freedom of expression, particularly during electoral campaign periods. The project will also strengthen context-specific institutional mechanisms that allow for the gathering of data, monitoring, early warning and response to electoral violence at the federal, provincial and local level in collaboration between governmental actors and civil society. The project will support existing Conflict Management Committees in collaboration with national structures to equip local actors with the tools to prevent and mitigate electoral conflict.

### ***2.4 Sustainable Development Goal 16+ -***

The main objective of the electoral support programme is to support Zambia in its achievement of the Sustainable Development Goals, in particular SDG 16 – peace, justice and strong institutions. Understanding that SDGs are interlinked and cannot be fully realized independently, SDG 16 creates a sound basis for overall progress in the implementation of Agenda 2030 given its concentration on strengthening key pre-conditions for sustainable development.

This project also highlights that SDG 16 cannot operate in a silo, as targets set in other SDGs are intrinsically linked to advances in strengthening institutions, promoting meaningful and inclusive participation and increasing access to justice. Hence, the term SDG 16+ has been adopted to underline the programme's broad focus on SDG 16, recognising targeted effort towards the realization of SDG 16, but acknowledges interlinked SDG goals including, SDG 5, 10 and 17. Progress on SDG 16 will affect outcomes in the area of youth, women and persons with disabilities as it works towards meaningful participation and ensuring accountability, including gender responsive remedies for rights violations.

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### **III. RESULTS**

#### ***3.1 Expected Results***

The overall Goal of the project is that Zambia has strengthened democracy through functional and inclusive electoral processes that ensure the peaceful conduct of the 2021 elections and demonstrate heightened legitimacy and institutionalization of the multiparty system.

To achieve this the project is structured around two key results areas:

##### **Results Area 1: Electoral Institutions and Processes Strengthening**

Zambian institutions have adequate capacity and policies to ensure inclusive, transparent, accountable and integrity-based democratic processes.

##### **Results Area 2: Programming for Peace**

Adequate mechanisms are in place to ensure human security and to mitigate conflict so that elections are conducted peacefully

The results, outputs and activities are designed over the four-year period of 2019 to 2022. The first year (2019) focuses attention on substantial efforts to harmonize and stabilize the legal framework for the conduct of elections, preparatory work on institutional capacity development and the start of longer-term efforts to strengthen social values and attitudes. The inception of assessments and activities are focused in this period to inform the work and priorities of subsequent programming. Year two (2020) deepens engagement on institutional capacity development in the year ahead of the election drawing on previous initiatives, analysis and developments arising in 2019 while also working to entrench inclusive, peaceful and constructive participation and engagement. Year three (2021) focus on the efforts necessary to support the operational tasks and a conducive environment for elections, with a focus toward enhanced monitoring and enforcement that facilitates the prevention of electoral violence. Year four (2022) is oriented toward consolidating gains (institutional and social) in the process and to facilitate election reviews as a means of supporting election reforms as an ongoing process.

The project has been designed based upon recommendations of the 2018 NAM report, 2016 election observation reports, consultations with stakeholders, and recommendations arising from independently conducted evaluations.



**PARTNERSHIP FRAMEWORK OUTCOME INVOLVING UNDP #3:** By 2024, All people in Zambia, including women, youth and marginalized, have equitable and effective participation in national and democratic processes, especially women, youth and marginalized groups.  
**Related Strategic Plan outcome 2:** Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance.



## Logical Flow Chart

Democracy Strengthening in Zambia 2019-2024

The overall Goal of the project is that Zambia has strengthened democracy through functional and inclusive electoral processes that ensure the peaceful conduct of the 2021 elections and demonstrate heightened legitimacy and institutionalization of the multiparty system.

Result Area 1: Electoral institutions and processes strengthened

Result Area 2: Programming for Peace

Result 1: Decision making is more inclusive and participatory, and discrimination is reduced  
 Result 2: Institutions are strengthened to be responsive and accountable, providing access and services  
 Result 3: Institutions are more transparent and provide access to information  
 Result 4: Technical and organizational capacities of national electoral stakeholders are strengthened  
 Result 5: Credible and legitimate institutions work with integrity

Result 6: Conflict prevention and mitigation mechanisms to support the peaceful conduct of elections are enhanced

**Output 1**  
 Support inclusive participation  
 Support to improve inclusiveness of Elected Bodies  
 Support the inclusion of civil society and civic engagement

**Output 2,3 & 4**  
 Enhancing Electoral Support Institutions  
 Support to Electoral Dispute Resolution (EDR)  
 Strategic communications support  
 Support to the National Assembly communications strategies  
 Support to the Media  
 Technical support and capacity strengthening for ECZ

**Output 5**  
 Support to the reform process  
 Support to the integrity of biometric identification

**Output 6**  
 Promote electoral security  
 Support to political violence early warning system  
 Strengthening of conflict management mechanisms

Lack of inclusion among select groups (such as women, youth & PWDs)

Need to enhance public confidence in the impartiality, effectiveness and credibility of institutions responsible for Zambia's electoral process

Increasing polarization of political processes and the need to mitigate election related violence and promote a peaceful political environment

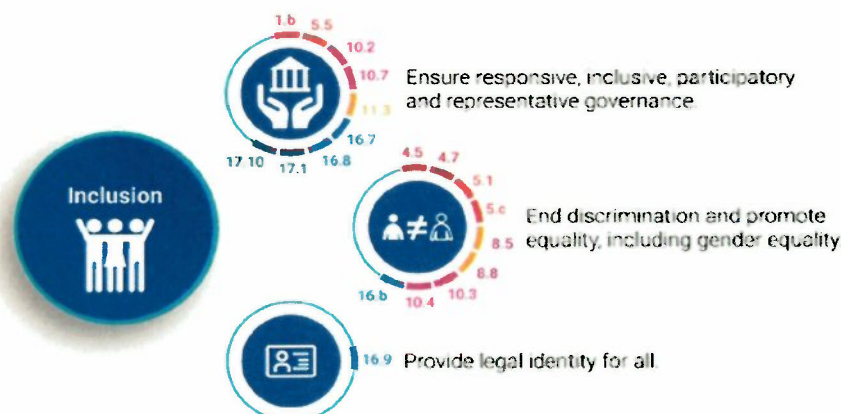
Shortcomings and inconsistencies in the legal and policy framework for elections

## KEY ISSUES

## Results Area 1: Electoral Institutions and Processes Strengthening

### I N C L U S I O N

**Result 1: *Decision-making is more inclusive and participatory, and discrimination is reduced***



The first result seeks to enhance the inclusive engagement of participants in the electoral process, in particular that of women, youth and persons with disabilities in all facets of the electoral process alongside coordinated civil society networks to support inclusive elections.

#### **Output 1.1.: Support for inclusive participation**

This output focuses on the promotion and implementation of activities that strengthen the inclusion of marginalized groups in the electoral process. This aspect of the election process is often replete with a number of initiatives spread across various implementers supported by different projects that focus on informational campaigns, electoral observation, the empowerment of women, inclusion of youth and PWDs. The project seeks to work collaboratively with these other initiatives to avoid a duplication of efforts.

##### Activity 1.1.1. Support to women's and youth participation

In order to understand the underlying issues behind these issues and offer innovative solutions, the project will conduct an in-depth study on the issues of meaningful participation among women and the youth, as voters, candidates and elected politicians. In order to do so, the project will deploy experts in the field of women's and youth participation to, as the first step, examine the available statistical data, including the review of current registrar of voters. Voter registration information, relevant data is captured during the voter registration process, making it relatively easy to extrapolate the number of registered voters by age and sex. This will be done in close cooperation with ECZ technical staff and in line with the existing legislation and procedures.

Taking this data as the basis, the experts will identify and target parts of the country with the higher- and lower-than average registration data for both youth and women, in order to conduct a more in-depth research and identify reasons behind these trends. To do so, the experts will design and conduct a series of round tables



and focus groups throughout the country with women and young voters. This will be done jointly with national partner organizations (to be identified), which will provide both logistical support and input on the structure and content of the round tables/focus groups.

The experts will also benefit from the input by the experts on gender and youth issues in the HQ, regional and Brussels offices. One of the key documents guiding the process of assessing the participation of women will be UNDP-UN Women *Inclusive Electoral Processes: a guide for electoral management bodies on promoting gender equality and women's participation*.<sup>18</sup> This guide also features a suggested methodology for the gender assessment; case studies from other electoral gender assessments will also be drawn upon. In addition, the experts will also benefit from a recent publication and related e-learning on the participation of young people in elections, available here: <https://www.ec-undp-electoralassistance.org/>.

Based on this qualitative and quantitative data, the experts will draft a report outlining the challenges and strategies on how to increase and improve participation of women and youth in the electoral process. This report and relevant recommendations will then form the basis for the development of a national campaign to increase participation of women and youth in elections.

#### Activity 1.1.2. Developing national campaigns to increase participation of women and youth in elections

Based on the findings of the study, the project will design an outreach strategy with the aim of increasing the participation of women and youth in the electoral process, and in particular increasing the turnout for the upcoming elections. While the exact details of the strategy will depend on the findings of the study, the approach by the project will be to use innovative tools, including new technologies and social media. With that in mind, the project will benefit from the existing e-learning and publications on youth and women's participation, in order to maximise the reach of these valuable resources. The project will be supported in this effort by the e-learning unit in Brussels.

#### Activity 1.1.3. Support to the participation of persons with disabilities

In addition, persons with disabilities face specific problems to participate more fully in the electoral process. Persons with disability have faced other obstacles to be able to participate on an equal basis with others, this is mostly related to poorly defined procedures, inappropriate voter education material, poor infrastructure at facilities, and strengthening networks supporting PWDs. In conjunction with the ECZ and civil society, the project plots action to address these shortcomings over the next electoral cycle.

#### Activity 1.1.4. Support to the participation of remanded individuals

For the first time, remanded individual's will be allowed to vote in Zambia. Based on the Zambian Constitutional Court ruling (2016/CC/0013) that individuals remanded in custody, including in pre-trial detention centres and prisons, have the right to participate in any elections, the project foresees support to the ECZ to comprise operational arrangements to enable the full participation of individuals remanded in detention facilities or otherwise incarcerated to exercise their franchise. The ECZ specifically is tasked with operationalizing this legal decision and explicit voting modalities should be developed and implemented. Concomitant special voting for homebound or otherwise confined individuals and exploration of advance polling are areas of interest that warrant examination along the same line of inquiry. Some preliminary, but important activities must be addressed in 2019 before the commencement of voter registration in 2020.

### **Output 1.2: Support improved inclusiveness of Elected Bodies**

#### Activity 1.2.1. Support inclusion measures of the National Assembly

Women remain at the margins of political processes and decision-making while they represent 50.3% of the population.<sup>19</sup> The gaps in representation between men and women are significant, and unequal access to politics and decision-making remains one of the major challenges Zambia is facing.

<sup>18</sup> Available here:

file:///C:/Users/dan.malinovich1/Downloads/2015%20UNDP\_UNWomen%20EMB%20Gender%20Mainstreaming%20Guide-En-LR.pdf

<sup>19</sup> Source : World Bank Data 2017, <https://donnees.banquemondiale.org/indicateur/SP.POP.TOTL.FE.ZS?locations=ZM>

The project will support the National Assembly in the promotion of inclusiveness by targeting under-represented groups, specifically women. Indeed, figures of the 2016 elected National Assembly of Zambia reflect unequal access to power and decision-making processes between men and women as out of 164 MPs, only 30 are women, which corresponds to merely 18 per cent.

Also, there is a clear lack of opportunities and support to female candidates competing for seats in parliament. As women are less likely to have political experience, training programmes should be tailor-made to make female legislators more effective and empowered and to fill the gap between men and women in terms of access to resources and to decision making bodies.

In this context, the project will implement activities aiming to support ongoing and tailor-made capacity development for female MPs.

#### Activity 1.2.2. Citizen Consultation Platform

Transparency of public institutions and accountability to citizens is a key element of democratic systems. Improved capacity of Members of Parliament to effectively and timely exchange with their constituencies is a vital element of effective democracy.

The *DSZ* project will support the set-up of an online citizen consultation platform which enables a direct interaction between Members of Parliament and their constituencies. In addition, the platform will also allow citizens to exchange views on ongoing parliamentary debates through a forum hosted on the same website. Finally, in order to broaden their reach to the general public, outcomes of the online debates can be discussed and broadcasted through public radio and TV programs.

### **Output 1.3: Support for the inclusion of civil society and civic engagement**

#### Activity 1.3.1. Support to enhancing sustainable and coordinated frameworks

The project envisages continued assistance for sustainable and coordinated civil society organisation frameworks and operations under the Christian Churches Monitoring Group (CCMG) umbrella in support of consistent domestic election observation. This is based on the adoption of the Domestic Election Monitoring and Observation Group (DEMOG) Charter, supported under the previous electoral cycle. Moreover, within these networks the project will provide support for related electoral enterprises that foster greater participation of women, youth, and persons with disabilities. To achieve this, a corps of coordinated and sustainable civil society organizations must be cultivated to support credible and inclusive elections.

#### Activity 1.3.2. Support to CSOs/FBOs and traditional communities

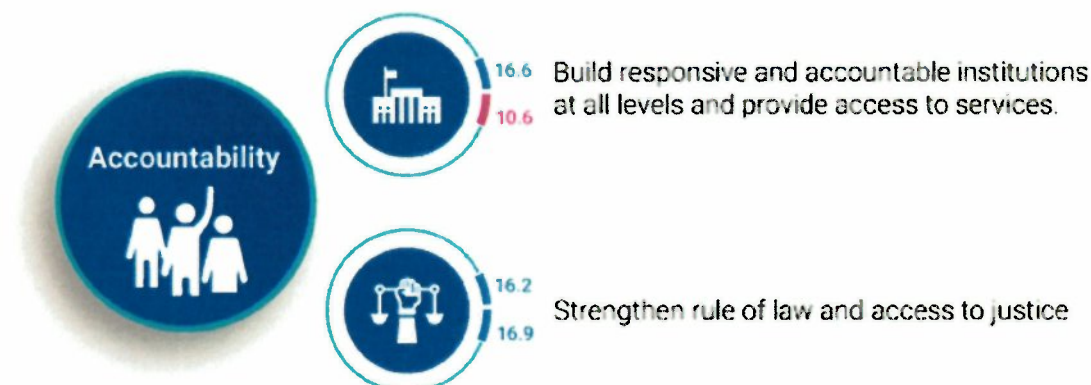
Support to CSOs enabling them to contribute to the improvement of the social, economic, cultural, political and electoral areas in society is of key importance. CSOs play a crucial role in the Zambian electoral cycle. Increased cooperation with civil society is particularly applicable as political apathy is on the rise in the Zambian context. CSOs assume a unique role in delivering services that encompass domestic observation, dispute resolution and civic and voter awareness. They also serve as watchdog in line with provisions of the Access to Information Bill.

Alongside well-established CSO/FBO networks, stand traditional community structures that traverse the House of Chiefs and may play an effective role in spreading voter education and civic messages. These networks are an available avenue to convey culturally contextualized information to the electorate on a variety of subjects including voter education, women's political participation and the value in mitigating electoral zeal.



## ACCOUNTABILITY

**Result 2: Institutions are strengthened to be responsive and accountable, providing access and services**



### Output 2.1: Enhancing Electoral Support Institutions

Long-term capacity building of a country's governance institutions is essential to move towards a peaceful, inclusive and just society. In this perspective, the project will adopt a more global approach going beyond the standard electoral cycle and will implement democratic strengthening activities during the period between two electoral cycles. This space, where possible tensions linked to the elections are at their lowest, proves to be a crucial step providing a fertile ground for strengthening institutions and key players in the electoral process. This ongoing support based on a long-term vision has enormous capital to encourage dialogue among key actors in political life, strengthen the inclusiveness of governance institutions and address potential sources of conflict at an early stage. Among a wide range of potential activities that could be implemented, the project will focus its action on parliamentary strengthening in Zambia. Parliament has a key role, defined in the country's constitution, in studying and approving the government programme and in voting legislation in all areas, in holding the government accountable in its execution of its programme, and in acting as interlocutor between the citizen and the state. Emphasis will be placed through this component on building the capacities of the National Assembly and reinforcing its independence and role in ensuring good governance at various levels.

#### Activity 2.1.1. Parliamentary staff and committees are strengthened

Parliament is often considered a key organ of democracy and society. The effectiveness and ability of parliaments to perform their functions are often considered in qualitative judgments of the vitality of a democracy. It is indeed essential to give legislative bodies the institutional means to implement the principles defined by their legal and constitutional frameworks and to ensure the fulfilment of their missions. In the case of Zambia, the National Assembly represents the unicameral legislature. The NA is composed of 167 deputies, elected for a term of 5 years.

The approach underpinning this activity addresses the needs to train parliamentarians and build their technical capacities on a regular and sustainable basis. The support proposed by the project will enable the National Assembly to perform as an independent and sustainable institution capable of carrying out its functions of controlling government action and representing citizens effectively and consistently.

In entrenched democratic parliaments, parliamentary groups play an important role in effective oversight of the government's administration and its action, ensuring the accountability of the executive to the Parliament. Parliamentary committees are composed of representatives of each political parties within the Parliament, discussing and examining the draft bills on a wide range of pre-defined subjects.

The project will aim at supporting the work of parliamentary committees in support of electoral reform. This includes strengthening parliamentary staff capacities, particularly in terms of research, legal drafting and

legislative review processes, based on technical expertise.

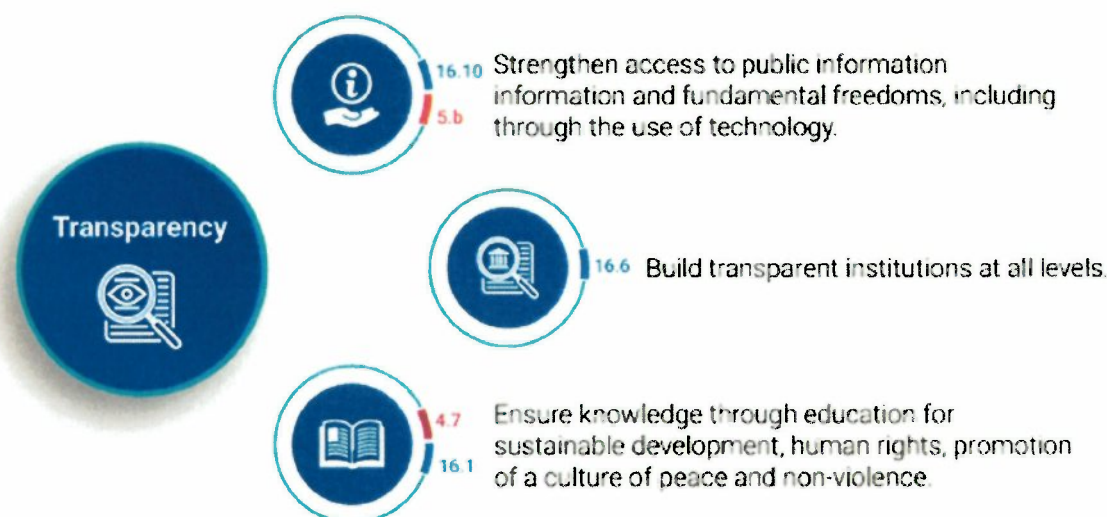
## Output 2.2: Support to Electoral Dispute Resolution (EDR)

### Activity 2.2.1. Strengthen EDR processes of the Judiciary

This activity details an initiative to strengthen the Judiciary with a focus on the timely resolution of electoral complaints and petitions that has proved to be a source of concern in past election processes. The responsiveness of the electoral dispute resolution (EDR) system is a principal feature of elections that ensures the ongoing constructive engagement of stakeholders. Delays or inconsistent judgements in the resolution and remedy of complaints and petitions erodes confidence in the integrity of the electoral process and therefore necessitates key support. This sub-output therefore focuses on strengthening the capacity of the judiciary to manage complaints and to enhance relevant knowledge through training.

## TRANSPARENCY

### Result 3: Institutions are more transparent and provide access to information



## Output 3.1.: Strategic communications support to ECZ

### Activity 3.1.1. Support ECZ Strategic Communications

Strategic communication refers to policy-making and guidance for consistent information activity within an organization and between organizations. Equivalent business management terms are: integrated (marketing) communication, organizational communication, corporate communication, institutional communication.

Strategic communication management could be defined as the systematic planning and realization of information flow, communication, media development and image care in a long-term horizon. It conveys deliberate message(s) through the most suitable media to the designated audience at the appropriate time to contribute to and achieve the desired long-term effect. Communication management is process creation. It must bring three factors into balance: the messages, the appropriate media channels and the audiences. A comprehensive external communication strategy will facilitate the work of the ECZ and is a key activity to mitigate reputation risks that may otherwise arise in the absence of a coordinated and effective communication platform.

This activity focuses on supporting the ECZ in developing and implementing a robust and multi-channel external communication strategy to ensure that stakeholders are well informed about the electoral process and that the ECZ has both a proactive and reactive media posture.

## Output 3.2.: Support to the National Assembly communication strategies



### Activity 3.2.1. Enhance the communication practices of the National Assembly

This activity is of utmost importance as political processes in Zambia are characterized by an atmosphere of mistrust between stakeholders and the lack of inclusion of minorities (such as youth, women, people with disabilities). The Parliament is an essential part of modern governance and the project intends to increase its credibility as key governance body through enhanced transparency and the development of a communication plan. It is indeed necessary to improve the communication of the NA to make information related to its work accessible to citizens through the development of an institutional communication strategy, with a view of increasing public understanding of the Parliament's key functions, reinforcing its dialogue with the media and increasing credibility of its institution and members.

### **Output 3.3: Support to the Media**

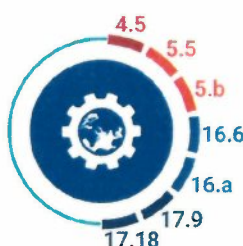
#### Activity 3.3.1. Strengthening independent and responsible media reporting

Equitable media access has come to the fore as a persistent sticking point among both political actors and the public more generally. Addressing the challenges that restrict equitable electoral campaign coverage is targeted through a strengthening of the legal framework for public and private media. Part of this challenge is to constructively engage the media in pursuit of the national interest to maintain peaceful and orderly electoral environments. This includes enhancing the media's understanding of its role as a stakeholder in elections and fostering responsible, issue-based reportage. The media also have a key role in promoting messages that support the participation of women, youth and persons with disabilities.

Part of this process also requires a review the media regulatory framework for elections. Support to the Independent Broadcasting Authority is being explored, with the aim to make this public institution more independent *de jure* or at least *de facto*, more assertive when promoting the impartiality of the public media and more responsive to the needs of independent media. Support to the Independent Broadcasting Authority to work with relevant entities on issues related to media regulatory frameworks is envisaged.

## C A P A C I T Y

### **Result 4: Technical and organisational capacities of national electoral stakeholders are strengthened**



Strengthen relevant national institutions, including through international cooperation, for building capacity at all levels.

### **Output 4.1: Technical support and capacity strengthening for the ECZ<sup>20</sup>**

#### Activity 4.1.1. Provision of technical support to ECZ

The building of institutional capacities to support a credible and peaceful election process is a key focus of international assistance and support. While the pivotal mandated institution, the ECZ must nevertheless rely upon a range of other state actors to support the electoral process, including the Police to provide security, the Department of National Registration and Citizenship (DNRPC) to support voter registration, the Ministry

<sup>20</sup> ECZ provided a list of priority areas and expectations for future international support:

- Support to voter education and enhanced strategic communication;
- Engendering relevant legislation (such as the electoral process act and political parties bill);
- Support to special voting, research on diaspora vote and provision of accessible services to persons with disabilities;
- Enhancement of skills and tools of the Zambia Police to manage elections (including the implementation of the Public Order Act); and,
- Support to the media, the Chiefs and the Judiciary with regard to their respective roles in the electoral process.

of Justice to craft and refine legislation and the Judiciary to manage, resolve and remedy electoral complaints and petitions, among others. This output focuses on support in carrying out these respective functions, detailing activities to support the election authority in its core function to organize and administer the electoral process.

Support therefore is foreseen through the provision of technical support to ECZ in key areas, as requested, including on issues related to the conduct of elections, such as special voting for remanded individuals and people with disabilities, and voter education, communications, as well as on electoral reform processes and electoral reform initiatives that may arise. With a view to the three priority areas identified by the Commission, namely, support to voter education and communications; engendering the Electoral Process Act No. 35 of 2016 and the Political Parties Bill; Support to the Commission on Special Voting; and, provision of accessible services to persons with disabilities, UNDP stands ready to assist the ECZ in these, or any other undertaking that promotes a peaceful environment and sustainable electoral practices.

Other areas of potential support may be in terms of assistance to the ECZ with institutional development to improve its internal policies and procedures including on change management, quality assurance, monitoring and evaluation, gender mainstreaming and transparency and accountability processes.

Part of this capacity development is BRIDGE training to target master trainers well in advance of polling station staff training, ideally in 2020. With an increase in the number of districts and polling districts, the number of master trainers should correspondingly increase.

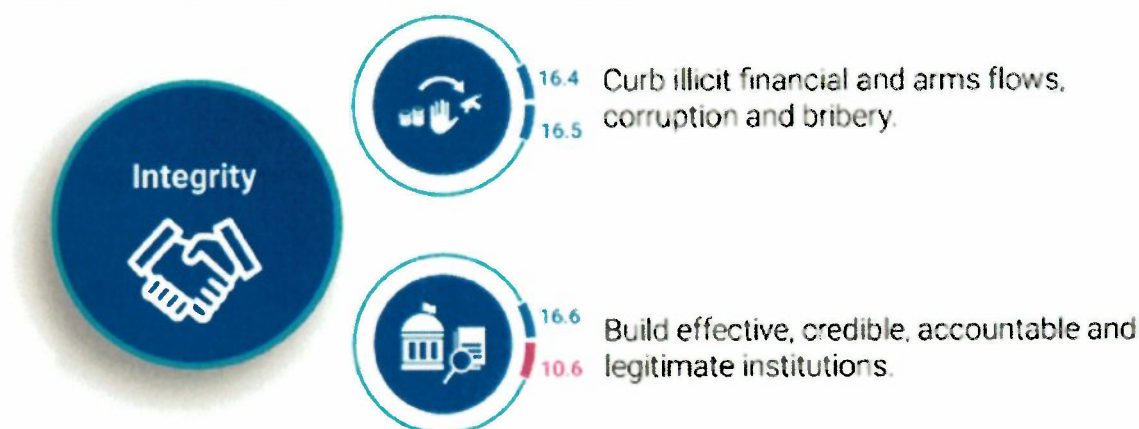
#### 4.1.2. Provision of voter education support

Capacity to both deliver and coordinate voter/civic education will be supported in line with the ECZ's express desire to receive assistance. With anticipated changes in applicable electoral legislation it is expected that a number of CSOs, FBOs and other stakeholders will also play an active role in voter education. Both voter and civic education requires emphasis on targeting women and youth (especially first-time voters) through existing Voter Education School Club (VESC) structures that shape and inculcate values in the youth to be more responsive and enhance their participation in electoral and other civic related affairs. Another important constituency is persons with disabilities, to ensure the participation of important portions of the electorate. The project will strengthen the capacity of the ECZ to implement effective voter education strategies and enhance coordination with CSOs.

There is need to have a robust voter education strategy, especially given the forthcoming voter registration exercise in 2020, which will produce a completely new register of voters. To capture the targeted number of voters, the Commission will embark on intensive and extensive voter education campaign targeting all sections of our society.



## Result 5: Credible and legitimate institutions work with integrity



### Output 5.1: Support to the reform process

Any changes to the electoral framework and electoral procedures and regulations have a significant bearing on the flow of elections. Based on the confusion arisen of the late amendments to the constitution in 2016 and the failed Referendum, DSZ integrates efforts to ensure support for any legal modifications are made well in advance of the August 2021 general election to avoid past mistakes. The project incorporates into its design adequate time to ensure adequate deliberation and public consultation on any alterations to the national electoral legal framework. There are many initiatives currently tabled or ongoing that reflect the move towards constitutional and institutional reform. These initiatives incorporate steps towards a more clearly defined separation of powers, greater judicial independence, Electoral Process Act reform and efforts to re-examine the Public Order Act, these steps bode well to reassert the unity and social cohesion of Zambian society.

Activities under this output are intended to assist national authorities to harmonize and develop the legal framework. This entails a combination of technical and financial assistance to several institutions including the ECZ, the MOJ, Judiciary, the Zambia Law Development Commission (ZLDC) and Parliament. This output also considers the need to sensitize and educate electoral stakeholders on the outcomes of the legal reform ahead of the elections as well as the training of judicial officials, while also accommodating any proposed post-election legal reforms that may arise after the election. The output entails the provision of technical expertise to support legal and regulatory reform processes.

#### Activity 5.1.1. Legal and regulatory assessment, consolidation and analysis of observer recommendations

A legal assessment is essential to identify areas of inconsistency that may exist within the Constitutional and legal framework reform process. It will also identify aspects of the regulatory and procedural framework that require revision or development for effective operationalization ahead of the 2021 elections. The assessment will assist in informing relevant institutions of key provisions that may require amendment, their priority and will form the basis of a tracking process for Project stakeholders to monitor the progress and impact of election-related reforms on the legal framework.

Moreover, national and international election observer recommendations will often contain important observations on the legal framework to the benefit of national institutions involved in elections such as the National Assembly, the ECZ, the media and security forces. These recommendations, from national and international observer groups, provide an impartial assessment and analysis for future work on the legal framework. Consolidating, reviewing and analysing these recommendations is an integral step in the continuous improvement of the legal and regulatory framework.

#### Activity 5.1.2. Support to the legal drafting process

The process of legal amendment in Zambia is multi-institutional and needs to be viewed as a complete process. Support to ZLDC<sup>21</sup> is an important channel to consult and draft the layman version of amendments to the MOJ. These processes can however be delayed by a lack of financial resources and equipment as well as the costs of retaining external services to draft legislation (a specialized skill). The passage from the MOJ to Cabinet and subsequent tabling in Parliament, may also require technical and financial resources to facilitate meetings among key stakeholders and MPs to consider drafts in committee and expedite their consideration and enactment.

This activity will support the legal reform process to expedite the management of legal amendments seeking to meet with the timeframe of having a stable and harmonized legal framework in place within at least 12 months prior to the 2021 elections.

Relevant interventions in this regard are the provision of assistance to ZLDC and MOJ, among other relevant entities, on issues related to legal modification, particularly on supporting the process of legal reform with potential impact on the electoral environment. The project will thus support these institutions in carrying out key functions, with a focus on consultation processes and research activities. The allocated budget will enable the project to support consultation processes for all electoral related bills.

On a related source of assistance, in addition to ongoing legal reforms pertaining to the Political Parties Bill, Public Order Act, and Electoral Process Act, specific support in the form of United Nations expertise is sought by the ECZ. This may include, should the initiative become adopted, incorporating best practices with respect to electoral processes in the region and other EMBs on implementation of a Mixed Member Electoral System for the National Assembly, namely Mixed Member Proportional Representation.

Moreover, based upon pronouncements to the effect that Zambians in the diaspora should be given an opportunity to vote. In order for the Commission to ascertain the requirements for diaspora voting, there is need to undertake preliminary activities.

#### Activity 5.1.3. Technical assistance in the engendering of relevant legislation

Zambian commitments under CEDAW encourage the government to create incentives that encourage women to participate more fully. These may take the form of temporary special measures encouraging political parties to nominate more women – measures may be financial but are not limited thus. This is complemented by the provision of training and capacity building support to relevant women's organisations on issues related to women's political participation. Zambian authorities should consider the viability and possible introduction of temporary special measures to increase women's participation in all facets of government.

### **Output 5.2: Support to the integrity of biometric identification**

#### Activity 5.2.1. Supporting biometric identification

The project envisions support to the biometric national population register with the perspective of extracting up-to-date voter registers. The Department of National Registration, Passports and Citizenship (DNRPC) is presently upgrading its system to a secure and modern biometric identity card. It has already digitized its existing records in preparation for the enhancement of its data management systems, which will facilitate a computerized system to support its functions in support of the ECZ to prepare an accurate and credible voters' roll. On the current timelines, the new NIC is unlikely to be available for the 2021 election process, however, key investments in the development of this system to assist in its scalable and longer-term evolution holds significant potential to streamline and improve the quality of the voters' register. Technical and financial assistance to procure critical software (public key infrastructure software to encode chips) and to modify biometric registration kits will facilitate the development and progress of this system.

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<sup>21</sup> The ZLDC is a semi-autonomous statutory body established by the Zambia Law Development Commission Act Chapter 32 of the Laws of Zambia. The ZLDC's mandate is to conduct research on laws, make recommendations to the Government so that it takes informed decisions in developing laws and carrying out comprehensive legal reforms, in line with the values and needs of the Zambian society. The ZLDC is part of the portfolio for the Ministry of Justice, which is responsible for facilitating the administration of justice and promoting the observance of the rule of law.



This area will support the implementation of a National Biometric Identification System in collaboration with the Ministry of Home Affairs, Smart Zambia Institute and various local stakeholders to achieve an Integrated National Registration Information System (INRIS). This activity details a strategic investment to support the Ministry of Home Affairs DNRPC responsible for the issuance of the national identity card (NIC) that serves as a baseline document for eligible citizens to register to vote as well as a source of cross-matching data to remove deceased from the voters' roll and to verify updates.

## Results Area 2: Programming for Peace

### PROGRAMMING FOR PEACE

**Result 6: *Conflict prevention and mitigation mechanisms to support the peaceful conduct of elections are enhanced***



There is optimism that some of the missteps from the 2016 election may be rectified through ongoing efforts to foster dialogue between the political parties. Issues pertaining to conflict management and dispute resolution therefore require attention. The project thus seeks to strengthen election related conflict resolution and dialogue instruments.

The ECZ has the authority to deal with minor and administrative electoral disputes. It also bears responsibility to disqualify candidates and sanction political parties in violation of the Electoral Code of Conduct. Indeed, to avoid such instances, Conflict Management Committees (CMC) are established at the national and district levels to provide an alternate dispute resolution mechanism. The committees are comprised of representatives from government agencies, faith-based organisations, ECZ, CSOs, the police, and political parties. Such mechanisms play an important role in the electoral dispute resolution process. The project plans support to key agencies in this dialogue and mediation process, including the Political Party Liaison Committees, the Zambian Centre for Inter-party Dialogue (ZCID), faith-based bodies, and the House of Chiefs.

In order to enhance these instruments, the project strategizes support to the Zambian Police Service (ZPS), as well as establish electoral violence early warning, conflict mitigation and dialogue mechanisms, in line with the Programming for Peace framework.

Elections may act as a catalyst for violence and has been the subject of a worrying trend in Zambia. This output shapes several activities to strengthen institutional and social resilience to prevent electoral violence that have been a focus of the Sustaining Peace Through Elections research initiative. The output contemplates an early assessment process to establish a baseline and identify trends and recommendations to prevent electoral violence. Piloting of initiatives for community policing and an early warning system are also addressed as a prelude to develop broader initiatives, while strengthening of Conflict Management Committees as a form of alternative dispute resolution is also prioritized. An electoral abuse assessment is also foreseen as an initiative

to identify areas of concern and to formulate recommendations for duty bearers to be able to monitor and enforce the electoral rules, which is pivotal to stakeholders' confidence in the process and to deter contestants from resorting to violence. Monitoring of mass media (radio, television and print) and social media is also addressed as a growing channel of concern for hate speech and incitement to violence. The output also focuses on peace messaging and civic education efforts to strengthen tolerance and improve social resilience against the instigation of electoral violence. Finally, the joint training of police and media representatives has been identified as a key area in which to build trust and cooperation that looks to ensure the protection of media representatives in their functions but also improved understanding of the role of security forces in elections.

As Zambia is experiencing a progressive polarisation of the political landscape, this makes the stakes in next elections extremely high. Together with the relatively new phenomenon of political cadres, this aggravates the risk of political violence, which the country already experienced during past elections. Electoral violence, moreover, has a disproportionate impact on the participation rates of women and persons with disabilities; the culminative effect to prevent active voting participation.

#### **Output 6.1.: Promotion of electoral security**

A core mandate of the Zambia Police Service (ZPS) is to protect the rights of citizens and stakeholders in the electoral process. In the present fluid legal framework, the work of the ZPS needs to be informed by updated training on fundamental rights and any revisions to their duties and powers to ensure that ZPS staff are aware of their role, duties and expected behaviours in the electoral process. The training will also be complemented by the development and issuance of a pocketbook on the roles and duties of General Duty officers in the performance of their functions related to the electoral process.

This output details key activities to support the ZPS in its core function as the primary service provider of security services to the electoral process in a professional, transparent and accountable manner.

##### Activity 6.1.1. Police training on human rights and electoral security

Under the current legal framework, the ZPS needs support to develop clear procedures to apply the soon to be revised public order act to limit arbitrary behaviour of local police forces and help them react in all situations (in particular political/electoral events) in the most appropriate way compatible with the rule of law, human rights and democratic principles. Each police officer involved in electoral security in the country should then be exposed to these new procedures through ad hoc trainings.

In the past, the ZPS already developed electoral security plans, training courses and materials. It will be necessary to help the ZPS evaluate this experience to identify challenges and lessons learned and build upon it. This may be conducted utilising a two-tiered approach. The first to introduce electoral security training as a component of the police intake curriculum in the two national academies. The other is envisaged at an in-service level for those officers already in the system.

##### Activity 6.1.2. Support the development and establishment of a transparent Campaign Venue Management system

Political parties should publish in advance a schedule of major campaign events, to avoid conflicts and facilitate appropriate allocation of police to campaign events. The reality is that competing space often acts as a catalyst for political violence. Establishing a Campaign Venue Management (CVM) system would serve to coordinate campaigns and ensure public space is available to all and properly secured. With its nationwide reach and composition of all principal actors, the CMCs are ideally situated to establish and manage a CVM system for political rallies jointly with the ECZ.

##### Activity 6.1.3. Community Policing initiative

The police are often accused of arbitrary responses and of being unable to address the full ambit of security issues during elections. Conversely, the police rarely rely on community support and cooperation. The project thus envisages support the police to better engage with local communities—to address the pressing need to



improve understanding and communication between the Police and local communities. The intervention will serve to enhance information sharing, build relationships and help establish community priorities.

Selected locations will be identified through the electoral violence risk assessment to pilot a community policing initiative that focuses on improving community liaison between the Police and key stakeholders, such as, women, traditional leaders and youth. A few pilot locations will be collaboratively identified. These efforts are intended to improve understanding between the Police and their local communities to enhance mutual appreciation and information sharing around the role of Police as well as community priorities. Building trust at this grass roots level is anticipated to prevent the occurrence of violence.

A pilot program to support the ZPS will be conducted in the same identified locations as part of the Early Warning and Monitoring System. These efforts will support General Duty Police Officers to conduct regular dialogue with community leaders, supported by CSOs, FBOs and traditional leaders. This work is intended to enhance the perceptions of Police as communities' protectors of rights and to strengthen relationships at the grassroots level.

#### Activity 6.1.4. Joint training of police and media

The relationship between the police and media representatives is an important relationship to foster mutual understanding and cooperation in the electoral milieu. Joint training of the police and media on public order management and respect for freedom of expression represents an important public site. Fostering this relationship seeks to ensure the police protect journalists in their work, while journalists garner an appreciation of the protocols and requirements behind police efforts to ensure public order. Cultivating a bridge and mutual respect between these professions offers an improved environment for media reporting as well as ensuring accurate characterizations and perceptions of police activities.

### **Output 6.2: Support to political violence early warning system**

As part of a political violence monitoring, analysis and mitigation strategy, a well-organised early warning system to identify, report and analyse political violence could feed into the elaboration of informed preventive and response actions and deter perpetrators from committing violence by escalating the risk of detection.

In 2016, a consortium of CSOs included a violence EWS to their electoral observation initiative. This EWS was therefore meant to function only during the electoral period. Electoral violence information was sent by observers by SMS to a central database and a response mechanism was established involving ECZ, Police and other relevant stakeholders. This EWS was put in place only few days before elections and could not be fully exploited.

Another EWS, still functioning, was established by MISA in partnership with more than 20 CSOs and with the support of BBC Media Action and UNESCO. This EWS is aimed at detecting cases of intimidation and violence to provide an immediate response. However, no analysis or reporting is carried out.

The project proposes interventions that will assist with enhancing the existing local mechanisms for dialogue and conflict prevention, which can create space for dialogue, defuse tension and prevent electoral violence. This includes support to training and other measures to enhance electoral safety and security, including for example through training support to Zambia Police Service, as well as engagement with, and support to relevant actors within local communities, such as the House of Chiefs, to utilise their network capacity for election related messaging including the value in the peaceful conduct of elections and preventing electoral violence.

#### Activity 6.2.1. Early Warning System (EWS)

Specialised IT platforms, such as the one being developed by the JTF initiative, can facilitate the task of collecting, collating and mapping conflict and violence. These allow for subsequent analysis and the development of early warning and preventive response mechanisms. These systems are best developed as a multi-stakeholder consortium where the components of monitoring and mapping, analysis and response are assigned to stakeholders with the optimal qualifications and attributes to maximize impact. These systems will

draw from field reporting (via SMS, email, phone, website input) as well as complementary data sources and will involve a process of data processing including: categorization, translation, geolocalisation and verification. The analysis of this data on incidents of political violence will inform custom analysis supporting response stakeholders, such as, the ECZ, ZPS, political leaders and CSOs, to take preventive actions. The introduction of these active monitoring systems not only inform response and prevention actions but also can deter perpetrators from committing violence by escalating the risk of detection. It responds to a critical lack of data on those events and contribute to the transparency of elections.

A political violence early warning system will be implemented to monitor and map violence incidents and early signs of violence. This process combines three distinct elements: monitoring and detection, analysis and response. Each element can combine efforts from a range of stakeholders and will be used throughout the project period to establish, pilot and test the effectiveness of the process. If successful, the process will be scaled up toward the election period and will focus toward election related tensions and preventive response mechanisms.

The proposed political violence EWS will build on the ongoing system coordinated by MISA. Detection, classification and verification procedures will however be improved and standardised, while reporting, mapping, analysis and advocacy components will be added.

The initiative under the umbrella of the EU-UNDP Joint Task Force on electoral assistance will provide the project dedicated support to the UNDP Zambia Country office in implementing the Electoral Violence Early Warning and Monitoring activities.

### **Output 6.3: Strengthening of conflict management mechanisms**

#### **Activity 6.3.1. Support to Conflict Management Committees**

Conflict Management Committees function at the national and district levels under the coordination of ECZ and have been used as alternate dispute resolution mechanism since 2001. The committees are comprised of representatives from government agencies, faith-based organizations, the police, ECZ, civil society organizations and political parties, and are known to deal with conflict at the grass-root levels. As part of a comprehensive early warning system, the CMCs require greater capacity to fulfil their function. This is notably so at the local level where much conflict manifests.

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## **IV. PARTNERSHIPS**

### **4.1. PARTNERSHIPS**

Project implementation will be based on a broad spectrum of national and international partnerships with the understanding that strategic partnership maximises impact. The approach of the project recognizes that the mandate and roles of key stakeholders vary over the course of an election cycle. Project planning needs to accommodate these dynamics to consider sufficient lead-time before the politically charged atmosphere of elections to maximize the impact on the environment and process. Pivotal in this planning is that stakeholders, state and non-state actors, must have the opportunity to build trust with the electorate and importantly between each other, ahead of the political and operational stresses that an election imposes. While many stakeholders have been the recipient of support in past electoral cycles these initiatives have been separated across several projects and actors. While productive efforts have been made to coordinate and interlink these initiatives in the past, the recent platform of electoral and political reform is a unique opportunity to build on new collaborative relationships to consolidate and synchronize efforts. Equally, leveraging the project's governance structures as a neutral and transparent forum for collective decision-making and prioritisation is important to avoid the fragmentation of priorities or resources.

#### **4.1.1. Government Entities**

Among its primary objectives, DSZ will support the ECZ to engage more effectively with other electoral stakeholders in the country. The expectation is the ECZ continues to modernise its practices to meet emerging trends and strengthen its partnerships within the community. The strong partnership between the community and the institution is an essential factor in addressing delivery of credible elections and represents



a practical measure of ensuring sustainability and adherence to the set national values and principles set out in the Part II of the Constitution of Zambia 2016, as well as harmonisation and the alignment of policies and legal framework. Building upon previous electoral support, the project focuses on developing and strengthening the capacity of the ECZ and other national stakeholders, enhancing public confidence in election results, strengthening modalities for dispute resolution and supporting electoral partners and stakeholders (political parties, media, CSOs, security agencies). Additionally, specific focus is given to complementary institutions, such as Conflict Management Committees (CMC), the media and Independent Broadcasting Authority (IBA) under the Ministry of Information and Broadcasting Services (MIBS), and political parties through their commitments to gender parity and maintenance of an orderly electoral environment. The project also encompasses relevant ministries that work alongside the ECZ to maintain the electoral environment; these include the Ministries of Justice and Home Affairs – specifically the Department of National Registration, Passport and Citizenship; Department of Corrections, and National Police Service – and other state institutions, such as the Zambia Law Development Commission, on issues related to legal reform and the judiciary in terms of identifying professional development requirements and other capacity development interventions for members and support staff of local government election tribunals, the High Court and the Constitutional Court.

#### *4.1.2. Cooperating Partners<sup>22</sup> and United Nations System*

Critical partnerships with donors will be maintained through project management structures, namely the steering and technical committees to provide direction and oversight. The project will utilize the elections technical working under the Cooperating Partners Group architecture for coordination purposes. This will encourage synergy and coordination with ongoing electoral activities emanating from other organisations. Partnerships will be established with multilateral partners and international organisations including UN agencies such as UN Women as sources of technical input.<sup>23</sup>

#### *4.1.3. International and Regional Partners*

International election observation missions form strategic partners over general elections. The project anticipates past organisations will again send observation missions for the 2021 elections. These organisations include the European Union Election Observation Mission (EU EOM), Electoral Institute for Sustainable Democracy in Africa (EISA), Southern African Development Community Election Observation Mission (SADC EOM), SADC Parliamentary Forum (SADC PF), Commonwealth Observer Group, Common Market for Eastern and Southern Africa (COMESA), International Conference of the Great Lakes Region (ICGLR), and The Carter Center (TCC).

#### *4.1.4. Civil Society and other local actors*

The project will engage governmental stakeholders including the ECZ, MOJ, MHA, IBA, ZNWL and ZLDC to ensure national leadership and buy in of initiatives. The project will continue to coordinate closely with and NDI's electoral support initiatives and DFID's Zambia Accountability Programme (ZAP), due to run until the end of 2019. UNDP also engages with the BBC Media Action on issues related to the media. Partnerships with civil society organisations, faith-based organisations and NGOs will be a source of skills and capacity development. These include the Zambia Centre for Interparty Dialogue (ZCID) and the Christian Churches Monitoring Group (CCMG). Strong coordination will be undertaken with community groups with civil society engagement programmes being implemented in collaboration with the project.

### **3.2 Resources Required to Achieve the Expected Results**

#### *3.2.1. Financial Resources*

The project will mobilize and fund its activities through a multi-donor fund dedicated to the project, which will be administered under direct implementation. These funds will be prioritised and sequenced in accordance with the decisions of the Project Steering Committee and informed by the deliberations of the Technical

<sup>22</sup> USAID funding, if granted, in support of the Democracy Strengthening in Zambia Project will not be used for assistance to police or law enforcement.

<sup>23</sup> Preliminary Country Office discussions have been held with UN agencies in support of the DSZ. These include UN Women on support to engendering the ECZ, DPO's Standing Police Capacity in terms of sourcing a Public Order Advisor to help prepare the ZPS in securing the 2021 election, and UNDP staff from the EU\_UNDP JTF in terms of establishing the Early Warning System.

Committee, which will also be integral to the project risk management process. Procurement and administration of project assets will be conducted through the Country Office or specialised units of UNDP (e.g. the Procurement Support Office, PSO). The cost of project evaluations and audits, if needed, will also be funded through this multi-donor fund, as well as actions that are necessary to ensure compliance with UNDP's financial rules and regulations. Informed by the Elections Advisor/Project Manager, the prioritisation of use of the available funds will be subject to the recommendations of the Technical Committee and decisions of the Steering Committee.

In partnership with national institutions, the UNDP Country Office will undertake resource mobilisation for the project. The UNDP multi-donor fund complements national budget contributions to help finance state agencies.

### 3.2.2. *Human Resources*

UNDP will dedicate full time staff to the project through the positions of Elections Advisor/Project Manager, Monitoring and Evaluation Specialist/Learning Officer, Elections Project Officer, Finance Associate, and Driver. The UNDP country office staff will provide quality assurance on delivery of project outputs, in line with its global international programme management standards. Advisory staff and other consultant experts will be procured from project funds. Interns, youth volunteers, national and international United Nations Volunteers (UNVs) will be recruited to support project implementation. As necessary, the UN single roster of electoral experts will be used to identify and recruit staff for the project.

### 3.2.3. *Equipment*

The project will require material support for implementation. Equipment will be handed over from the previous electoral project and any replacement will be funded from project resources. The project will require procurement of hardware and software computer system upgrades and a dedicated vehicle to ensure operations.

## 3.3. *Risks and Assumptions*

The country programme conforms with the Partnership Framework and will be nationally executed within the framework of the 1983 Standard Basic Assistance Agreement to enhance national ownership and leadership. Implementation for the DSZ project will be through a DIM. Pre-existing arrangements continue with the ECZ as a responsible partner for agreed implementation. However, in order to address risk associated with components of a sensitive nature or where independence of opinion is critical, implementation through direct implementation modality will be adopted. The Government and UNDP will coordinate the financial/procurement capacity assessments through the harmonized approach to cash transfers while working with other United Nations agencies. UNDP will support capacity-building efforts to address the identified constraints among implementing partners.

The Zambia country programme document outlines the contributions of UNDP to national results and serves as the primary unit of accountability at the country level. Accountabilities of managers at the country level with respect to programmes is prescribed in the organization's programme and operations policies and procedures and the internal controls framework.

Three main risks are envisaged for the DSZ project.

First, there is a risk of politicisation over laws such as the Electoral Process Act, Political Parties Bill, and Public Order Act, all of which are still undergoing some degree of amendment. This risk will be mitigated by thorough consultation with the public, enhanced public awareness campaigns and public education regarding the need to modernise the legal frameworks governing the electoral process, political party structures and safe access to and use of public spaces by all people respectively.

A second risk is that continued cultural practices that discourage female participation and marginalized the disabled persist. This risk will be mitigated by increased awareness of human rights provisions and social awareness outreach.



The third major risk is a failure to reach prescribed budget allocations due to poor revenue gathering by the government and an economic recession. Perpetual high inflation and a poor debt/income ratio raises the possibility that budgeted funds are not made available or are not received in due time. This risk would be mitigated by continued dialogue with the ECZ and other state agencies on targets and implementation plans. A transparent relationship with the international community and project donors vis-a-vis the project management structure will ensure that any alterations to project implementation are assessed and agreed upon in timely fashion.

A full risk log is found in Annex 3.

### ***3.4. Stakeholder Engagement***

The key national stakeholders of the project include the ECZ, Judiciary, Home Affairs, including the ZPS and ZCS, the IBA, MOJ, ZLDC, ZCID, ZAPD, MOG and CCMG as parties responsible for specific activities. The project fits under the Governance Cluster of the 7NDP. International stakeholders include Country Partners and election observation missions as indirect beneficiaries of the project's outcomes.

Target groups that are the envisaged intended beneficiaries are identified as the key national stakeholders outlined above. Broken down further, target groups identified as critical to the project's successful implementation are:

- Target Groups:
  - Project beneficiaries including national institutions that provide electoral services associated with the ECZ, MOJ, Zambia Police Service, National Assembly, the media, and Judiciary. These will be the beneficiaries of UNDP technical expertise, capacity building and training sessions identified and delivered over the course of the project.
  - A second category of beneficiaries include marginalised groups within the Zambian electorate. This includes the broad categories of women, youth, and persons with disabilities, but also envisages remanded individuals in custody. These will be reached through partnerships with CSOs and FBOs who undertake sensitization processes.
  - A third set of beneficiaries are legislators as interested factions in the revision and implementation of legislative reform influencing the electoral environment. These will be reached through consultative processes.
  - Fourth and final, the public in general will be reached through public awareness raising campaigns related to the delivery of credible elections.

As potential beneficiaries through capacity development activities, other potentially affected groups include the private sector, training institutions and election observations groups – both domestic and international. Engagement with training institutions and electoral observation groups is envisaged under the project. Close liaison with the relevant ministries to ensure curriculum compliance is foreseen, and support to electoral observation groups is maintained through the CCMG local observation network. The environmental impact of an electoral project is minimal.

### ***3.5. South-South and Triangular Cooperation (SSC/TrC)***

The project will build on Zambia's membership in regional bodies such as SADC, COMESA and the African Union to draw best practices. Triangular and international cooperation will be used in identifying mechanisms and agreements for mutual best practice in the regional context. In particular, best practices on innovation in electoral management and comparative legal examples for special voting will be sought via South-South Cooperation and third-party expertise.

Seeking best practices and potential twinning arrangements between Zambian institutions and those from countries of the south will be enhanced to build relationships that develop capacity. Cost effective opportunities for South-South and Triangular Cooperation will be sought within the scope of the project based on value-for-money and cost benefit analysis. The ECZ in particular has existing arrangements that may be

leveraged. Institutions that may benefit from these arrangements are the staff from the judiciary and ECZ, but are not limited to these alone.

The United Nations holds elections to be a sovereign<sup>24</sup> exercise, which advocates for ensuring localised ownership and prioritisation in the development and implementation of electoral support activities. Achieving a balance between available resources and national-international consensual decision-making for electoral assistance is a recognized challenge. The guidelines for this Project seek to accommodate these intricate sensitivities through its governance structures, by providing a neutral and transparent forum for the actors involved to find workable solutions and agreed priorities. The Project's committees are therefore substantively central to provide a forum and opportunity for common ground on decision-making, prioritisation and sequencing of activities, and the collaborative assignment and mobilisation of resources toward the outputs.

### **3.6. Knowledge**

Knowledge gained through the monitoring and feedback process will inform corrective management measure and decision-making in electoral assistance. The project will record good practices and what activities led to positive results and will share this monitoring and evaluation information widely — among stakeholders, donors and partners. Databases generated in the course of the EWS and Citizens Consultation Platform will be domesticated.

In addition, the project will support targeted reporting on pertinent issues, providing gap analysis and baseline information for future intervention. Baseline studies and options papers are tools at disposal of staff to highlight evolving issues and offer insight to novel approaches. Visibility will be maintained through publications, events and launches.

A comprehensive visibility plan will be established within the inception period of the project (one month after programme signature) based on Annex VI of the Action. In general terms, however, visibility will be provided through events such as the signing ceremony for this project and subsequent press releases. Every major event undertaken with resources from this project will ensure the representation of the donors as well as UNDP and the beneficiaries, including keynote speeches. Any time UNDP will provide interviews or public information it is mindful of contextualizing the project in terms of partners, donors, and overall impact. The branding of events will ensure the logos of the lead partner beneficiaries, UNDP as implementing partner and contributing partners with recognition of contributions to the project. Donors that join the multi-donor fund at a later date will be added to the visibility plan.

### **3.7. Sustainability and Scaling Up**

The project strategy is based upon developing capacities to facilitate the implementation of the national legal frameworks promoting national ownership. Furthermore, a comprehensive approach has been adopted encompassing legal framework harmonisation, institutional capacity building, skill development and ensuring strong public engagement to increase impact and sustainability. Ensuring national ownership and leadership are critical factors to enhance sustainability.

The advanced level of cooperation with the ECZ and its improving aptitude prescribes an engagement pathway that recognises a future transition. In order to achieve this over the lifespan of the project, UNDP will engage with the institution to conduct a Harmonized Approach to Cash Transfers (HACT) assessment with the objective to support closer alignment of development aid with national priorities and to strengthen national capacities for management and accountability. The long-term objective is to gradually shift electoral support programming to national systems.

As such, scaling up is a feature of the electoral project and DSZ builds capacity towards the 2021 general election. Within the established electoral cycle, the project aims to ensure both the ECZ, domestic observation

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<sup>24</sup> Refer to UN General Assembly resolution: A/RES/45/151, (1990) "Respect for the principles of national sovereignty and non-interference in the internal affairs of States in their electoral processes".



organisations, and other stakeholders are prepared on time. This will be secured through the establishment of a Gantt Chart to build towards the general election that charts phase two of the project.

## V. PROJECT MANAGEMENT

### 5.1. Cost Efficiency and Effectiveness

Cost effectiveness will be achieved by ensuring effective coordination among the participating institutions and building on the existing coordination mechanisms of 7NDP. The project will foster partnerships with bilateral partners and intergovernmental organisations in undertaking investigations and capacity development in specialised areas, especially in cases where mutual legal assistance is provided. Procurement, under this action, shall be carried out in line with the applicable rules and regulations of UNDP. The implementation will maximise synergies with other ongoing initiatives in related areas. Foremost, the project will closely coordinate with the Ministry of Justice regarding development of national capacities for legislative reform. The project will build on existing 7NDP coordination mechanisms to eliminate duplication while maintaining the autonomy required by the Paris Principles for establishment of national human rights institutions.

Cost effectiveness has been ensured by adhering to a focus on the priorities of the Governance Pillar of the 7NDP. Capacity development initiatives will be coordinated with the UNDP Regional Offices, and EC-UNDP Electoral Joint Task Force on Electoral Assistance. The project will also complement the activities of NDI and DFID to minimise duplication. UNDP internal rosters will be used to expedite recruitment and ensure performance track record.

### 5.2. Project Management

Effective, transparent and accountable project management is essential to managing the complexity of electoral assistance projects and retaining the confidence of national and international partners. Project Management systems and protocols are well established in UNDP in accordance with its internal rules and regulations. The project management procedures foresee a highly consultative and consensus-building approach to that is reinforced through the Steering and Technical Committees. This structure also affords a strong commitment to risk management and flexibility in adjusting to changing realities or key assumptions. The Project is a multi-dimensional DIM and targets systems and processes rather than specific geographical locations. Physical project offices will be based in Lusaka. Financial transactions and financial statements shall be subject to the internal and external auditing procedures laid down in the Regulations and Rules of UNDP.

The Project may also apply the following contracting processes to maximize resources and optimise available resources:

- Direct contracting of CSOs, CSO networks and state-partners working on the core project themes. This arrangement would include funding support and technical assistance to establish dedicated centres to undertake research, knowledge management and appropriate response in key areas of democratic governance, such as political party strengthening, women's empowerment, institution building for civil society and media training.
- Prequalified contractors, CSOs and other partners, including State partners, whose activities could be funded on a rapid approval basis. Prequalification would be based on competitive tendering and evaluation consistent with UNDP rules.
- A grant beneficiary mechanism for organizations addressing emergent issues of concern, with funding given on the basis of clear, competitive rules and discretionary grant awards permissible under agreed policies and UNDP project execution rules. A proportion funds may be earmarked to foster women's empowerment and gender equity issues.
- Technical Assistance: Provision of an Elections Advisor/Project Manager and Monitoring and Evaluation Specialist alongside the establishment of an approved pool of specialist consultants, both national and international. Such technical assistance could be contracted quickly to advance and achieve project outcomes.

A Project Management Structure chart is found in under Section VIII, Governance and Management Arrangements.

## VI. DETAILED RESULTS FRAMEWORK<sup>25</sup>

<p><b>Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:</b></p> <p>Total Adherence to good governance (Country programme document for Zambia 2016 – 2021)</p>	
<p><b>Outcome indicators as stated in the Results and Resources Framework for Zambia (2016-2021), including baseline and targets:</b></p> <p>PARTNERSHIP FRAMEWORK OUTCOME INVOLVING UNDP #3: By 2021, all people in Zambia, including women, youth and marginalized, have equitable and effective participation in national and democratic processes, especially women, youth and marginalized groups.</p> <p>Related Strategic Plan outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance</p> <p>Related Strategic Plan Outcome Indicator: Voter turnout.</p> <p>3.1. Parliament, constitution making body, and Electoral Commission of Zambia have developed strategies, laws, systems and institutional mechanisms to enable them to perform core functions for improved accountability, participation and representation.</p> <ul style="list-style-type: none"> <li>● Indicator: Percentage of eligible voters registered as voters, disaggregated by gender and disability: Baseline (2011): 53%, Target (2021): 70%</li> <li>● Percentage of the recommendations of Committees of the National Assembly that have been implemented: Baseline (2014): 60, Target (2021): 75</li> </ul> <p>PARTNERSHIP FRAMEWORK OUTCOME INVOLVING UNDP #4: By 2021, all people in Zambia, including the large number of marginalized and vulnerable people, have greater understanding of their rights and are able to claim them, have greater human security, have access to justice and have equal opportunity under the law.</p> <p>Related Strategic Plan (CPD) outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance</p> <p>Related Strategic Plan Outcome Indicator: Percentage of women in National Parliament.</p> <p>3.3. Communities, CSOs have developed frameworks, strategic plans, and platforms for effective engagement with government on national development and parallel reporting on regional and international conventions.</p> <ul style="list-style-type: none"> <li>● Indicator: Number of functional civil society engagement platforms and mechanisms in place to engage national institutions and communities on critical development issues. Baseline (2014): 4, Target: 8</li> </ul> <p>4.2. Communities, CSOs and marginalized groups have developed networks, coalitions to fight discrimination and address emerging issues (such as environmental, electoral justice, people affected by HIV, people living with a disability, women, minorities and migrants)</p> <ul style="list-style-type: none"> <li>● Indicator: Number of networks and coalitions established to fight (e.g. people affected by HIV, people living with a disability, women, minorities and migrants): Baseline: 3, Target: 5</li> </ul>	

<sup>25</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.





Output 1.1.: Support for inclusive participation and reduced discrimination	1.1. Number # of key measures in place that set and monitor progress towards numerical targets for women's leadership in elected positions, including Parliaments	UNDP M&E ECZ Reports ZNWL Reports Domestic and International Election Observation Reports	0	2016	0	1	0	0	-	1	Desk review of ECZ, ZNWL, and Election Observation Reports ECZ statistics
	1.2. Women's participation in elections: a) Proportion of women in the voter registry b) Proportion of women on the governing mechanism of the electoral management body		a) 50.4% b) 40%	a) 2016 b) 2016	a) 0 b) 0	a) 0 b) 0	a) 1% b) 0	a) 0 b) 0	-	a) 51.4% b) 50.0%	Desk review of ECZ, ZNWL, and Election Observation Reports ECZ statistics
	1.3. Number # of capacity building training sessions to promote the participation of women, youth, and persons with disabilities	UNDP M&E ECZ Reports CSO Reports	0 Women 0 Youth 1 PWD	2016	0	1 Women 1 Youth 1 PWD	0	0	-	3	Desk review of ECZ Reports and CSO Reports
	1.4. Number # of active members in formally established domestic election observation networks	UNDP M&E CSO Reports	20	2016	2	2	2	0	-	26	Monitoring of CSO work plan and reports Disaggregated by gender, region, disability, age



Output 1.2: Support	1.5. Percentage % increase in voter turnout of persons with disabilities	UNDP M&E ECZ Reports ZAPD Reports	n/a	2016	0	0	56.45 %	0	-	56.45% (nat. avg.)	ECZ Reports and Disaggregated Statistics ZAPD Reports
	1.6. Percentage % increase in voter turnout of youth	UNDP M&E ECZ Reports ZAPD Reports	n/a	2016	0	0	56.45 %	0	-	56.45% (nat. avg.)	ECZ Reports and Disaggregated Statistics
	1.7. Percentage % of registered remanded individuals who voted in the general elections	UNDP M&E ECZ Statistical Reports Domestic and International Election Observation Reports	0	n/a	0	0	56.45 %	0	-	56.45% (nat. avg.)	Desk review of ECZ Statistical Reports and Election Observer Reports
	1.8 Advocacy plan adopted by women's associations on issues related to women's political participation	UNDP M&E ZNWL Reports CSO Women's Associations	1	2016	0	1	0	0	-	1	Monitoring of ZNWL and CSO Women's Association work plans and deliverables
	1.9 Number # of capacity building training sessions to promote the participation of women, youth, and persons with disabilities	UNDP M&E ECZ Reports CSO Reports	0 Women 0 Youth 1 PWD	2016	0	1 Woman 1 Youth 1 PWD	0	0	-	3	Desk review of ECZ Reports and CSO Reports
	1.10. Percentage % increase in the number of women in national parliamentary seats	UNDP M&E ECZ Reports	(24) 17%	2016	0	0	(6) 2%	0	-	(30) 19%	Desk review of ECZ, and Election











Output 3.2.: Support to the National Assembly communication strategies	a) Twitter b) Facebook		(Following 5917 Followers 8,128 Likes 173) b) 64762			b)500	b)100 0	b)1000	b)1000		68262	
	3.4 Number # of consultations with the IBA on the regulatory framework	UNDP M&E ECZ Reports	0	2018	0	1	1	0	-	2	Monitoring of ECZ work plan and reports	
	3.5 Percentage % increase in voter turnout	UNDP M&E ECZ Statistical Reports	56.45%	2016	n/a	n/a	3%	n/a	-	59.5%	Desk review of ECZ Statistical Reports If available, disaggregated by gender, region, disability, age	
	3.6. Percentage % decrease in rejected ballots in general elections	UNDP M&E ECZ Statistical Reports	2.2%	2016	0	0	.07%	0	-	1.5%	Desk review of ECZ Statistical Reports	
	3.7. Number # of mechanisms for external oversight of public resources	Annual review National Assembly communicatio n documents Official government journals Independent media monitoring	0	2018	0	1	1	1	-	3	Monitoring of National Assembly Communications Unit work plan and reports	

Output 3.3: Support to the Media	3.8. Number # of staff of print and electronic media professionals trained	UNDP M&E Media houses ECZ Reports	200	2016	0	300	100	0	-	400	Monitoring of ECZ work plan and reports
	3.9. Percentage % share of television airtime on largest networks, by major party: <ul style="list-style-type: none"> <li>• ZNBC</li> <li>• Muvi TV</li> <li>• Prime TV</li> </ul>	UNDP M&E Domestic and International Election Observation Reports Independent media monitoring	84% (60% coverage of ruling party; 20 % coverage of government)	2016	0	50%	50%	0	-	50%	Desk review of Election Observation Reports Statistical compilation by an independent media monitoring service
	3.10. Percentage % share of print media coverage in largest newspapers and online news services, by major party: <ul style="list-style-type: none"> <li>• Lusaka Times</li> <li>• Times of Zambia</li> <li>• Zambia Daily Mail</li> <li>• Zambia Reports</li> <li>• Diggers News</li> </ul>	UNDP M&E Domestic and International Election Observation Reports Independent media monitoring	n/a	2016	0	50%	50%	0	-	50%	Desk review of Election Observation Reports Statistical compilation by an independent media monitoring service
	3.11. Percentage % share of inflammatory, unbalanced or misleading stories in print and electronic media	UNDP M&E Media monitoring service	n/a	2016	0	10%	10%	0	-	10%	Media Monitoring Service Reports



Result 4: Technical and organisational capacities of national electoral stakeholders are strengthened										
Output 4.1: Technical support and capacity strengthening for the ECZ	4.1. Number # of voter education seminars	UNDP M&E ECZ Reports CSO Reports	2 per ward (3236)	2016	0	0	3236	0	-	3236 Desk review of ECZ Reports and CSO Reports Disaggregated by gender, region, disability, age
	4.2. Number # of voter education trainers trained	UNDP M&E ECZ Reports CSO Reports	a) 32 Master Trainers b) 206 District VE Trainers c) 3248 VE Facilitators	2016	0	a) 35 b) 250 c) 3250	0	0	-	Desk review of ECZ Reports and CSO Reports Disaggregated by gender, region, disability age
	4.3. Number of positive observation assessments of ECZ's conduct of credible elections in accordance with national legal frameworks demonstrative of strengthened capacity to conduct inclusive and credible elections	UNDP M&E Domestic and International Election Observation reports	4	2016	0	0	4	0	-	Desk review of Election Observer Reports
	4.4. Percentage % reduction time to release general election results	UNDP M&E ECZ Reports Domestic and International Election Observation Reports	72 hours	2016	0	0	33%	0	-	Desk review of ECZ Reports

Result 5: Credible and legitimate institutions work with integrity											
Output 5.1: Support to the reform process	5.1. Measures considered by government to reform laws or adopt temporary special measures to mainstream gender and empower women	UNDP M&E ZCID Reports	0	2016	0	0	1	0	-	1	Parliamentary website ZCID Reports
	5.2. Adoption of policy framework for special voting of remanded persons	UNDP M&E ECZ Reports	n/a	2016	0	1	0	0	-	1	Desk review of ECZ Reports
	5.3. Number # of pilot projects completed	UNDP M&E DNRPC	0	2019	0	0	1	0	-	1	Statistics from DNRPC biometric registration databases if available, disaggregated by gender, region, disability, age
Results Area 2: Programming for Peace											
Adequate mechanisms are in place to ensure human security, prevent and mitigate conflict so elections are conducted peacefully											
Result 6: Conflict prevention and mitigation mechanisms to support the peaceful conduct of elections are enhanced											
Output 6.1.: Promotion of electoral security	6.1. Percentage % reduction in intraparty (inter-party) incidents and electoral related cases of conflict	UNDP M&E ECZ Reports ZCID Reports Domestic and International Election Observation Reports	50 (cases ZPS records)	2016	0	0	35	0	-	30%	Desk review of ECZ and Election Observation Reports Zambian Police Service statistics



	6.2. Number # of participants in training sessions and capacity building interventions for the Zambia Police Service	UNDP M&E ECZ Reports Zambian Police Service training reports	160 (training officers) (8565 trainees)	2016	0	160 (7550)	0 (7750)	0	-	160 (15500)	Desk review of Training Workshop Reports and Assessment Forms Disaggregated by gender and function in the police service
Output 6.2: Support to political violence early warning system	6.3. Number # of electoral related incidents recorded through the EWS	UNDP M&E ECZ Reports Domestic and International Election Observation Reports Zambia Police Service statistical Reports	n/a	2016	0	0	500	0	-	500	Desk review Of Election Observation Reports Zambian Police Service statistics Disaggregated by type of complaint
Output 6.3: Strengthening of conflict management mechanisms	6.4. Number # of electoral disputes resolved	ECZ Reports and Records Election Observer Mission/organ isation reports Conflict Management Committee Reports	200	2016	0	0	150	0	-	150	Desk review of ECZ and Election Observation Reports



## VII. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans: [Note: *monitoring and evaluation plans should be adapted to project context, as needed*]

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators will be collected and analysed to assess the progress of the project in achieving the agreed outputs.  This material will be regularly shared at Steering Committee meetings, which are a useful way of ensuring good planning, follow-up and results focus	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	ECZ MoJ	-
Monitor and Manage Risk	In accordance with the project Risk Log, quarterly review will transpire to identify specific risks that may threaten achievement of intended results. This incorporates information gathered through monitoring measures.  Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified and analysed by the PMU and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	ECZ MoJ	
Learn	There will be a Mid-term and Final Evaluation of the project at the end of its period to learn lessons and apply these to possible follow-on assistance activities in the country. This will be funded by the Project.	Annual Monitoring and Evaluation Report	Relevant lessons are captured by the project team and used to inform management decisions.	ECZ MoJ	
Annual Project Quality Assurance	Use of Atlas as a key resource to track activity implementation and resource disbursement to achieve target results; activate Issue Logs to facilitate resolution of potential problems which require change and to assess and respond to external environmental factors that may affect project implementation.	Annually	Areas of strength and weakness will be reviewed by the PMU and Country Office project management support team to inform decisions to improve project performance.	UNDP PMSU	
Review and Make Course Corrections	Quarterly Project Reports will assess outcome and activity progress and review and inform decisions to effect timely changes when necessary	Quarterly	Performance data, risks, lessons and quality will be discussed by the project board Steering Committee and used to make course corrections.	ECZ MoJ	-



Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Project Report	<p>An Annual Progress Report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.</p> <p>Progress reports and a final report will be presented to the EU annually and within the six (6) months following the end of the implementation period, respectively, in line with Article 3 of the GCs.</p>	Annually, and at the end of the project (final report)	<p>Presentation of annual findings on project implementation.</p> <p>Engagement of a financial audit firm.</p>	ECZ MoJ	30 000
Project Review (Project Board)	<p>The project's Steering Committee will hold bi-annual project reviews to assess the performance of the project and review the Annual Work Plan to ensure realistic budgeting over the life of the project.</p> <p>In addition to the Steering Committee, all project activities will be closely monitored by the PMU and UNDP Country Office.</p> <p>In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.</p>	Quarterly Final	Any quality concerns or slower than expected progress should be discussed by the Steering Committee and management actions agreed to address the issues identified.	ECZ MoJ	-

### Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Mid-Term Evaluation	External	3.1.	Total Adherence to good governance	31 May 2021	UNDP, EZC, MOJ, stakeholders, donors	62 500 USD, project
Final/Terminal Evaluation	External	3.1.	Total Adherence to good governance	31 December 2022	UNDP, EZC, MOJ, stakeholders, donors	62 500 USD, project

# VIII. MULTI-YEAR WORK PLAN <sup>26 27</sup>

EXPECTED RESULTS	OUTPUTS	PLANNED ACTIVITIES	PLANNED BUDGET BY YEAR			RESPONSIBLE PARTY	PLANNED BUDGET			
			Y1	Y2	Y3		Funding Source	Budget Description	Amount USD \$	
Results Area 1: Electoral Institutions and Processes Strengthening										
Result 1: Decision-making is more inclusive and participatory, and discrimination is reduced Gender Marker: 3	Output 1.1. Support inclusive participation	Activity 1.1.1: Support to women's and youth participation	10,000	10,000		ECZ UNDP MOJ MOG MYS CSOs FBOs ZNWVL Women's Associations	Multi-Donor	Local Consultant	20,000	
		Activity 1.1.2: Develop national campaigns to increase participation of women and youth in elections	370,000	340,000	70,000			Training, Workshop and Conference Communication and Audio Visual Equipment	780,000	
		Activity 1.1.3: Support to the participation of persons with disabilities	165,000	165,000	35,000	ECZ UNDP MOJ MCDSS ZAFOD CSOs FBOs ZAPD		Multi-Donor	Training, Workshop and Conference Communication and Audio Visual Equipment Audio Visual and Printing Production	365,000
		Activity 1.1.4: Support to the participation of remanded individuals	50,000	50,000	-	ECZ MHA ZPS UNDP CSOs		Multi-Donor	Local Consultant	100,000
	Output 1.2 Support to improve inclusiveness of Elected Bodies	Activity 1.2.1: Support inclusion measures of the National Assembly	-	25,000	125,000	UNDP Clerk's Office MOJ ZCID	Multi-Donor	Training, Workshop and Conference Learning	150,000	

<sup>26</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32.

<sup>27</sup> Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.



	Output 1.3 Support the inclusion of civil society and civic engagement	Activity 1.2.2: Citizen Consultation Platform	-	50,000	100,000	UNDP	Multi-Donor	Information Technology Equipment	150,000	
		Activity 1.3.1: Support to enhancing sustainable and coordinated frameworks	75,000	75,000	30,000	Clerk's Office	Multi-Donor	Training, Workshop and Conference		
						UNDP		Audio Visual and Printing Production		
						MOJ				
	Activity 1.3.2: Support to CSOs/FBOs and traditional communities	175,000	100,000	-	UNDP	Multi-Donor	Training, Workshop and Conference	180,000		
					MOCTA HOC		Audio Visual and Printing Production			
					CSOs					
	MONITORING		1,666	1,666	1,666	UNDP	Multi-Donor	Travel	4,998	
	Subtotal for Result 1		846,666	816,666	361,666					2,024,998
	Result 2: Institutions are strengthened to be responsive and accountable, providing access and services Gender Marker: 1	Output 2.1 Enhancing Electoral Support Institutions	Activity 2.1.1: Parliamentary staff and committees are strengthened	-	50,000	250,000	NA Clerk's Office	Multi-Donor	International Consultant	300,000
Output 2.2 Support to Electoral Dispute Resolution (EDR)		Activity 2.2.1: Strengthen EDR processes of the Judiciary	250,000	250,000	-	UNDP	Multi-Donor	Training, Workshop and Conference	500,000	
						MOJ				
						Judiciary				
MONITORING		1,666	1,666	1,666	UNDP	Multi-Donor	Travel	4,998		
Subtotal for Result 2		251,666	301,666	251,666					804,998	
Result 3: Institutions are more transparent and provide access to information Gender Marker: 1	Output 3.1 Strategic communications support to ECZ	Activity 3.1.1: Support ECZ strategic communications	370,000	260,000	90,000	ECZ	Multi-Donor	Communication and Audio Visual Equipment	720,000	
						UNDP		Audio Visual and Printing Production		Training, Workshop and Conference

Output 3.2 Support to the National Assembly communication strategies	Activity 3.2.1: Enhance the communication practices of the National Assembly	50,000	100,000	150,000	Clerk's Office UNDP	Multi-Donor	Communication and Audio Visual Equipment Training, Workshop and Conference	300,000
	Activity 3.3: Strengthening independent and responsible media reporting	300,000	300,000	-	UNDP MIBS IBA MISA Media Houses	Multi-Donor	Training, Workshop and Conference Contractual Service - Companies	600,000
	MONITORING	1,666	1,666	1,666	UNDP	Multi-Donor	Travel	4,998
	<b>Subtotal for Result 3</b>	<b>721,666</b>	<b>661,666</b>	<b>241,666</b>				<b>1,624,998</b>
Result 4: Technical and organisational capacities of national electoral stakeholders are strengthened <i>Gender Marker: 1</i>	Activity 4.1.1: Provision of technical support to ECZ	50,000	-	-	ECZ UNDP	Multi-Donor	Training, Workshop and Conference	50,000
	Activity 4.1.2: Provision of voter education support	530,000	540,000	30,000	ECZ UNDP	Multi-Donor	Training, Workshop and Conference Audio Visual and Printing Production Travel	1,100,000
	MONITORING	1,666	1,666	1,666	UNDP	Multi-Donor	Travel	4,998
	<b>Subtotal for Result 4</b>	<b>581,666</b>	<b>541,666</b>	<b>31,666</b>				<b>1,154,998</b>
Result 5: Credible and legitimate institutions work with integrity <i>Gender Marker: 2</i>	Activity 5.1.1: Legal and regulatory assessment, consolidation and analysis of observer recommendations	100,000	70,000	-	UNDP MOJ ZLDC	Multi-Donor	Local Consultant Training, Workshop and Conference Travel	170,000
	Activity 5.1.2: Support to the legal drafting process	130,000	70,000	60,000	ZLDC UNDP MOJ	Multi-Donor	Local Consultant Training, Workshop and Conference Travel	260,000

		Activity 5.1.3: Technical assistance in the engendering of relevant legislation	60,000	60,000	-	UNDP	Multi-Donor	Travel	120,000
	Output 5.2 Support to the integrity of biometric identification	Activity 5.2.1: Supporting biometric identification	300,000	100,000	-	ECZ MHA DNRPC Cabinet Office	Multi-Donor	Information Technology Equipment	400,000
		MONITORING	1,666	1,666	1,666	UNDP	Multi-Donor	Travel	4,998
		<b>Subtotal for Result 5</b>	<b>591,666</b>	<b>301,666</b>	<b>61,666</b>				<b>954,998</b>
<b>Results Area 2: Programming for Peace</b>									
Result 6: Conflict mitigation mechanisms to support the peaceful conduct of elections are enhanced <i>Gender Marker: 1</i>	Output 6.1 Promote electoral security	Activity 6.1.1: Police training on human rights and electoral security	100,000	100,000	-	UNDP	Multi-Donor	Training, Workshop and Conference	200,000
						MHA ZPS		International Consultant	
						HRC			
						MOJ		Travel	
		Activity 6.1.2: Support the development and establishment of a transparent Campaign Venue Management system	50,000	50,000	-	UNDP	Multi-Donor	Training, Workshop and Conference	100,000
						MHA ZPS			
						ZCID			
						MOJ			
		Activity 6.1.3: Community policing initiative	125,000	125,000	-	UNDP	Multi-Donor	Training, Workshop and Conference	250,000
						MHA ZPS		International Consultant	
						MOCTA HOC			
						MLG		Travel	
Result 6: Conflict mitigation mechanisms to support the peaceful conduct of elections are enhanced <i>Gender Marker: 1</i>	Output 6.2 Support to political violence early warning system	Activity 6.1.4: Joint training of police and media	75,000	75,000	-	CMCs	Multi-Donor	Training, Workshop and Conference	150,000
						MIBS		International Consultant	
						MHA ZPS			
						UNDP		Travel	
		Activity 6.2.1: Early Warning System				MISA			
						UNDP			
						UNDP		Training, Workshop and Conference	

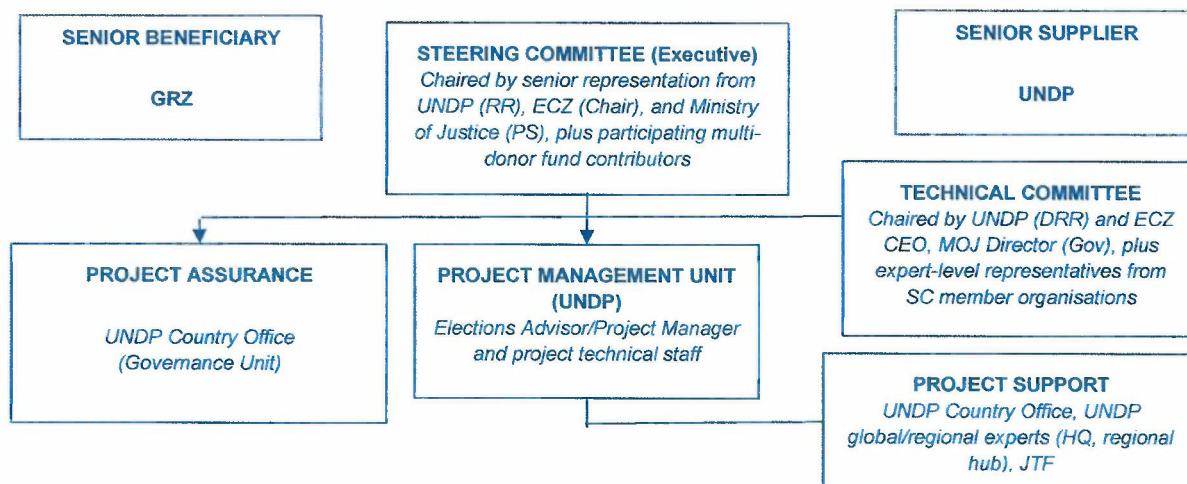




		Specialised Short-term experts (480 days): ZPS Training Advisor (120 days) CSO Participation Expert (120 days) Legal Expert (80 days) NA Capacity Building Expert (80 days) Media Advisor (80 days)	120,000	70,000	50,000	UNDP	Multi-Donor	Salary Cost	240,000
		ILO/UN Women experts (60 days)	30,000	-	-	UNDP	Multi-Donor	Travel	30,000
		2 National support staff (Finance Associate and Governance Project Officer, 2 UNVs)	109,626	109,626	109,626	UNDP	Multi-Donor	Salary Cost	328,878
		JTF Visibility/website	27,000	2,000	2,000	UNDP	Multi-Donor	Communication and Audio Visual Equipment	31,000
		Premises/transport/driver	100,000	20,000	20,000	UNDP	Multi-Donor	Rental and maintenance - Premises Salary Cost Equipment and Furniture	140,000
		Evaluation	62,500	10,000	62,500	UNDP	Multi-Donor	International Consultant	135,000
		Project Visibility and Communication support	25,000	20,000	5,000	UNDP	Multi-Donor	Communication and Audio Visual Equipment	50,000
		Delivery Enabling Services	47,939	47,939	47,939	UNDP	Multi-Donor	Programme and Support Service Income	143,816
		<b>Project Management Subtotal</b>	<b>966,933</b>	<b>724,433</b>	<b>741,933</b>				<b>2,433,298</b>
<b>Subtotal Output by Year</b>			<b>6,006,929</b>	<b>4,909,429</b>	<b>1,716,929</b>				
<b>Direct Project Costs</b>									<b>12,633,286</b>
<b>Indirect Project Costs</b>									<b>1,010,663</b>
<b>TOTAL Project</b>									<b>13,643,949</b>

For budgeting purposes the indirect cost (remuneration cost) is calculated at 8% of the total eligible direct cost, whereas as per the UNDP-EU delegation agreement the applicable rate for the EU contribution will be 7% of the total eligible direct cost as attributable to the EU and 8% for other donors.

## IX. GOVERNANCE AND MANAGEMENT ARRANGEMENTS



### STEERING COMMITTEE (SC):<sup>28</sup>

#### Leads and Participants:

The SC will be chaired by UNDP Resident Representative, the Chair of the Electoral Commission of Zambia and the Permanent Secretary (Ministry of Justice) (or designated representatives thereof) and will meet bi-annually or more frequently as needed. The SC will consist of the representatives of all the donors participating in the multi-donor fund, UNDP, Electoral Commission of Zambia, Ministry of Justice and other direct beneficiaries (parliament, relevant ministries, etc.). Other stakeholders from the government and civil society may be invited to participate on ad-hoc basis.

#### Purpose:

The SC will provide policy guidance, oversight and quality assurance to the Project. The SC will focus on the strategic direction, overall management and decision making of the project, such as prioritization of activities, annual work plans, planning and budgeting, and financial and technical reporting. The SC is responsible for making management decisions for the project when guidance is required, including recommendations for UNDP approval of project revisions. Such decisions must adhere to UNDP rules and regulations. The SC is responsible for general oversight of project activities, including financial oversight and review of funding allocations within the overall budget as recommended by the PMU through the Technical Committee. It should receive periodic reports from the Technical Committee, guide major activities and expenditures, reach consensus and take decisions on any change in the project work plan, provide ongoing risk analysis, and consider funding for emerging issues. Project reviews by the SC should be undertaken at regular intervals (preferably bi-annually) or as necessary.

#### Specific Functions:

The SC is expected to specifically perform the following functions:

- Review and approve the Annual Work Plan;
- Review quarterly progress reports;

<sup>28</sup> Specific terms of reference for the Steering Committee and the Technical Committee will be developed during the inception period.



- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Conduct regular meetings to review progress reports and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Assess and decide on work plan changes through project and budget revisions;
- Assure that all project outputs have been produced satisfactorily;
- Review and approve the final project report, including lessons learned;
- Make recommendations for follow-on actions;
- Review project evaluations; and,
- Keep the national government updated on project activities.

The SC is facilitated by the PMU, which provides secretariat services. The Elections Advisor/Project Manager will serve as the Secretary to the SC and attend its meetings *ex officio*. He/she will coordinate and channel input into the meetings of the SC as agreed and cleared by the Technical Committee. Minutes of decisions/actions will be circulated to all members of the Steering Committee after the meeting.

## TECHNICAL COMMITTEE

### Participants:

The Technical Committee consists of the technical experts from all the donors and direct beneficiaries, as well as UNDP, which will meet on a quarterly basis or more frequently if required. An adequate interval between the Technical Committee and Steering Committee meetings will be ensured. The Technical Committee will be coordinated by the UNDP Deputy Resident Representative assisted by the UNDP Assistant Resident Representative/Head of Governance Programmes and co-chaired with the ECZ Chief Electoral Officer in collaboration with the Director - Governance, Ministry of Justice. The work of the Technical Committee will be supplemented by a Technical Working Group designed to meet on an *ad hoc* basis to facilitate the Technical Committee's work.

### Purpose and Functions:

The Technical Committee will consider all technical and procedural aspects of the project and as such, will provide input to the agenda for the Steering Committee meetings, as well as provide expert input in the SC discussions. Sub-committees may be established by the Steering or Technical Committees, as needed, to further additional coordination and communication around key issues.

## PROJECT MANAGEMENT UNIT

UNDP will establish a project management unit (PMU) with the requisite expertise for project management services and technical advisory services in agreed areas. An Elections Advisor/Project Manager (international) will oversee and supervise the Project and its PMU for the full project period. The Advisor reports to the Steering Committee and UNDP Country Office. In addition to the Elections Advisor/Project Manager, the project will engage a number of national and international staff to provide expert support to targeted institutions. Project office costs are charged in accordance with UNDP policy on core staff support in the areas of human resources, procurement and finance (see budget); this is calculated upon a combination of cost-driver calculations including work-load surveys and Purchase Order cost calculations.

With UNDP oversight and support, the PMU ensures efficient and effective management of the project resources, in particular (but not limited to) the proper execution of the budget, full compliance with monitoring and evaluation plans, and implementation of the project as foreseen in the governance arrangements.

The Elections Advisor/Project Manager leads the PMU and will be responsible for implementation of all project activities undertaken by the project, in close coordination with the UNDP Country Office.

The Elections Advisor/Project Manager will be responsible for:

- Day-to-day management and decision-making for the project;

- Ensuring that the project produces the outputs and results specified as determined by the Steering Committee, in compliance with the required standards of quality, and within the specified limits of time and cost; and
- Reporting as required on the project's activities and outcomes.

PMU Staff Positions	Role
Elections Advisor/Project Manager FTA P5 (3 years)	The Elections Advisor/Project Manager is responsible for the overall planning, management and implementation of the DSZ project and the achievement of its results. The Advisor will be working directly with project partners. She/he sets strategic directions for electoral assistance, provides expertise and technical assistance, manages the project's day-to-day activities and ensures proper management of financial and human resources; and has supervisory functions of the PMU Staff.
M&E Specialist FTA P3 (3 years)	Under the guidance and supervision of the Elections Advisor/Project Manager, the M&E Specialist develops and maintains the project's monitoring and evaluation plan, based on project document log frames and indicators, particularly the M&E plan developed which needs to be updated with the Annual Workplans.
Elections Project Officer (national) <sup>29</sup>	The Elections Project Officer (EPO) will report to the Elections Advisor/Project Manager. The EPO will support the day-to-day running of the project and will liaise regularly with project stakeholders, including the Electoral Commission of Zambia, as well as cooperating partners. The EPO's primary responsibility is to assist the elections team to ensure that the project produces results specified in the project document and annual work plans, meets the highest standard of quality, and ensures delivery within the specified constraints of time and cost.
Finance Associate (national)	Under the guidance and supervision of the Elections Advisor/Project Manager, the Finance Associate provides financial and other project administrative services ensuring high quality, accuracy and consistency of work for the project. The Finance Associate promotes a client-oriented approach consistent with UNDP rules and regulations.
Specialised Short-term experts (480 days): <ul style="list-style-type: none"> <li>• ZPS Training Advisor (120 days)</li> <li>• CSO Participation Expert (120 days)</li> <li>• Legal Expert (80 days)</li> <li>• NA Capacity Building Expert (80 days)</li> <li>• Media Advisor (80 days)</li> </ul>	Specialised Short-term experts are engaged to supplement Project Management Team expertise for specific interventions requiring highly specialised skill sets and dedicated support.
Short Term specialised consultancies (international 947 days)	These consultancies will support implementation of the Early Warning System.
ILO/UN Women Experts (60 days)	Expertise required to provide assistance in the gender dimension of project implementation, including but not limited to engendering legislation and supporting policy development.

<sup>29</sup> In the light of recommendations of evaluations of past electoral assistance programmes implemented by UNDP in Zambia, emphasis is placed on effective programme management and particular focus on the impact of the project on beneficiaries and on the electoral process.



Driver	Function as the Unit driver and support the project team by providing administrative and clerical support as requested.
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### ADDITIONAL PROJECT SUPPORT

#### EC-UNDP Joint Task Force (JTF) Support

In addition, the project will benefit from an ongoing support by the electoral experts serving in the Brussels-based JTF Team and the EC-UNDP Joint Task Force on Electoral Assistance (JTF). The JTF Team and JTF will, among other activities, establish and maintain a dedicated project website, provide support with all outputs of the project, and in particular regarding the Early Warning System, and deploy periodic monitoring and support missions in the country. The website will provide visibility to all donors under the multi-donor fund. In addition, the project will also deliver monthly contributions to the JTF global monthly reports on a regular basis. For more information on the JTF please see: <https://www.ec-undp-electoralassistance.org/>.

The JTF Staff will carry out the following activities:

- Dedicated project website
- Support implementation of the Early Warning System
- Study for ECZ Capacity Assessment and Capacity Building

Additional project support will be provided by the **UNDP Bureau for Programme and Policy Support (BPPS)**. BPPS will provide substantive electoral technical advisory assistance, democratic governance assistance, and conflict prevention and recovery expertise to the implementation of the project based on regional and global best practice. This may include implementation support missions, as well as support to the project and country office in monitoring progress towards the project outputs.

In addition, the project will benefit from ongoing support by the electoral experts serving in the EC-UNDP Joint Task Force on Electoral Assistance (JTF). In line with the EC-UNDP Guidelines on Electoral Assistance (signed by UNDP Administrator and EC Commissioner and available at <https://www.ec-undp-electoralassistance.org/wp-content/uploads/2017/02/Electoral-Assistance-Guidelines-EC-UNDP-2016-2nd-Review.pdf>), the JTF is mandated to assist all UN Electoral Support Programmes with EU funding in terms of implementation, reporting, visibility and any other issues. The JTF may, among other activities, organize a kick-off training for the UNDP CO and EU Delegation staff to familiarize them with the rules and regulations of the two organizations.

In accordance with the current DPA-UNDP Note of Guidance on Electoral Assistance, UNDP will provide EAD with status reports on project implementation at least quarterly. UNDP will also notify EAD of any additional UN electoral assistance that is requested that falls outside the scope of the NAM recommendations so that EAD can determine whether a new assessment might be necessary.

### PROJECT ASSURANCE

As per UNDP rules of programme and project management, the Project Assurance role supports the Steering Committee by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. This delegated role will be undertaken within the UNDP Country Office – Governance Unit. The project assurance role involves oversight over the operations processes, budget planning and financial management, donor coordination, and tracking donor contributions and transfers.

## X. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Zambia and UNDP, signed on 14 October 1983. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”



This project will be implemented by UNDP ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

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## XI. RISK MANAGEMENT

### UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]<sup>30</sup> [UNDP funds received pursuant to the Project Document]<sup>31</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
  - a. Consistent with the Article III of the SBAA, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:

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<sup>30</sup> To be used where UNDP is the Implementing Partner.

<sup>31</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner.

- i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
- b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
- c. In the performance of the activities under this Project, UNDP as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or address SEA and SH.
- d. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- e. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
- f. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- g. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- h. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by



UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

- i. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- j. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- k. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

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## XII. ANNEXES

### 1. Project Quality Assurance Report

**To be finalized**

### 2. Social and Environmental Screening Template

The objectives of the Social and Environmental Screening (SES) process are to: (a) Integrate the SES Overarching Principles (human rights, gender equality and environmental sustainability); (b) Identify potential social and environmental risks and their significance; (c) Determine the Project's risk category (Low, Moderate, High); and (d) Determine the level of social and environmental assessment and management required to address potential risks and impacts.

From the SES perspective, the DSZ project fulfils a number of SES objectives, as it:

- Includes measures to assist the government to realise (respect, protect and fulfil) human rights under international law and to implement human rights-related standards in national law.
- Enhances the availability, accessibility and quality of benefits and services for potentially marginalized individuals and groups, and increases their inclusion in decision-making processes that may impact them (consistent with non-discrimination and equality human rights principle).
- Supports meaningful participation and inclusion of all stakeholders, in particular marginalized individuals and groups in processes that may impact them including design, implementation and monitoring of the project, e.g. through capacity building, creating an enabling environment for participation, etc. (consistent with participation, inclusion and human rights principles).
- Provides or supports meaningful means for local communities and affected populations to raise concerns and/or grievances including a redress process for local communities when activities may adversely impact them (consistent with accountability, rule of law, and human rights principles).

The Project is likely to improve gender equality and women's empowerment by:

- Applying a meaningful participatory process for engaging women's voices.
- Including analysis of gender inequalities, in the Project's rationale section, and making clear how UNDP will promote changes in relation to gender equality.



- Incorporating age and sex-disaggregated data and gender statistics and specific, measurable indicators related to gender equality and women's empowerment.
- Ensuring the results framework includes: (a) special measures/outputs, and (b) indicators to address gender inequality issues.
- Identifying cultural, social, religious, and other constraints on women's potential participation and strategies to overcome them.

The Project has minimal environmental impact and mainstreams environmental considerations through the following:

- Supports implementation of national environmental sustainability priorities identified in the UNDAF, country analysis, and/or country commitments.

#### Final Sign Off

Signature	Date	Description
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP Senior Manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

### 3. Risk Analysis

Project Title: Democracy Strengthening in Zambia 2019-2022					Award ID:		Date: 01 January 2020		
#	Description	Date Identified	Type	Impact & Probability <i>Scale: 1 (low) to 5 (high)</i>	Countermeasures / Management Response	Owner	Submitted, updated by	Last Update	Status
1	Unstable security situation in Zambia	31/12/18	Operational Political Strategic	Potential delay in implementing the project activities P = 1 I = 5	Countermeasure: Ongoing analysis of security situation and compliance with UNDP security guidelines. Management Response: Contract implementing partners for on the ground implementation and externally	UNDP			
2	ECZ – Change Management	31/12/18	Operational Organizational Regulatory	Potential delay in implementing the project activities P = 3 I = 3	Countermeasure: Ongoing liaison with ECZ management to secure buy in of structural reforms. Management Response: If resistance identified is unaddressed, find alternative arrangements for implementation.	UNDP			
3	ECZ faces budgetary constraints affecting strategic and operational objectives	31/12/19	Financial Operational Regulatory	Difficulty in trying to achieve decentralisation and special voting P = 3 I = 4	Countermeasures: Maintain as many preparatory activities as possible. Management Response: Retain flexibility in programming and proactive communication.	UNDP ECZ			

#	Description	Date Identified	Type	Impact & Probability <i>Scale: 1 (low) to 5 (high)</i>	Countermeasures / Management Response	Owner	Submitted, updated by	Last Update	Status
4	Zambian elections lack credibility	31/12/18	Operational Political Regulatory	Due to political instability or operational inadequacies there is a chance that the elections are not perceived as credible. P = 2 I = 4	Countermeasures: UNDP and partners must extend full support to timely and appropriate ECZ reforms. All electoral actors must foster a peaceful and tolerant electoral environment. Management Response: UNDP and partners must stymie political agitation through programmes that support civil society and the ECZ to conduct civic and voter education.	ECZ			
5	Dispute resolutions mechanisms and the judiciary lack capacity to effectively address electoral disputes	31/12/18	Operational Organizational Regulatory	The judiciary and local level dispute resolution mechanisms fail to manage conflict and expeditiously resolve a wave of electoral disputes in the pre and post electoral arena P = 2 I = 3	Countermeasure: Build capacity within the judiciary to resolve electoral disputes. Management Response: Training provided to address electoral dispute mechanisms.	Ministry of Justice ECZ Civil Society			
6	Media bias and unprofessional reporting	31/12/18	Political Organizational	Media outlets tend to be partisan and reporting inclined towards personalities and sensationalism P = 2 I = 3	Countermeasure: High quality training for media houses on election reporting. Management Response: Install early warning mechanisms that gauge quality of media coverage.	Media ECZ UNDP			



#	Description	Date Identified	Type	Impact & Probability <i>Scale: 1 (low) to 5 (high)</i>	Countermeasures / Management Response	Owner	Submitted, updated by	Last Update	Status
7	Resistance to programming from domestic civil society stakeholders	31/12/18	Operational Organizational	Potential delay in implementing the project activities P = 2 I = 3	Countermeasure: Regular high-level coordination between facilitators and community members to define priorities and related assistance.  Management Response: Retain flexibility in programming and proactive communication.  Ensure the Programme is neutral and perceived as such.	UNDP			
8	Delayed funding from cooperating partners	31/12/18	Financial Operational	Potential delay in implementing the project activities P = 2 I = 4	Countermeasure: Bridge funding from UNDP.  Management Response: Frequent contact with cooperating partners.	UNDP			
9	Inconsistency in international community programming	31/12/18	Operational Strategic	A lack of coordination among organisations intervening in the electoral cycle could undermine programming P = 1 I = 3	Countermeasure: Programmes coordinate activities to harmonize approaches to avoid overlap.  Management Response: Adhere to full disclosure and participation in the project management structures.  Proactive approach to changing circumstances and priorities.	UNDP Donors Project Management Board members			
10	Delayed signing of the project document	31/12/18	Operational Political	Potential delay in implementing the project activities P = 2 I = 4	Countermeasure: Progress with preparatory measures.	UNDP. MOJ Donors			

#	Description	Date Identified	Type	Impact & Probability <i>Scale: 1 (low) to 5 (high)</i>	Countermeasures / Management Response	Owner	Submitted, updated by	Last Update	Status
					Management Response: Frequent contact with ECZ.				
11	Currency fluctuation	31/12/18	Financial Operational	Less funds available to achieve project objectives. P = 3 I = 4	Countermeasure: Regular financial review. Management response: Discuss procedures with EU and DFID to potentially mitigate this issue.	UNDP Donors			
12	Resistance to augmentation of the role of women in politics	31/12/18	Political Operational	Difficulty in achieving gender promotion goals in the project P=3 I=4	Countermeasures: work with all stakeholders on sensitisation of this issue. Management response: UNDP establish realistic targets.	UNDP ECZ Civil Society			
13	Difficulty finding appropriate project local and international staff/consultants for the project	31/12/18	Operational	Delays caused to project activities P = 2 I = 4	Countermeasures: Define project requirements in a timely manner. Establish realistic TORs and evaluation criteria. Management Response: Use UNDP global resources and networks for consultants and detailed assignments if necessary.	UNDP			

#### 4. Capacity Assessment

Results of capacity assessments of Implementing Partner (including HACT Micro Assessment).

*To be finalized*

#### 5. Project Board Terms of Reference and TORs of key management positions

*To be finalized*

#### 6. Reporting

The following provides a summary of reporting by the PMU.

1. Monthly Reports to the EU-UNDP JTF Team via the UNDP Country Office
  - Activities carried out during reporting period
  - Difficulties encountered and measures taken to overcome
  - Any risk mitigation measures taken and identification of emerging risks
  - Changes introduced in implementation
  - Progress towards achievement of expected results
2. Quarterly Progress Report to the Project Steering Committee and Technical Committee
  - Activity Report
  - Summary and context of the Action
  - Difficulties, challenges and risk mitigation measures
  - Recommendations for revisions in the scope and focus of project activities, with budget implications
3. Financial section submitted quarterly
  - Contributions received
  - Estimated and actual expenditures by category (with explanations for significant variances)
4. Final Report to be submitted within three (3) months of the financial closing of the project.
  - Activity Report
  - Summary and context of the project
  - Major activities carried out during the project
  - Difficulties/risks encountered and measures taken to overcome
  - Changes introduced in implementation
  - Lessons learned and best practices
  - Results achieved by assessing indicators outlined in the logical framework
  - Recommendations and lessons for follow-up assistance projects
- Financial Section submitted in final report
  - Total contributions received
  - Summary of expenditures by category compared (with original budget with explanations for significant variances)
5. Project Lessons Learned Exercise



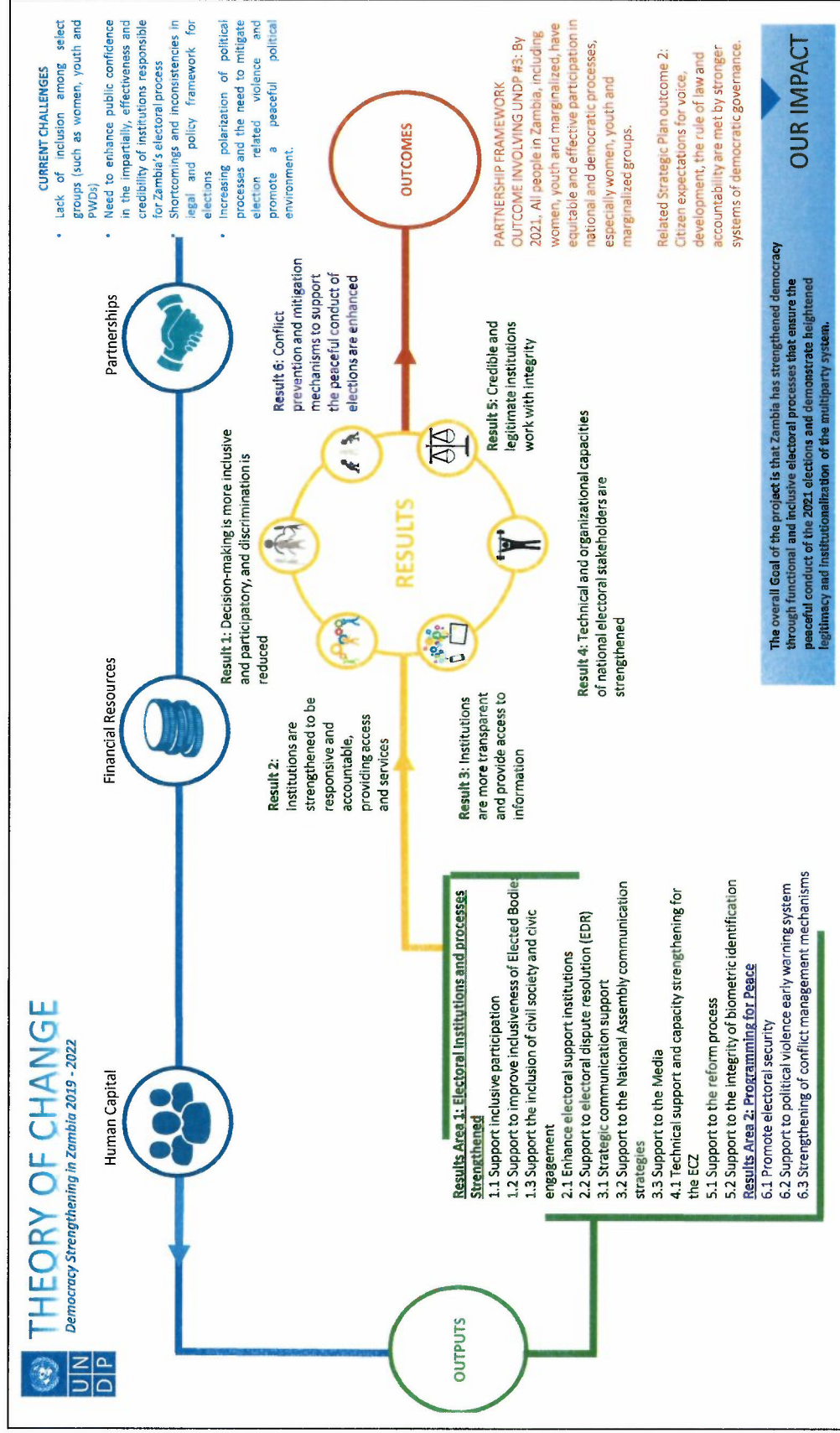
- UNDP will commission and participate in a terminal evaluation exercise, to be facilitated by an independent consultant(s) and conducted at project close-out funded by the project

The following is the timetable for reports to be submitted to Multi-donor Fund contributions.

No.	Report	Content	Period Covered	Due Date
1	Inception Report	To be prepared by the Project Manager in collaboration with the UNDP Country Office Governance Advisor, and to include a detailed scope of work (action plan) for at least the first six months of the project, showing start and end dates for each activity.	1st month of Project Manager activity	1 month + 1 week from project implementation start date
2	2020 Work plan	Work plan stating the activities to be undertaken in 2020	January – December 2020	01/01/20
3	2020 Progress Report	Narrative Description of activities and progress in 2020, including a provisional financial status report; and liquidity planning for subsequent 6 months	Project Start – January 2020	31/03/20
4	2021 Workplan	Workplan stating the activities to be undertaken in 2021	January – December 2021	15/12/20
6	2021 Progress Report	Narrative Description of activities and progress including a provisional financial status report covering the whole year, and liquidity planning for subsequent 6 months.	All 2021	31/03/22
8	2022 Workplan	Workplan stating the activities to be undertaken in 2021.	January-December 2022	15/12/22
9	2022 Progress Report	Narrative Description of activities and progress including a formal financial status report covering the whole year, including a formal financial status report covering the whole year.	All 2022	31/03/23

Other reports include monthly and quarterly reports through the life of the project. If requested, the project may provide additional reports on specific topics or activities, or supplementary supporting documents. The project will endeavour to synchronise combined financial and regular streams of reporting in line with multi-donor fund guidelines.

## 7. Theory of Change



## **8. Summary of the Needs Assessment Mission Report: Zambia**

1. Following a request from the Electoral Commission of Zambia (ECZ) for continued UN electoral assistance, a needs assessment mission (NAM) was deployed to Lusaka from 29 July to 4 August 2018. The mission met with a wider range of stakeholders and was aimed at providing an assessment of the electoral needs and to recommend parameters for potential new UN electoral support to the Zambian electoral process.

### **I. Conclusions and Recommendations**

2. The mission ascertained that there is broad support among national stakeholders and international partners for continued United Nations electoral assistance to Zambia. Taking this into account and also due to the importance of the current stage in the political and democratic process in Zambia, the mission recommends that the United Nations, with the support of development partners, continue to provide electoral assistance to Zambia. The support will be provided through a UNDP-implemented project, in coordination with other UN agencies, funds and programmes. The suggested duration for the new electoral support project is from 1st January 2019 through 31st December 2022.

3. New assistance will be aimed at supporting national efforts in enhancing the overall transparency, inclusiveness and peacefulness of the electoral process. Although the support will continue to focus on working with, and providing assistance to, the ECZ, in order to consolidate the electoral and democratic process and to support the peaceful conduct of elections, the electoral support project will also address the relevant needs of some other actors whose work and contribution may have a significant and positive impact upon conducive conditions for credible and peaceful elections in Zambia. Indeed the implementation of part or all of the below recommended activities will depend on the availability of funding.

### **II. Recommended areas of support**

#### **1. Support to ECZ**

- (i) Provide support to ECZ in outreach and communication activities, including by helping the Commission in developing and implementing its voter education activities, communications, awareness-raising and outreach strategies.
- (ii) Assist ECZ with institutional development to improve its internal policies and procedures including on change management, quality assurance, monitoring and evaluation, gender integration and transparency and accountability of processes.
- (iii) Support ECZ in implementing measures to promote the participation of women, youth and people with disabilities in the electoral process, including through targeted trainings, capacity development initiatives and voter education activities.
- (iv) Provide technical support to ECZ in other key areas, as required, including on issues related to the conduct of elections, such as special voting for prisoners, people with disabilities and the diaspora; voter registration, boundary delimitation and results management processes, as well as on electoral reform processes and electoral reform initiatives that may arise.

#### **2. Support national efforts (including those by the Ministry of Justice, the Judiciary and other relevant entities) in following up on legal reforms and in enhancing judicial electoral dispute resolutions mechanisms**

- (i) Assist the Ministry of Justice and other relevant entities including the Zambia Law Development Commission on issues related to legal reform particularly on national consultations for the ongoing legal reform processes.



- (ii) Support the Judiciary in organizing trainings and other capacity development interventions for members and support staff of local government election tribunals, the High Court and the Constitutional Court.
3. **Support local election related conflict resolution and dialogue mechanism and initiatives**
- (i) Assist with enhancing the existing local mechanisms for dialogue and conflict prevention which can create space for dialogue, defuse tension and prevent electoral violence.
  - (ii) Support training and other measures to enhance electoral safety and security, including for example through training support to Zambia Police Service.
  - (iii) Engage with, and support, relevant actors within local communities, such as the House of Chiefs, to use their capacity and network, for election related messaging including on preventing electoral violence and also promoting the participation of women in the electoral process.
4. **Political participation of women**
- (i) Provide training and capacity building support to relevant stakeholders including women organizations on issues related to women's political participation.
  - (ii) Provide technical advice and expertise to relevant stakeholders engaged in discussions on electoral reform (including legislation regulating political parties and electoral processes) on temporary special measures, to enhance the political participation of women.
5. **Media and elections**
- (iii) Work with ECZ and other relevant actors through training and other interventions to enhance the understanding of the role of media as a stakeholder in elections, to promote a fair, balanced and accurate election reporting.
  - (iv) Work with relevant entities including IBA on issues related to media regulatory frameworks.
6. **Civil Society Organizations**
- (i) Continued support to enhancing sustainable and coordinated frameworks for CSOs engaged in domestic election observation and other electoral issues, such as electoral reform, dispute resolution and voter education.
  - (ii) Support to CSO on initiatives to increase the inclusive participation in elections, in particular the participation of women, persons with disabilities and youth.