

EVALUATION REPORT

July 2014

UNICEF's Upstream Work in Basic Education and Gender Equality 2003-2012

COUNTRY CASE STUDY ■ ■ **Zimbabwe** ■

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UNICEF'S UPSTREAM WORK IN BASIC EDUCATION AND GENDER EQUALITY (2003-2012)

COUNTRY CASE STUDY: ZIMBABWE

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PREFACE

Over the past decade, UNICEF has placed increased emphasis on upstream support to national policy, capacity and partnerships to underpin and sustain scaled-up programme delivery. UNICEF's work in the education sector has followed this approach, giving increased attention to upstream activities of this kind. Have these efforts been successful? This evaluation set out to provide an answer to this question by examining UNICEF's upstream work in basic education and gender equality in the period 2003 to 2012.

At the global level, UNICEF's upstream education work entails engagement with governments and partner organizations to set the education policy agenda and leverage the resources required to achieve the goals of the Education For All (EFA) initiative and the Millennium Development Goals relating to education (MDGs 2 and 3). At the national level, UNICEF contributes to development of sector policies, strategies and programmes, and facilitates the national dialogue on education policy and priorities. UNICEF also works with government and partners to mobilize funding sources within a sector-wide national programme framework and to strengthen capacities ensure proper allocation and management of budgets.

The purpose of the evaluation was to examine UNICEF's upstream work in education and assess the extent to which UNICEF has engaged strategically in education sector policy articulation and advocacy. It also assessed how far upstream engagement efforts have supported better policy and practice in the education sector and helped to strengthen systems across the sector. The evaluation was executed in three phases: (i) an in-depth desk review of key concepts, trends and issues around 'upstream work' in education, as well as a review of documents from 14 UNICEF Country Offices; (ii) field-based case studies in Afghanistan, Brazil, Cambodia, and Zimbabwe; and, (iii) a survey among UNICEF Country Office staff, key partners and professionals responsible for education programmes.

The evaluation found that UNICEF's global engagement in upstream work in education has indeed achieved results at the global and country levels. But rather than pointing to the need to prioritise upstream work ahead of downstream work, the Zimbabwean experience was a good illustration of the complex interaction between downstream and upstream work. While upstream work (data and evidence, system design, policy, planning) was necessary for programming and programme implementation, involvement in downstream work and links with implementers provided the knowledge, experience, trust and credibility to enable effective participation in the upstream processes. While the normal view is that policy should precede practice, practice was clearly indispensable for good policy making. Programming in the midst of a humanitarian crisis as was the case with Zimbabwe, upstream work was necessary to ensure that appropriate downstream results can be achieved.



The evaluation was ably conducted by Mokoro Limited. On behalf of the Evaluation Office, I would like to express my appreciation to Alta Folscher for her leadership of the evaluation and to the Mokoro case study team for Zimbabwe consisting of John Kruger (Case Study Leader), Anthea Gordon (Evaluator). Isaac Makanani enriched the evaluation team with his extensive knowledge of critical education sector issues and national perspectives, as well as making connections with key institutions and interlocutors in Zimbabwe. We are also grateful to colleagues from UNICEF Zimbabwe and their government partners provided invaluable support during field visits. As always, their inputs and cooperation are appreciated.

Lastly, I would like to thank my colleagues in the Evaluation Office for their work on this challenging evaluation. Kathleen Letshabo developed and managed the evaluation throughout, bringing her own expertise in education to bear; Tina Tordjman-Nebe also provided technical support in the early stages of the evaluation; and Celeste Lebowitz and Dalma Rivero provided strong administrative support throughout.

Colin M. Kirk
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ACRONYMS AND ABBREVIATIONS

BEAM	Basic Education Assistance Module	KRA	Key Results Area
BEGE	Basic Education and Gender Equality	M&E	Monitoring and Evaluation
CFS	Child Friendly School	MDG	Millennium Development Goal
CO	Country Office	MoESAC	Ministry for Education, Sports, Arts and Culture
CPD	Country Programme Document	MoF	Ministry of Finance
ECD	Early Childhood Development	MoPSE	Ministry of Primary and Secondary Education
ECG	Education Coordination Group	MTR	Mid-Term Review
ECEC	Early Childhood Education and Care	MTSP	Medium-Term Strategic Plan
EDF	Education Development Fund (formally the ETF)	NGO	Non-Governmental Organisation
EERP	Emergency Education Response and Preparedness Network	n.d.	no date
ETF	Education Transition Fund (now the EDF)	NPA	National Plan of Action
GoZ	Government of Zimbabwe	OCHA	Office for the Coordination of Humanitarian Affairs
GPE	Global Partnership for Education	OVCs	orphans and vulnerable children
CSO	Civil Society Organisation	PED	Provincial Education Director
EDI	Education Development Indicators	POS	Programme of Support
EFA	Education for All	RO	Regional Office
EMIS	Education Management Information System	SC	Steering Committee
EMTP	Education Medium-Term Plan	SDC	School Development Committee
ESARO	Eastern and Southern Africa Regional Office	STERP	Short-Term Emergency Recovery Programme
ESWG	Education Sector Working Group	TA	Technical Assistance/Assistant
GNU	Government of National Unity	ToC	Theory of Change
HR	Human Resources	WASH	Water, Sanitation and Hygiene
IECD	Integrated Early Childhood Development	ZELA	Zimbabwe Early Learning Assessment
INGO	International NGO	ZCO	Zimbabwe Country Office
		ZIMTEC	Zimbabwe Integrated Teacher Education Course



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The evaluation team would like to thank the UNICEF and UN staff in Zimbabwe, representatives of current and past education donors and employees of UNICEF's partner organisations in Zimbabwe who gave freely of their time and spoke frankly to the research team about education in Zimbabwe and UNICEF's work. Zoe Driscoll and Lilli Loveday at Mokoro did excellent work on researching and compiling the draft timeline and in compiling the bibliography. The UNICEF education team in Zimbabwe gave excellent support with logistics for the fieldwork, identifying stakeholders and setting up meetings and supplying documents. The case study benefited from comments on the first draft by the team leader, Alta Fölscher, and by Steve Packer. Comments from the evaluation reference group (DFID, World Vision International and Education International) were very helpful as were updates and comments from the Chief of Education, Peter de Vries and UNICEF HQ staff.

The findings and opinions in this report are those of the evaluation team and should not be ascribed to anyone else.



EXECUTIVE SUMMARY

BACKGROUND AND PURPOSE OF THE EVALUATION

E.1 This case study on Zimbabwe was conducted as part of the Evaluation of UNICEF's upstream engagement in education, undertaken by Mokoro Limited. Additional case studies also took place in Afghanistan, Brazil and Cambodia.

E.2 The focus of the evaluation was UNICEF's contribution to "upstream" work in education in the ten-year period, from 2003 to 2012. The objective was to assess the extent to which UNICEF engages strategically in education sector policy articulation and advocacy at the global and regional levels. The evaluation was also tasked with determining the extent to which upstream engagement efforts translate into desired transformations in education sector policy and practice and national systemic strengthening at country level.

E.3 The case studies combined a review of documentation with interviews and field work. In order to enable follow-through analysis from programme intentions to the results observed, each employed a number of mini-case studies of specific incidences of upstream work in UNICEF's education portfolio. For the Zimbabwe study, three mini-case studies were undertaken, namely:

- UNICEF's support for EMIS and the evidence base for education planning and policy making
- The introduction of a Child Friendly Schools framework from 2004 – 2012
- UNICEF's role in and engagement with the Education Transition Fund between 2009 and 2013

COUNTRY BACKGROUND

E.4 Zimbabwe obtained independence in 1980 after a long war of independence. In the

following decade there was a strong focus on nation building, rebuilding the war-ravaged economy and the extension of education and health services. This was a substantial challenge given the relatively young age structure of the population and previous neglect of service delivery to Africans. However during the period huge strides were made, particularly in terms of education provision, where enrolments increased by over 200% and the number of primary schools increased by over 40% (Rwezuvu et al, 2012).

E.5 During the 1990s Zimbabwean economic fortunes changed for the worse, and as a result by the start of the evaluation period (2003), the economy of Zimbabwe was in a poor state. Between 2000 and 2008 real GDP shrank by more than 40%, unemployment was increasing, and high inflation increased the cost of living and cut the value of wages. Reductions in government spending and subsidies and the introduction of user fees impacted negatively on access and quality to health and education. The economic decline resulted in a severe drop in well-being, particularly amongst women and children, compounded by the spread of HIV/AIDS, internal displacements, low agricultural production and the closure or partial functioning of many schools.

E.6 At the same time, from the early 2000s, Zimbabwe's relations with international donors started to deteriorate. A controversial land reform programme and the 2002 elections, which resulted in an escalation in political violence, led to cuts in aid budgets and economic sanctions. These sanctions have been reviewed each year, and whilst aid passing through government systems is still avoided, aid has been given through other routes such as UN agencies and local NGOs.

E.7 Elections in 2008 led to the establishment of a new Government of National Unity in 2009, and some improvements were seen. The



Zimbabwean Dollar was suspended to try and combat hyperinflation, and foreign currency was legally instated across the country. In March 2009, the Government launched its Short Term Emergency Recovery Programme (STERP) to rebuild and start transitional activities. In the education sector, the new Minister declared an amnesty for teachers, thereby offering the significant number of teachers who had left their posts during the crisis a route to return without repercussions. In 2009 the World Bank supported the Government to develop a Transitional Sector Plan (later morphing into a Strategic Investment Plan). That same year with the assistance of UNICEF, an Education Transition Fund was set up as a means of channeling additional non-personnel funds to education. In 2013, Zimbabwe successfully completed the membership process for the Global Partnership for Education (GPE).

E.8 Over the past three years with significant funding from the Education Transition Funds I and II and political willingness from the Ministry of Education there has been a degree of recovery in the education system. Key textbooks have been distributed to all primary and secondary schools, teacher/pupil ratios in 2012 stood at 1:31.6, an improvement from the 2006 baseline of 1:39, and gender parity with regards to enrolment stands at .98 overall in 2012. In 2013, following elections in July, the Unity Government came to an end. At the time of the evaluation, it was too early to say what the impact of this change in administration might be.

UNICEF IN ZIMBABWE

E.9 UNICEF has a long history of engagement in Zimbabwe: it supported schools for refugees and liberation fighters during the war for independence in the 1970s and, following independence, provided financial support to the government as they started building the education system. The fourth cycle of the Government of Zimbabwe (GoZ)/UNICEF Country Programme of Cooperation started

ended in 2004 and was followed by Country Programme Agreements covering 2005–2006, 2007–2011 and 2011–2015.

UPSTREAM WORK IN ZIMBABWE

E.10 Upstream work has always been present in UNICEF's education activities in Zimbabwe, but there has been an upstream shift post the 2008 crisis. This has occurred partly due to the changing context in the country but also as the UNICEF CO has grown in experience and capacity for upstream work. It is not possible to neatly categorise the upstream work as it has been integrated with a significant amount of downstream implementation work, in a manner as is summarised below.

2003–2005 – Supporting key service delivery areas amid declining government services

E.11 Between 2003–2005 amidst the economic downturn, the main focus of UNICEF's work was on downstream implementation; upstream work tended to be a component of these programmes, and focused largely on piloting ideas to promote to government. The thematic focus of the UNICEF office was orphans and vulnerable children (OVCs) and HIV and AIDS (UNICEF, 2004: 8). From 2000 to 2004 UNICEF contributed to the revision of the National HIV/AIDS Strategic Framework which included assessing the impact of HIV/AIDS on the education sector. Work on OVCs led to UNICEF to recommend that free primary education should be provided for OVCs which was immediately followed by a declaration of free primary education for all children by 2010. UNICEF also supported Integrated Early Childhood Development, and the concept of Child Friendly Schools (CFSs) was introduced. From 2004, given the need for data in the education system, technical support was given to help analyse Education Management Information System (EMIS) data, as well support for the national common indicator database.



2006–2009 – Emergency response and laying the basis for policy engagement

E.12 During this period the situation in Zimbabwe worsened considerably and by November 2008, UNICEF had moved to a full emergency mode and had developed a 120-day emergency response plan (December 2008 – March 2009) (UNICEF, 2008c). This plan focused on relief efforts, specifically combating the cholera crisis and providing of basic social services. However, by May 2009, in line with the change in the overall political and economic environment of the country, UNICEF had phased out its emergency response. It was refocusing its programmes on a post-crisis transition phase whilst still maintaining a risk management component (UNICEF, 2009a).

E.13 Although a considerable amount of emergency implementation work took place during this period, it was also a period of shifting the CO's focus upstream. A new Country Representative brought a reinvigorated emphasis on the importance of evidence building and evaluation, as well as influencing policy through coordination and advocacy. Work on developing data and evidence continued apace, and UNICEF built strong partnership relations with INGOs which gave it on-the-ground presence and capacity to collect data. The Education Cluster (which UNICEF coordinated with Save the Children) became a focal point for NGOs and provided a space for partners to strategize and to work together.

E.14 UNICEF continued to champion the idea of CFSs during this period through extensive piloting. It registered notable success, with the approach being actively embraced by the Ministry for Education, Sports, Arts and Culture. UNICEF also supported the setting up of the office of the new Government of National Unity Minister for Education, and provided support to the National Advisory Board which made a rapid assessment of the education sector. In 2009, UNICEF played a key role in the setting up of the Education Transition Fund which provided a pooled funding mechanism and a forum for

government – donor dialogue on policy issues including school fees and the future funding of schools.

2010–2013 – From emergency intervention to school and system governance

E.15 As Zimbabwe emerged from the worst of the humanitarian crisis and UNICEF and other agencies moved into a transition phase, the CO was very much focused on upstream work. The education cluster was transitioned into an education sector working group, and in a successful shift to improved government ownership MoESAC has gradually taken over the management of this group. However, there remains a need to improve the effectiveness of the group in terms of policy dialogue and monitoring sector performance.

E.16 The work earlier in the period on data collection and building of an evidence base began to bear fruits, with EMIS data and analysis published in 2012 and 2013. EMIS data has fed into core planning documents including the Strategic investment plan and Education Medium-Term Plan, the latter of which laid the foundations for Zimbabwe to request funding and membership of the Global Partnership for Education (GPE). Efforts are under way to extend the data collection network to Provincial Education Offices and eventually to district level.

E.17 A number of key pieces of research have been supported as a tool for advocacy, including the National Zimbabwe Early Learning Assessment and an (unpublished) education atlas (cataloguing education support activities of donors and NGOs). UNICEF has also been encouraging and supporting MoESAC's own research agenda.

E.18 UNICEF has helped the Government strengthen the school funding system in an effort to reduce the reliance on fees which undermines equity of access and quality of schooling. Relatedly, ETF funding which is



managed by UNICEF has funded school grants, and has undertaken relevant upstream assessments and situation analyses for the design of the grants framework, a finance manual, and an operational manual.

E.19 In 2010 the UNICEF Chief of Education set up the Emergency Education Response and Preparedness Network (EERP), an on-the-ground school monitoring mechanism aimed at more effective and frequent school supervision visits, better coordination with schools, and identification of gaps and risks (MoESAC, 2013g). While on-going monitoring must be seen as part of downstream education work, the work to design and revitalise monitoring mechanisms can be seen as system strengthening or upstream work. This example also points to the close interrelationship between downstream and upstream: if downstream monitoring mechanisms are not in place, there will not be information and data for upstream activities such as planning and policy development.

E.20 The review of the three Country Programmes and the case studies revealed that coordination has been a key area of strength and a route into upstream work in education for the UNICEF CO in Zimbabwe. UNICEF's role in bringing together the different partners in the education sector and creating a united voice to government has been invaluable, particularly during the crisis when it coordinated the education cluster which gave it good reputation and a network of relationships. Once the cluster reverted into a post crisis SWG, UNICEF still acted as a convener of discussions in the education sector.

E.21 UNICEF has also built close relationships with government, who appreciated the longevity of UNICEF's support and their willingness to engage. UNICEF importantly was also seen as neutral, which in a highly charged political environment this was key to its success in building links with both political parties in the Government of National Unity. However UNICEF Zimbabwe has not specifically focused upon capacity development during the period

and whilst it has worked closely with government it has struggled to hand over fully to government and is still fairly reliant upon consultants and UNICEF staff.

E.22 UNICEF Zimbabwe has excelled in marking itself out and playing a productive role within the landscape of national and international partners in education. It has been good at identifying gaps and responding to the opportunities that the context provided. As the focus of the education team and the CO as a whole has moved upstream, staff with specific upstream experience and connections have been recruited.

LESSONS LEARNED

E.23 Some specific features of upstream work in Zimbabwe that are important for enhancing this kind of work in other contexts and countries are identified:

E.24 *Upstream work needs strong foundations:* UNICEF is considered a trusted and neutral partner in Zimbabwe and this reputation has been earned through a long history of downstream implementation and presence in the country and in the sector. It is this that gives the CO the credibility and access to engage in upstream work in what is a complex and fragile context.

E.25 *Using upstream work to move from emergency to transition:* UNICEF can use an upstream focus to help transition out of emergency mode in a humanitarian emergency context. This has created a new role for UNICEF in a context in which it has taken the lead due to absence of other traditional multilateral partners.

E.26 *Upstream work as a means to develop new funding modalities:* a key element of the upstream work in Zimbabwe has been the design and implementation of the ETF. UNICEF has been a key player in the design of this modality and has managed the funds for the consortium of donors. This is not a typical role for UNICEF



but one that in the context of Zimbabwe it has managed well.

E.27 The importance of evidence for upstream work: in the midst of a humanitarian emergency UNICEF started gathering data and putting together evidence. This approach has enabled UNICEF to move into an increasingly upstream role.

E.28 More work needs to be done on how best to monitor and evaluate upstream work: in Zimbabwe no routine learning and knowledge management process for upstream work was found in the CO, and as a result it is difficult to trace progress in upstream work and the extent to which UNICEF is achieving what it sets out to do.

E.29 Managing the balance between upstream and downstream: in the Zimbabwean context UNICEF has maintained its relevance and effectiveness by continuing with downstream implementation work in conjunction with its upstream work. The CO's ability to combine the two without losing focus on either has been reliant upon experienced and visionary leadership and the setting out of a clear strategy. However, whilst upstream work is occurring and being successful there is a need for a more systematic approach which is perhaps less reliant upon individual champions and builds in a cycle of learning and knowledge management.

CONCLUSIONS

E.30 Overall, the Zimbabwean experience, rather than pointing to the need to prioritise upstream work ahead of downstream work, shows that there is a complex interaction between downstream and upstream work. While upstream work (data and evidence, system design, policy, planning) is necessary for programming and programme implementation, involvement in downstream work and links with implementers will often provide the knowledge, experience, trust and credibility to enable effective participation in the upstream

processes. While the normal view is that policy should precede practice, practice is sometimes indispensable for good policy making. Quite often, even in the depths of a humanitarian crisis, upstream work will be necessary to ensure that appropriate downstream activities can be programmed in a next period.

E.31 Looking at the standard DAC evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability, the BEGE programme in Zimbabwe scores well in almost all areas, but the area it is weakest in is sustainability. While the shift to upstream work in Zimbabwe after 2008 has been successful, sustainability of results and of upstream work itself is not assured. It is a large amount of funding from donors, rather than government, that is maintaining and developing the education system, and furthermore, funds via the ETF are managed by UNICEF and not government. Whilst there are context-specific reasons for this, in the longer term there is a need for a shift to a more sustainable model.

E.32 In addition, the upstream successes of UNICEF Zimbabwe can be seen as relating more to a set of fortuitous circumstances (political space through the GNU, a particular mix of leadership in UNICEF, the direness of the situation which forced compromises) than an explicit, well-resourced and capacitated internal strategy from UNICEF.

E.33 The Zimbabwe case study provides a success story of UNICEF in a fragile and complex country making a new niche for itself through its upstream focus. Not only does this illustrate that it is possible to work towards an upstream focus even in a humanitarian emergency but it shows how when the right pieces of the puzzle are put in place in the vacuum that often follows an emergency UNICEF can fulfil a key and exciting role.



This case study looks at upstream work carried out by UNICEF Zimbabwe in the education sector in 2003 to 2012, and asks whether UNICEF was effective. The study identifies a stronger push for upstream work after the 2008 governance crisis, and credits UNICEF for providing strong leadership, and for its flexibility and responsiveness in working with government and partners to reinstate the education system.



CHAPTER 1

INTRODUCTION

1.1 REVIEWING UNICEF UPSTREAM WORK IN EDUCATION IN ZIMBABWE

UNICEF's 2005 Medium-Term Strategic Plan (MTSP) suggested a shift to more upstream work in education. Such a strategy would give greater importance to strengthening systems relative to providing inputs through smaller/individual projects (for example, teachers, books, transport, schools buildings, equipment). Upstream work or system strengthening can include: advocacy work, support for development of policy, standards and strategies; work on resourcing and resourcing systems; development of and evidence base for interventions; and, leadership and coordination.

This case study looks at the existence and extent of upstream education work in UNICEF's Zimbabwe Country Office (ZCO) from 2003 to 2012, asks whether it has been effective and identifies factors potentially responsible for successes. The field work for this study took place from 7th – 18th October 2013; as a result by the time of circulation things had already moved on and some of the risks identified had already been avoided. Where possible the case study has been updated to acknowledge this.

The report is divided into four chapters. This introductory chapter provides a description of the study methodology common to all four country case studies. *Chapter 2* sets out the Zimbabwe context over the study period from 2003 to 2012. The period spans the final phase of the country's political and economic crisis resulting in a full-scale humanitarian crisis by 2008 and followed by a stabilisation of the political and economic situation – including getting schools to function again and starting to rebuild the education system, which was a key success

of the early years of democracy in Zimbabwe between 1980 and the late 1990s. Also in *Chapter 2*, the activities of the Zimbabwe Country Office over the study period are outlined, focusing on upstream work.

Chapter 3 presents the findings of the evaluation; this includes providing more detail on three areas of intervention (education information systems, child-friendly schools and the Education Transition Fund) and considering activities in terms of effectiveness (impact), relevance, coherence and sustainability. *Chapter 4* sets out conclusions and lessons learned from the study.

UNICEF has had a long involvement with the people of Zimbabwe, starting with the resourcing of schools in refugee camps in Mozambique in the 1970s and playing a crucial role in supporting teacher education in the 1980, one of the foundations of Zimbabwe's early success in extending access and building quality in education. Strong support continued over the study period.

The study argues that upstream work has always been present in education in the UNICEF ZCO, even before the call in the MTSP, but that there has been an upstream shift post the 2008 crisis. UNICEF and its particular focus following the crisis (on leadership and coordination during and after the crisis, strengthening evidence and supporting policy development, but also on delivering key inputs) and flexibility and responsiveness played a crucial role in stabilising the education system after 2008.

In addition to UNICEF's strong and appropriate response, the turnaround, was made possible by the inherited strengths of a well-performing education system during most of the 1980s



and 1990s, of which, arguably, key characteristics are substantial decentralisation to a school level and, compared to neighbouring countries, strong community involvement. Other relevant factors are that UNICEF could also partner with strong international and national NGOs and donors operating in Zimbabwe and that there was a political shift.

External factors such as the shifting political landscape in Zimbabwe, with a change from the Unity Government to ZANU-PF, and the changing priorities of donors¹ present significant challenges to sustaining the turnaround. As does the significant proportion of recurrent education expenditures which are currently being managed by UNICEF as compared to government expenditures.² Internal factors, such as staffing changes at crucial points (and hence inevitable loss of continuity due to rules about foreign staff placements), and the absence of a deeper strategy and stronger systems, that is, a more explicit strategy backed up by appropriate human and other resources and monitoring frameworks around upstream work may limit UNICEF's ability to replicate the successes of the period of 2009 to 2012.

1.2 EVALUATION FEATURES

This report is one of four country case study reports for the Evaluation of UNICEF's upstream engagement in education undertaken by Mokoro Limited and commissioned by the UNICEF Evaluation Office.

The overall evaluation occurred in two phases at the global, regional and country level.

- In the first desk-based inception phase a desk review of UNICEF upstream engagement was undertaken in 14 countries

selected by the UNICEF evaluation office across the seven UNICEF regions, as well as of its global and regional engagement.

- In the field-based data collection phase four country case studies were undertaken – Afghanistan, Brazil, Cambodia and Zimbabwe.³ In addition to the country cases, data collection at the regional and global levels continued through a series of semi-structured interviews with UNICEF staff, partners, funders and education experts.

Data collection in case study countries at the field level was built around the selection of two to three mini-case studies per country. The evaluation process at country level included document reviews, semi-structured interviews, focus groups and the collection of quantitative data. The application of these instruments was country-specific: Annex 1 provides detail on the methodology for Zimbabwe.

Evaluation purpose and scope

The Terms of Reference (TOR) describe the purpose of the evaluation as examining

"...UNICEF's contribution in "upstream" work in education, to assess the extent to which UNICEF engages strategically in education sector policy articulation and advocacy at the global and regional levels. The evaluation will also determine the extent to which upstream engagement efforts translate to desired transformations in education sector policy and practice, and national systemic strengthening in programme countries." (p5)

UNICEF's work at the global, regional and country level is included in the evaluation scope. The evaluation period is 2003 to 2012 and the

¹ A number of donors are moving out of the education sector.

² This unbalanced scenario has existed for a number of years due to the political context and resultant government/donor dynamic.

³ The fourteen desk phase countries were selected by the UNICEF Evaluation Office, which also finally selected the fieldwork case study countries, based on a proposal by Mokoro.



object of evaluation is UNICEF's contribution to upstream work.

The TOR require the evaluation to examine upstream engagement in all four of BEGE's key result areas (KRAs), namely school readiness (KRA1), equitable access (KRA2), education quality (KRA3), and education in emergencies (KRA4). The evaluation looked at UNICEF engagement funded through regular and other resources.

The TOR set a descriptive task for the evaluation, namely to provide an account of UNICEF's upstream work at the global, regional and country level. In addition, the evaluation was to judge the degree to which UNICEF's engagement produced desired results, using the standard OECD DAC criteria of the relevance, efficiency, effectiveness and sustainability of its engagement, as well its coherence. The evaluation did not engage with the impact of UNICEF's upstream engagement on education outcomes as such, but rather assessed whether the engagement was translating to desired change in education sector policy and practice, and the strengthening of national education systems.

Within this overall scope of the evaluation, the UNICEF Evaluation Office identified six evaluation themes, or areas in which the organisation was particularly interested in the findings, conclusions and lessons learnt, namely: a shared definition of upstream work; positioning for upstream work; upstream work in education in post conflict and emergency situations; external partnerships; UNICEF-wide collaboration; and the capacity of UNICEF and its national partners for upstream work.

Defining upstream engagement

In order to provide clear criteria for identifying UNICEF activities and results that should be included in the evaluation, the evaluation formalised the definition of upstream engagement as:

"UNICEF activities which were intended to have or had a system-wide, sustainable impact on the national capacities of public sector duty bearers in the education sector for fulfilling children's rights, directly or indirectly."

The foundation Theory of Change presents a typology of UNICEF activities and results in terms of national capacities of public sector duty bearers to unpack this definition. Directly or indirectly means that the evaluation included instances where the organisation engaged directly with strengthening national capacities, as well as indirectly, such as through its engagement in the sector at supra-national level or national level through partnerships.

Evaluation instruments

The key task for the evaluation therefore was to assess the extent to which UNICEF's upstream work between 2003 and 2012 had system-wide, sustainable impacts on education sector laws, regulations, policies and standards and/or affected the systemic capacity of the sector, and whether these impacts were relevant, and achieved effectively, efficiently, and coherently.

The results of upstream work are elusive and therefore hard to measure or attribute. While upstream work may coincide with changes in measurable education outcomes such as net enrolment rates, proving causality between these outcomes and upstream work is made difficult by many exogenous variables. That however does not mean that changes on the way to education outcome change cannot be measured, and that links of causality cannot be argued convincingly. The evaluation methodology sought to identify and measure these interim results, through three related instruments, a theory of change, contribution analysis and an evaluation framework.

Evaluation theory of change: Theories of change are models created by the evaluator of the micro-linkages or causal path from programme to ultimate outcome, that can be empirically



tested (Weiss, 1995). The foundation theory of change for the evaluation is provided in Figure 1.1. Annex 6 provides the theory of change interpreted for Zimbabwe.

The theory of change includes a categorisation of UNICEF inputs (column 2), actions and outputs (column 3), as well as risks and assumptions. The theory of change applies outcome mapping to enable the measurement of intermediate outcomes through evidence of changes in behaviour, actions and relationships of actors and governments. To systematise this evidence, the evaluation used a typology of the impacts of policy and advocacy work set out in Jones, 2011 to consider five types of upstream impact (column 5). That there is an obvious hierarchy between these dimensions of impact is useful, as it allowed the evaluation to rank the effectiveness of different UNICEF upstream interventions.

Contribution analysis: contribution analysis infers causality from the application of a reasoned theory of change verified by evidence. The influence of other factors, exogenous to the programme, is also weighed and considered. This method of analysis was used to assess the degree to which UNICEF inputs (funding, capacities, approaches, strategies, policies) and outputs *contributed* to the achievement of the *intermediate outcomes as evidenced by upstream impact*, through the links or pathways identified in the theory of change.

The Evaluation Framework: the evaluation framework turned the theory of change into a set of evaluation questions, linked to the evaluation criteria, and defensible judgement criteria, which were to be applied transparently to argue evaluation findings and conclusions. It also set out valid evidence and evidence sources. The evaluation framework questions incorporated the six UNICEF evaluation themes. Annex 7, a matrix of summary findings and conclusions, is structured according to the evaluation framework.

Evaluation process

The overall evaluation occurred in two phases at the global, regional and country level.

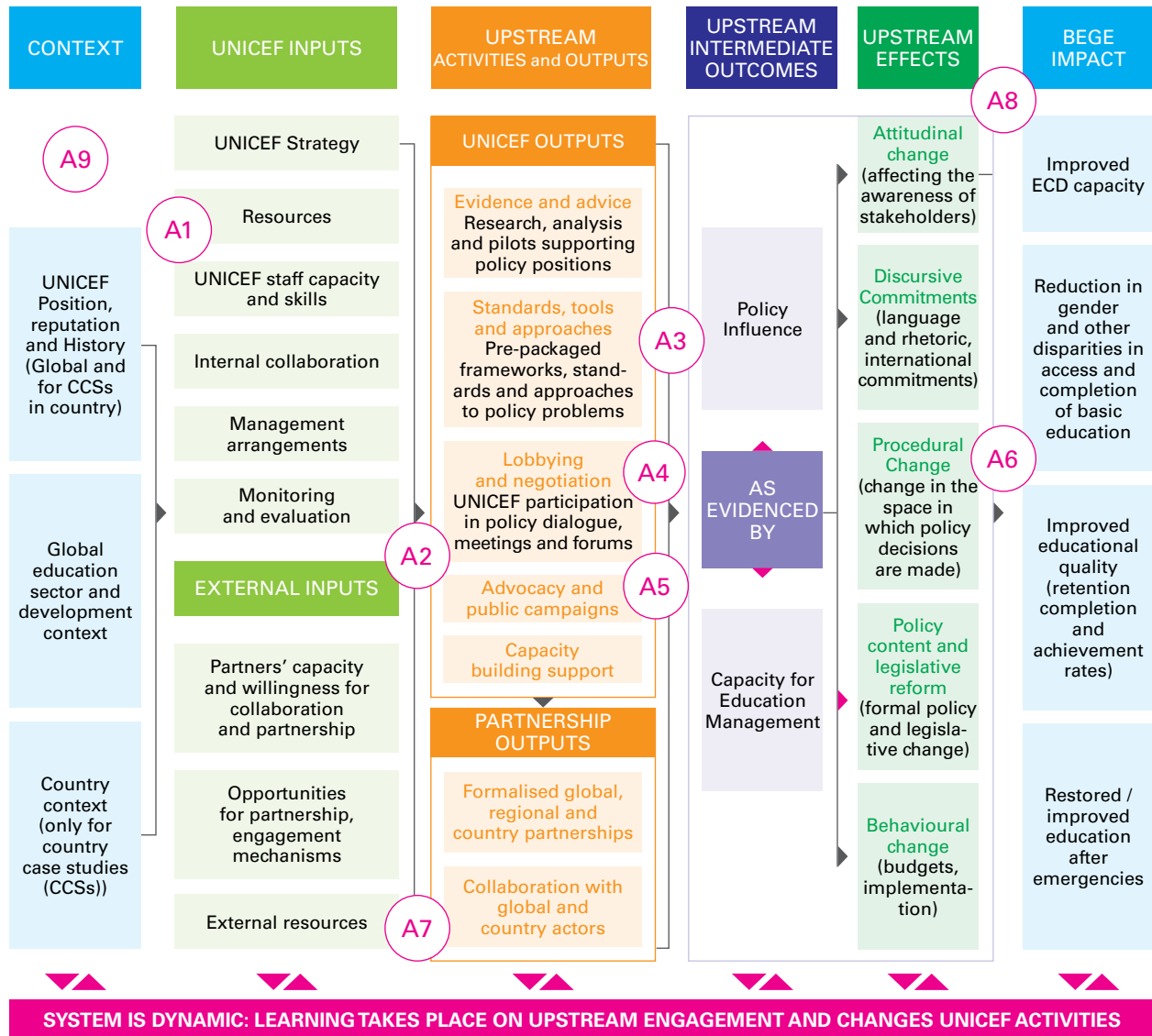
- In the first desk-based inception phase a desk review of UNICEF upstream engagement was undertaken in 14 countries selected by the UNICEF evaluation office across the seven UNICEF regions, as well as of its global and regional engagement.
- In the field-based data collection phase four country case studies were undertaken – Afghanistan, Brazil, Cambodia and Zimbabwe. In addition to the country cases, data collection at the regional and global levels continued.

Data collection in case study countries at the field level was built around the selection of two to three mini-case studies per country. The evaluation process at country level included document reviews, semi-structured interviews, focus groups and the collection of quantitative data. The application of these instruments was country-specific: Annex 1 provides detail on the methodology for Zimbabwe.

Zimbabwe as a country case study was selected from a larger pool of 14 desk review countries, by UNICEF but based on a discussion note on country cases and criteria for their selection by the evaluation team. The country case study therefore made use of the material collected in the desk review. The country case studies provide key evidence on UNICEF's upstream work in basic education and gender equality at the country level. They afforded the evaluation team the opportunity to examine not only the extent to which UNICEF at a country level has shifted to upstream work, but also how well it has undertaken upstream work and under which circumstances its interventions contributed to the upstream results observed. This is done particularly through the mini-case studies.



FIGURE 1.1 Foundation Theory of Change



Key assumptions / risks

- A1** The mix of UNICEF inputs is suited to produce quality outputs leading to policy influence, capacity building and upstream impact cost effectively/efficiently.
- A2** If UNICEF has these inputs in place, it will be able to produce some of the outputs. However, it has to go into partnership with boundary partners and education public sector actors to achieve other outputs and the upstream impact. These inputs are in combination sufficient to allow partnerships to occur.
- A3** UNICEF's outputs are sufficiently relevant to its partners and countries to sustain partnership, achieve upstream impacts.
- A4** These UNICEF and partnership outputs, either individually or in combinations, will result in policy influence and capacity for education management.
- A5** UNICEF's approach and outputs internally and with partners are sufficiently coherent to lead to upstream impact.
- A6** UNICEF's outputs are sufficiently relevant to the country context for its policy influence and capacity building to sustainably deliver BEGE impacts.
- A7** UNICEF reacts to changes in the environment and feedback from its engagement to strengthen its inputs and outputs sufficiently to adapt to dynamic situations.
- A8** Public sector duty bearers want BEGE impacts and are willing to change.
- A9** The context is conducive to effective upstream engagement.



CHAPTER 2

UNICEF PROGRAMME IN ZIMBABWE

2.1 NATIONAL CONTEXT

Zimbabwe obtained independence in 1980 after a long war of independence. In the “post-independence era” from 1980 to 1990 there was a strong focus on nation building, rebuilding the war-ravaged economy and extension of education and health services, a substantial challenge given the relatively young age structure (see Table 2.1) and previous neglect of service delivery to Africans.

During this first decade of independence huge strides were made in terms of education provision – bringing universal primary education and high levels of access to people who had previously been significantly excluded from education opportunities, especially in secondary education. Between 1980 and 1989 the number of primary schools increased by 42.4% and the number of secondary schools increased from less than 200 in 1980 to 1,502 in 1989 (or by more than 650%) (WEF, 2000). Across the whole system enrolments increased by over 200%. To meet this demand the number of teachers also had to be increased and rose dramatically from 18,483 in 1979 to 60,886 by the end of the decade (ibid). By 1990 there were also 15 teacher training colleges in Zimbabwe and innovative techniques were used to increase supply. In four of the ten colleges training of primary school teachers combined a short residential training period with extended teaching practice in schools (the Zimbabwe Integrated Teacher Education Course or ZIMTEC).

As a result of education expansion and reform, the Zimbabwe education system in the 1990s was seen as one of the strongest in Africa (see Acosta, 2011) and led to some of the highest literacy rates in Africa.

During the 1990s Zimbabwean economic fortunes changed, with some commentators pointing to externally imposed structural adjustment as a cause and others pointing to macroeconomic and fiscal imbalances that were mounting, arguably partly as a result of high levels of social spending but also because of other items (such as large transfers to war veterans and participation in the war in DRC).

As a result, at the start of the evaluation period (2003), the economy of Zimbabwe was in a poor state: unemployment was increasing, reductions in government spending and subsidies and the introduction of user fees in health and education impacted on access and quality. High inflation increased the cost of living and cut the value of wages (ibid).

During the “crisis period” between 2000 and 2008 (Rwezuvu et al, 2012: p12), real GDP shrank by more than 40% with inflation spiralling out of control and reaching unprecedented levels in 2008 (EC, 2009: 13). HIV and AIDS also reduced productivity and heightened healthcare costs although prevalence rates dropped between 2000 and 2008 from 28% to 16%.

At the same time, from the early 2000s, Zimbabwe’s relations with international donors started to deteriorate (see Annex 2). In response to a land reform programme which began in 2000, in 2001 the IMF, World Bank and most major western donors cut aid. The elections were followed by strikes and political violence. In response to the escalation of political violence Zimbabwe’s position in the Commonwealth was suspended and European governments placed targeted sanctions on the leadership of the governing party, including the suspension of EU aid to the Zimbabwe government under Article 96 of the Cotonou Agreement.


TABLE 2.1 Zimbabwe: Selected Indicators, 1990–2012

	1990	1995	2000	2003 - 2005	2006 - 2009	2012
Population						
Population (millions)	10.5	11.7	12.5	12.5	12.5	13.0
Population ages 0–14 (%)	46.1	44.3	42.2	41.2	40.5	41
Population ages 15–64 (%)	51.0	52.5	54.4	55.1	55.5	55
Population ages 65 and up (%)	3.0	3.1	3.4	3.7	3.9	4
Rural population (% of total population)	71.0	68.3	66.2	64.5	63.1	67
Fertility rate, total (births per woman)	5.2	4.4	3.9	3.7	3.5	3.8
Adolescent fertility rate (births per 1,000 women aged 15–19)	-	-	87.6	70.9	64.6	-
Health Indicators						
Life expectancy at birth, male (years)	57.5	49.2	40.6	39.9	42.6	38 *
Life expectancy at birth, female (years)	64.3	57.5	46.2	42.6	43.7	-
Mortality rate, infant (per 1,000 live births)	50.6	55.2	65.0	60.0	60.0	64.0
Mortality rate, under-5 (per 1,000)	79.3	90.6	102.1	82.0	86.0	84.0
Maternal mortality ratio (per 100,000 births)	168.0	-	578.0	555.0	725.0	525
Prevalence of HIV, adult (% of population aged 15–49)	14.2	27.3	28.0	18.1	13.7	
Immunization, measles (% of children aged 12–23 months)	87.0	87.0	75.0	56.0	69.0	
Immunization, DTP3 (% of children aged 12–23 months)	88.0	88.0	76.0	64.764.7	62.0	
Physicians (per 1,000 people)	0.1	0.1	0.1	0.20.2	-	
Access to improved water source (% of population)	78.0	79.0	80.0	80.0	73.0	75
Access to improved sanitation facilities (% of population)	44.0	45.0	45.0	-	46.0	76
Education Indicators						
School enrolment, primary (% net)	-	-	98.0	96.0	91.0	87.0
School enrolment, secondary (% net)	-	-	51.0	46.0	-	50.0
School enrolment, tertiary (% gross)	-	-	3.6	3.8	-	-
Pupil-teacher ratio, primary	35.8	39.1	37.0	37.7	40.0	-

* Average not by gender

Source: World Bank (2011) updated with Zimbabwe National Statistics Agency Census, 2012.



These sanctions have been reviewed each year. Whilst aid passing through government systems is still avoided (UNICEF Zimbabwe and GoZ, 2010 refers to “[t]he unwritten donor conditionality limiting programme funding directly through government institutions”), aid has been given through other routes such as UN agencies and local NGOs and since 2009 the EU and its member states have provided Zimbabwe with \$1 billion in development assistance (IRIN News, 2012).

Economic decline severely impacted the population and resulted in a severe drop in well-being, particularly amongst women and children (Acosta, 2011). The challenge of economic decline interacted negatively with other issues such as the impact of HIV/AIDS, urban and rural displacements (in 2005 especially) and low agricultural production because of recurrent droughts (1991, 1992 and 1995). In 2008 there were 5 million people receiving food aid and malnutrition and food insecurity was rising as people’s livelihoods were eroded (UNICEF, 2008a). Cholera outbreaks across the country from August 2008 took Zimbabwe into a humanitarian crisis status which was eventually confirmed by the government in December 2008 when a request was made to the international community for help.⁴

The harmonized elections (presidential, parliamentary and local government) in March 2008 resulted in a political impasse which by September 2008 led to agreement on an ‘Inclusive Government’.

As the new Government of National Unity (GNU) started to function⁵ improvements were seen. In late January, the Zimbabwean

Dollar was suspended to try and combat hyperinflation and stabilise the market, and foreign currency was legally instated across the country.⁶ In March 2009 the Government launched its Short Term Emergency Recovery Programme (STERP), requesting US\$ 8.4 billion for a 10 month period to rebuild and start transitional activities (UNICEF, 2009a). The situation nationally was bad: the Zimbabwe Vulnerability Assessment Committee’s urban food security assessment (2009) measured food insecurity to have risen by 9 percentage points between 2006 and 2009 to 33%. FAO and WFP were estimating that 2.8 million people in rural and urban areas would be food insecure during 2009/10 (UNICEF, 2009a). In the education sector in 2009, in order to try and address the massive brain drain of teachers the new Minister declared an amnesty for teachers. A significant proportion of teachers, who had found their salaries to be worthless because of hyper-inflation, had sought jobs in other countries or stopped attending school. Under the amnesty they would be allowed to return to their jobs without repercussions.⁷ US dollar salaries also made a return more attractive.

During the peak of the crisis education was severely disrupted. A joint assessment conducted in February 2009 found that 86% of schools which were reportedly open were not fully functional, and 54% of the opened schools were conducting no classes at all. Ninety-two schools visited were completely closed: of the total of 94 schools reportedly “open”, only 14% of schools visited reported that they were teaching at full capacity (UNICEF, 2009b). A rapid assessment conducted by the National Education Advisory Board (appointed by Minister Coltart) in 2009 highlighted the poor

⁴ During the cholera outbreak of 2008 and 2009 there were 98,531 cases and 4,282 deaths – a poignant illustration of the extent to which social services had broken down.

⁵ The Inclusive Government was finally agreed in February 2009.

⁶ The most commonly used are the US dollar, South African Rand and Botswana Pula.

⁷ Compared to the 2012 teacher count (EMIS) of 125,000 of which 21,000 are ECD teachers, estimates are that between 7,000 (attributed to “teacher unions” by the Zimbabwean Herald in 2011, <http://www.herald.co.zw/no-pay-for-amnesty-teachers/>) and 15,000 (attributed to former Minister of Education, David Coltart by the IRIN on 16 October 2013 <http://www.thezimbabwean.co/news/zimbabwe/68918/teachers-salaries-deserve-urgent-attention.html>) teachers used the amnesty to return to education.



state of the education system by sampling 120 schools across the country. It was found that over 20% of those primary schools sampled had not a single textbook for English, Maths or African Language.

The new Minister for education, cognisant of a growing sense (through data becoming available) of the grave state of the education sector, invited in 2009 a World Bank mission to start work on an Interim or Transitional Sector Plan. With the support of UNICEF, the Education Transition Fund was set up in September 2009 as a means of generating and channelling non-personnel funds to education. The Transitional Sector Plan was further developed in 2010 into a Strategic Investment Plan. The work was done by technical assistance (TA) in conjunction with the Ministry for Education, Sports, Arts and Culture (MoESAC); it was approved by Cabinet in 2011 and finally published in 2012. In 2010 Zimbabwe requested funding from the Global Partnership for Education (GPE) to help them rebuild their education system. Work was started on an Operational Plan which was submitted to the GPE in 2012 and led to Zimbabwe's membership of the GPE in May 2013.

Over the past three years with significant funding from the Education Transition Funds I and II and political willingness from the Ministry of Education there has been progress and recovery in the education system. Key components of this have been the provision to all primary schools and many secondary schools of key textbooks (a set per child). Preliminary data shows teacher/pupil ratios in 2012 stood at 1:31.6 (1:36.0 for primary and 1:22.7 for secondary), an improvement from the 2006 baseline of 1:39. Gender parity with regards to enrolment stands at .98 overall in 2012 (.99 and .97 for primary and secondary level, respectively) (UNICEF Zimbabwe, 2012i). In 2013 following elections in July the Unity Government came to an end and was replaced by ZANU-PF. At the time of the evaluation, it was too early to say

what the impact of this change in administration might be.

2.2 UPSTREAM WORK BY UNICEF IN ZIMBABWE⁸

UNICEF has a long history of engagement in Zimbabwe: it supported schools for refugees and liberation fighters during the war for independence in the 1970s and, following independence, provided financial support to the government (particularly, we understand, for fast-tracking of the very effective ZIMTEC teacher training initiative) as it started building the education system. The fourth cycle of the Government of Zimbabwe (GoZ)/UNICEF Country Programme of Cooperation started in 2000 and ended in 2004. It was followed by Country Programme Agreements covering 2005 to 2006, 2007 to 2011 and 2011 to 2015.

2003–2005 – Supporting key service delivery areas (NPA for OVC, ECD & Child-Friendly Schools) amid declining government services

The country office during this period was all too aware of the reversal of progress that was occurring as the economic situation worsened: life expectancy was dropping and maternal and infant mortality rates were increasing (see Table 2.1). In health and education there was declining public expenditure and failing infrastructure which was resulting in shortages of essential supplies, reduced access by the poor, low motivation amongst staff and weak planning and management (UNICEF, 2004). Whilst Annex 5 provides the detailed upstream work of this period, this section outlines the main areas of focus in upstream work for the Zimbabwe Country Office (ZCO).

Government was involved in the UNICEF planning process, having been asked for its input. Despite a continued focus on service delivery

⁸ Annex 5 provides a summary of the main upstream activities carried out during each of the three periods.



and piloting (in Zimbabwe this implied non-national coverage) a number of broader themes and policy focus areas were supported. The thematic focus of the UNICEF office was orphans and vulnerable children (OVCs) and HIV and AIDS (UNICEF, 2004: 8). From 2000 to 2004 UNICEF contributed to the revision of the National HIV/AIDS Strategic Framework which included assessing the impact of HIV/AIDS on the education sector.

A major success in 2003/04 was the adoption by Cabinet of Zimbabwe's first National Plan of Action on Orphans and Vulnerable Children (OVC). UNICEF played a key role in this. Funded by ECHO, Italy, the Netherlands and Sida, UNICEF set up national committees to help mobilise partners and stakeholders, including children, to create and cost the plan and initiate its implementation (ibid). The education aspect of this was ensuring that these children went to school. In education, there was also a push, for girls' education: the CO set targets for 2004/05 on the development of a National Education Policy, as well as an increase of 10% in the net primary school enrolment rate, an increase of 5% in the primary completion rate, and the elimination of the 5% gender disparity in net primary school attendance (UNICEF, 2004: 9). Towards this end, in 2004 Girls' Empowerment Movement was launched by the MoESAC and a range of partners, including school districts, UNICEF, donors and international NGOs. This was followed by the elaboration of a girls' education policy and strategy. Girls participated actively in developing the strategy and formed 50% of the participants. There was capacity development of school heads and school development committees.

The work on OVCs also provided a way into discussions on education policy; in 2004 UNICEF carried out a policy review of the draft Education Act and an advocacy meeting was held to discuss education and gender-based violence with parliamentarians including the Education Portfolio Committee. UNICEF made the recommendation that free primary

education should be provided for OVCs immediately followed by a declaration of free primary education for all children by 2010, presumably because this was seen as a realistic timeline to effect such a shift. Work was started on an interim co-financing strategy which would be based upon consensus from all stakeholders. Linked to this, in 2004 and in conjunction with UNESCO, UNICEF carried out a review of the basic education policy using participatory grass roots processes.

During this period UNICEF supported Integrated Early Childhood Development (IECD). A concept note was written, trainers were trained and an Early Childhood Education and Care (ECEC) handbook and teaching materials were developed. A review was carried out looking at ECD experience in one district and in conjunction with government UNICEF began to develop a National Early Childhood Development (ECD) policy and strategy. This work was on-going and by 2007 it was being done through Provincial Education Officers through whom training was being provided for ECD I-professionals and small UNICEF grants were being made available for local communities to develop play areas for early childhood development centres, providing inputs to services but also piloting a community-based approach.

The concept and framework of Child Friendly Schools (CFSs) was introduced in 2004, building on ideas that were already present within the Zimbabwe education system but bringing them together into one framework.

The CO was already aware of the need for data in the education system and, from 2004, technical support was given to help analyse the Education Management Information System (EMIS) data. This included an element of capacity building in the Ministry of Education, Sports and Culture (MoESAC). UNICEF also provided support from 2004–2006 on the national common indicator database and development of DEVINFO. The CO also carried out its own strategic information gathering in 2004 in order to feed into its planning in the future.



Whilst there were important elements of upstream work in UNICEF Zimbabwe's work during this period, it was by no means the main focus and tended to be a component of programmes which were largely focused on implementation. Much of the upstream implementation was pilot or small-scale and sought to illustrate ideas that UNICEF was trying to promote to government. The major focus of the education programme was still very much on downstream implementation work.

2006–2009 – Emergency response and laying the basis for policy engagement

During this period the situation in Zimbabwe worsened considerably and by November 2008, UNICEF had moved to a full emergency mode and had developed a 120-day emergency response plan (December 2008 – March 2009) (UNICEF, 2008c). This plan focused on relief efforts, specifically combating the cholera crisis and providing basic social services. However, by May 2009, in line with the change in the overall political and economic environment of the country, UNICEF had phased out its emergency response. It was refocusing its programmes on a post-crisis transition phase whilst still maintaining a risk management component (UNICEF, 2009a).

Although a considerable amount of emergency implementation (or downstream) work took place during this period it was also a period of shifting the CO's focus upstream. The Country Representative who arrived in 2008 had previously worked in UNICEF HQ on UNICEF's global survival strategy and from this experience had a clear idea of the importance of upstream work. He championed a model of overlapping rings (programming, policy and evidence/ evaluation) with all departments within the CO. This model can be found in the Country Programme Document (CPD) for 2012–2015 and was used to encourage all sectors to think about what goals they would meet in each area of the model. This was a key factor in moving the education team's leadership to focus on upstream work. The model underlines the importance of upstream

activities: gathering evidence (evidence building and evaluation) and seeking to persuade, coordinate and advocate on behalf of the sector (i.e. feeding into policy), and this was what they sought to do during this period. Delivery of inputs and services via partners, however, remained important and grew to a national scale in some cases (textbooks). Supply of inputs and services delivery ("programming" in the outline championed by the Country Representative) was also used as a means to get people round the table to discuss policy.

During this period in particular UNICEF developed some strong partnership relationships, particularly with INGOs (PLAN, Save the Children and World Vision International). These gave UNICEF on-the-ground presence and capacity to collect data and implement downstream (emergency) work. The INGOs also importantly came with their own sources of private funding which played a part in improving the sector. In return UNICEF gave the INGOs a forum for discussion through the education cluster and a way to raise policy issues.

In spite of the humanitarian crisis UNICEF was strategic in its activities in the education sector. Through the Education Cluster (which UNICEF coordinated with Save the Children) it ensured that education remained a prominent issue for donors and for government. The cluster became a focal point for NGOs and provided a space for partners to strategize and to work together. In 2008 an education atlas was produced by UNICEF which showed which partners were doing what where over the period 2008/9. As the 2009 Annual Report makes clear data collection to establish an evidence base was a key focus:

"Due to the lack of updated data on humanitarian and development indicators, a number of major surveys and assessments, including the MIMS, were carried out... UNICEF has affirmed its status as a central hub for knowledge and evidence as it relates to women and children in Zimbabwe" (UNICEF Zimbabwe, 2009a).



This process of building up a picture of what was going on in the sector had started in 2006 when UNICEF had hired a consultant to bring together all the available education data from 2000–2004 in order to highlight the gaps and develop some form of baseline. Work to develop data and evidence continued throughout this period. There was on-going work on the national common indicator database and the development of DEVINFO. More broadly, ZIMDAT implementation was supported, as was MIMS, ZIMVAC and an M&E tool for the Programme of Support. From 2006–2009 UNICEF worked with MoESAC to support EMIS and to start processing SACMEQ data. In 2009 UNICEF funded the capturing of EMIS data (through the provision of a central venue, equipment and per diems) and paid for a consultant to write up the report.

UNICEF also produced reports and evaluations of their work including reports on Teaching, Learning and Assessment Process in Zimbabwe Schools 2008; ECD Needs Assessment; BEAM Disbursement Modality Review; Schools Rapid Assessment.

UNICEF continued to champion the idea of CFSs during this period and in 2006 carried out a pilot of CFSs in 50 schools (10 per district). By 2008 this programme had reached 2,000 schools and was used to inform policy discussions with MoESAC. MoESAC staff were sent on CFS training courses in 2008 and then again in 2009 (a course in Nairobi). There was also training funded by UNICEF in country for senior managers and teachers at District level. MoESAC embraced the idea of CFSs and in 2006 a Directors' Circular Number 41 was sent to all relevant government bodies introducing the guidelines and outlining what constitutes a "Child Friendly School" for the promotion of quality education in Zimbabwe. Those interviewed in government considered the CFSs work to be a key aspect of the upstream

work that UNICEF has done in education in Zimbabwe.

When the new Minister for MoESAC was put in post as part of the Government of National Unity in 2009, UNICEF supported the setting up of his office. They also provided support to the new National Advisory Board which carried out rapid assessment of the situation in the education sector and made recommendations to the Minister. At the same time UNICEF, in conjunction with DFID (and later the EU), started discussions about how to raise the profile of education with government and with donor partners. The setting up of a transition fund seemed a strategic solution; it would enable donors to move away from emergency funding which was they were keen to do. It would also provide pooled funding that could be used to make a difference and start transforming the education sector. The idea of the fund was well received by the Minister for MoESAC and by donors and in 2009 the Education Transition Fund (ETF) was set up.⁹ Its governance structures provided a place where for the first time in years donors were able to have discussions with government.

Under the ETF in 2009/10 UNICEF carried out a nationwide distribution of primary core textbooks to all schools resulting in a 1:1 child to textbook ratio. Although very much a downstream activity (input and service delivery), this opened up various policy discussions with the government including that around school fees and the future funding of schools.

2010–2013 – From emergency intervention to school and system governance

As Zimbabwe emerged from the worst of the humanitarian crisis and UNICEF and other agencies moved into a transition phase, the Country Office was very much focused on upstream

⁹ The Education Transition fund was renamed the Education Development Fund (EDF) after the evaluation team's visit. The renaming was proposed by the current Minister and accepted/agreed to by the donors and UNICEF. There is no major change to the mandate and support areas under EDF.



work. This is evidenced by the UNICEF 2011 Annual Report:

"While the CO has adopted an approach that focuses on using its programming/service delivery positioning to influence policy reform, both in turn being influenced by evidence/knowledge generation activities, the mix of upstream versus downstream activities required is rapidly evolving with the context." (UNICEF Zimbabwe, 2011a).

As the country moved out of a humanitarian phase the education cluster was transitioned in 2012 to an education sector working group. MoESAC has gradually taken over the management of this group, a successful shift to improved government ownership. However, partners complain that the current working group is no longer that effective in terms of policy dialogue or monitoring sector performance. Instead, most of the dialogue takes place in the Education Coordination Group (ECG) and the ETF governance bodies (with a limited group of participants). UNICEF recognises the need for improvement in terms of strengthening sector performance review.

The first thematic area under the ETF 2 is "school and system governance". The objective is to "enhance quality of school environments and the systems that support effective school operation". The thematic area includes three sets of activities: "finalisation of the national sector planning framework"; "strengthening education data collection and analysis"; and, the "development of a national schools grant initiative" (MoESAC, 2013g).

The work earlier in the period on data collection and building of an evidence base now began to bear fruits. In 2011 TA was brought in and EMIS data was collected, analysed and published. Before this, the last EMIS data had been published in 2006. The data from 2009 which had been collected but not analysed or published was eventually finalised with UNICEF support in 2012. Data from 2012 with the help of UNICEF TA was collected and analysed; the report was finalised in 2012 and the same has

happened in 2013. UNICEF has started to supply equipment (computers) to Provincial Education Offices and other relevant offices and the idea is to network them in 2013/14 so that data collection and data entry can take place at provincial level and eventually at district level. At the start of the period Cambridge Education was commissioned by UNICEF to produce a five-year strategic plan for comprehensive EMIS and operationalization.

Other work continued throughout this period to establish a basis of data, research and evaluation. This was considered key by the CO to act as a tool for advocacy both to government and to the donor community. From 2010–11 the National Zimbabwe Early Learning Assessment (ZELA) was carried out by ZIMSEC with support from UNICEF and the Australian Centre for Educational Research. An evaluation of the BEAM programme was supported by UNICEF and resulted in policy discussions on social protection issues. A second education atlas (cataloguing education support activities of donors and NGOs) was produced covering the period 2010–11 but there was reluctance in MoESAC to release it and so was not officially published. The reluctance to publish data is normally not explained or clear but potentially relates to a reluctance to have information available that can be used politically.

The work on EMIS had already started to feed into TA supported (and UNICEF and World Bank sponsored) work to put together a mid-term education sector plan. The years of hyper-inflation and therefore financial insecurity had undermined planning in the Ministry and a sector plan was needed to set priorities going forward. In 2010 with support from the World Bank and UNICEF a Strategic Investment Plan was developed for MoESAC. EMIS data was used to generate cost scenarios and the Education Medium-Term Plan was eventually approved by Cabinet in 2011 and published in 2012. This laid the foundations for Zimbabwe to request funding and membership of the GPE. A request was made to the GPE in 2010 and a TA (financed by UNICEF and the World Bank) supported the Ministry on an operational



plan which was submitted to GPE in 2012. In May 2013 Zimbabwe entered into the GPE and a US\$23.6 million grant for use over three years was provided for the training of teachers, teacher development information systems and the development of a new education sector plan (for 2016–20). This is a significant amount, given that only \$10.2 million was available for education non-salary recurrent expenditure in the government budget in 2012.¹⁰

The third activity on school and system governance focused on strengthening the school funding system. Because of declining government funding (for personnel and, especially, non-personnel funding) schools have come to rely increasingly on a system of fees and levies to try and ensure adequate supplies and an appropriate school environment. Although this system of transferring financial burden to parents is not new, there are major concerns about equity as fees and levies rise. In poor communities where the capacity to contribute is limited the lack of private funds undermines school quality but also has become an obstacle to access for poor families. Hence it was seen as important for quality to increase the flow of funding to schools. (Government does pay a per capita grant to schools but values have become too low and access irregular¹¹).

While the bulk of ETF funding for school grants will go to actual grant flows (“downstream”), a portion of the funding went to relevant assessments and situation analyses and to the design of the grant system (“upstream”). ETF supported and UNICEF coordinated activities led to technical work on the funding situation (CfBT Education Trust and SNV Zimbabwe, 2012), design of the grants framework (CfBT Education Trust and SNV Zimbabwe, 2013), a finance manual (MoESAC, 2013h) and an

operational manual (MoESAC, 2013f). UNICEF also supported training, planning for piloting and piloting extensively.

In 2010 the UNICEF Chief of Education set up the Emergency Education Response and Preparedness Network (EERP). This initiative, also referred to as the Education Network partners divided the country between three INGOs (Save the Children, World Vision and Plan International) and sought to provide rapid assessment following emergencies, but has also been described as a “unique on-the-ground school monitoring mechanism” aimed at “more effective and frequent school supervision visits for quality assurance, better coordination/communication with schools and identification of gaps and risks” (MoESAC, 2013g). It was estimated to cover approximately 5,000 of the country’s 8,000 schools. Based on the data collected, UNICEF was able to produce education profiles for each province for 2011 and 2012, giving a better idea of what was happening at provincial level. In addition to this all visits made to schools by the INGOs were accompanied by District Education Officers; the provision of transport has made it possible for them to visit the schools in their district, some of which had not been visited for 16 years (see also MoESAC, 2013g).

While on-going monitoring must be seen as part of ordinary education work, and hence downstream, the work to design and revitalise monitoring mechanisms can be seen as system strengthening or upstream work. This example also points to the close interrelationship between downstream and upstream: if routine (downstream) monitoring mechanisms are not in place, there will not be information and data for upstream activities such as planning and policy development.

¹⁰ Pressure on the government budget continues to increase for 2014 as civil servants’ salaries are set to increase; this will further reduce space in the budget for investment.

¹¹ The main public source of income from grants was virtually non-existent in 2009. Per capita grants and building grants amounted to less than 2% of all income. (MoESAC and ETF, 2012 p.12).



UNICEF has also been encouraging and supporting MoESAC's research agenda. Firstly, UNICEF supported the setting up of a research committee under the department of planning in MoESAC which included representatives from other ministries, three NGO partners and UNICEF. This support resulted in 2010 in a MoESAC research agenda. Support was also provided on a satellite school desk review, a drop-out and repetition study and a study of the public examination system. UNICEF also assisted MoESAC¹² in the design and administration of the 2013 education census.

The Education Transition Fund Steering Committee (the highest policy guidance body for the ETF) has continued to meet during this period and to design in conjunction with all partners the next phase for ETF 2. This has included a road map to update the curriculum which was developed in 2010–11 by MoESAC with support from UNICEF. The regular meetings and sharing of information between government, donors, CSOs, UNESCO and UNICEF has created a forum for joint working and collaboration which was commended by the donor partners.

In the Zimbabwe Office during this period a Chief of Social Policy with an economic background was recruited and this has allowed for more interaction with the Ministry of Finance (MoF) and the World Bank. There is on-going advocacy to increase the budget shares going to social services. Support has also been provided to the MoF and the Ministry of Labour and Social Services on the Basic Education Assistance Module (BEAM) through the provision of data and briefing notes.

The shift to more upstream work in education which occurred during and directly after the humanitarian crisis in 2008 has sent the ZCO off along a path which it is now pursuing proactively. 2013 has brought a number of challenges with a change of UNICEF Country

Representative and Chief of Education at the same time as political change. There were relatively long vacancy openings in both posts over the election period. At the same time a new ZANU-PF Minister of Education and Cabinet were appointed. A period of uncertainty over continuation of the Education Medium Term Plan (EMTP) ensued, as this was the policy framework for education during the GNU.

Coordination and Capacity Building

Coordination has been a key area of strength and a route into upstream work in education for the UNICEF CO in Zimbabwe. UNICEF's role in bringing together the different partners in the education sector and creating a united voice to government and donors was mentioned by numerous interviewees as having been invaluable, particularly during the crisis. International and country level NGOs, often constrained by the suspicion with which they have been regarded by government,¹³ benefited from a forum for discussion and could make UNICEF aware of pressing education policy issues. Where possible and relevant UNICEF has raised such issues at higher levels.

It seems in Zimbabwe that the vacuum which followed the humanitarian crisis gave UNICEF a unique opportunity. Actors were all looking for someone to act, to unite the different parties and set an agenda. Donors were keen to move out of the emergency phase and needed an alternative way to put money into the country as they could not use government systems. The role that UNICEF had played throughout the crisis in coordinating and hosting the education cluster had given it good reputation and a network of relationships. Work put in before and during the crisis on data, evidence collection and planning resulted in UNICEF being recognised as a "central hub for knowledge and evidence" on education (UNICEF, 2009a).

¹² Under the new government, since July 2013, MoESAC has become the Ministry of Primary and Secondary Education (MoPSE).

¹³ All NGOs were banned from field activities (i.e. leaving Harare) during the elections from June until August 2008. The reason government gave was that some NGOs were supporting the MDC although no evidence of this was provided.



UNICEF also built close relationships with government, particularly Minister Coltart and his directors. Government appreciated the longevity of UNICEF's support and their willingness to engage with and support MoESAC. UNICEF importantly were also seen as neutral, which in a highly charged political environment was key to their success in building links with both political parties in the Government of National Unity.

As a result, when it came to the suggestion of the Education Transition Fund, donors saw UNICEF as the obvious candidate to manage the fund.¹⁴ In the words of one donor, UNICEF was "the only politically acceptable option". UNICEF has positioned itself uniquely as a neutral partner able to engage in fruitful dialogue with government, donors and CSOs. It had also proven its ability to manage multi-donor funds through the work it had done on OVCs in the first half of the evaluation period. This combination of factors and UNICEF's willingness and ability to step up and take the challenge has given it an opening to engage in upstream work in conjunction with and on behalf of other partners in the education sector.

In 2012, the education cluster reverted post-crisis to an education sector working group and has been gradually handed over to government. However, UNICEF still acts as a convener of discussions in the education sector through its brown bag lunches which are open to all partners and through its key role in hosting and managing the ETF which is the principle source of education funding.

UNICEF Zimbabwe has not specifically focused upon capacity development during the period: there has been no gap analysis or targeted sector wide attempts to build sustainable capacity. However, it has, through specific programming, increased institutional capacity

by developing and strengthening systems e.g. linked to EMIS data and ZELA surveys. Whilst UNICEF has worked closely with government it has struggled to hand over fully to government and is still fairly reliant upon consultants and UNICEF staff. Capacity is already fairly high in MoESAC; in the words of one government official, "policy has never been a major problem for the government the problem is more about how to implement the policies". This also points, from the government side, to a feeling that upstream in the sense of capacity development may be less important than making funds available for key inputs (implementation). However, there remains a major challenge due to the freeze of appointments and the brain drain that occurred during the crisis. This has led to talented people leaving education (at all levels) and not being replaced. Some central government departments are still very short-staffed. Whilst UNICEF TA and UNICEF staff have worked alongside Ministry officials, restrictions imposed by MoESAC on TA sitting in the Ministry and restrictions from donors on putting donor money through government systems make some of the conventional methods difficult.

UNICEF – Differentiation from others

UNICEF Zimbabwe has excelled in marking itself out and playing a productive role within the landscape of national and international partners in education. It has no doubt benefited from a context in which the World Bank is largely absent in country and UNESCO has a small education presence in the country. Interviewees indicated that UNICEF had been good at identifying gaps and responding to the opportunities that the context provided. UNICEF has differentiated itself from others by building a strong technical team in education at a time when other donors are cutting back.¹⁵

¹⁴ The global UNICEF Education in Emergencies and Post Transition (EEPCT) Programme of which UNICEF Zimbabwe was a part and which received funding from the Netherlands over a five-year period from 2007–2011 enabled a smoother creation of the ETF and contributed to its funding.

¹⁵ The EU and Netherlands have cut education advisors as have UNESCO during the evaluation period. As a result only DFID and GIZ have education advisors on staff.



As the focus of the education team and the CO as a whole has moved upstream, staff with specific upstream experience and connections have been recruited (this occurred particularly in 2010 when the education team was restructured). Staff capacity in the education team was also increased from 8 full time staff in 2010 to 14 in 2012.

Partly through the coordination role that UNICEF has played in the education sector but also due to the calibre of staff employed and the organisation's "neutrality" as a UN agency, UNICEF has developed a role of managing the relationships between the different partners. UNICEF is seen as a long-term and neutral partner by government and is trusted by donors to deliver. UNICEF's strategic sense and diplomacy in managing difficult relationships within MoESAC, between donors, NGOs and government was acknowledged by many of those interviewed. Important players in this were the Country Representative, the Chief of Education and national staff within the education team.

The fact that donors chose to put large amounts of money into the ETF (and later other transition funds¹⁶) when there were many questions coming from their home constituencies about funding Zimbabwe was an indicator of the trust in UNICEF. Through the ETF textbooks, UNICEF demonstrated that it had capacity to implement and deliver on a national scale. This has given it credibility in the sector with all partners and has opened up discussions on policy both within government and between donors and government.¹⁷

UNICEF Zimbabwe education resources

Information about resources at the disposal of the UNICEF education team in Zimbabwe has not been easy to put together in substantial detail. Longer-term, consistent time series

of country office spending by programme or function and item (economic classification) were not available. Staff complements are not published regularly and the research team did not manage to gain access to systematic information about technical assistance used by the country office. Assessing shifts in staff capacity is inherently difficult. All these factors make it difficult to link inputs, activities and outputs, all necessary to make judgments about efficiency.

Available financial and staff information, however, point to a significant expansion of the education component of UNICEF Zimbabwe over the period of the study.

Compared to a 2005 UNICEF Zimbabwe education budget of \$2.6 million, the planned budget for 2012 was \$36 million. The rapid acceleration in spending started in 2008, with BEGE actual expenditure jumping from \$2.9 million in 2007 to \$8.4 million in 2008 and increasing to \$19 million in 2009. Actual expenditure reached \$39 million in 2010 before falling back somewhat to \$25 million in 2011 (all data from annual reports). However, whilst project funding through the ETF has increased massively the CO receives, proportional to its overall budget, very low amounts of regular resources (from HQ). This restricts the flexibility of the CO as external resources tend to come with conditionalities and are targeted; in Zimbabwe the condition not to directly fund government partners limits what UNICEF can do with the money.

With regard to staffing, Table 2.2 shows that between 2005 and 2010 staff numbers grew steadily, doubling from 4 in 2005 to 9 in 2010. In 2011, 4 appointments were made into new posts and 6 in 2012, with 4 posts abolished or becoming vacant in 2012. This brought the total staff complement to 14 in 2012. In addition, UNICEF Zimbabwe relies extensively on technical assistance and delivery to schools and districts by international and national NGOs.

¹⁶ There are also transition funds for health, water and sanitation and social protection.

¹⁷ Prior to this there had been very little dialogue.



TABLE 2.2 UNICEF Zimbabwe, BEGE staff 2005 to 2013

	2005	2006	2007	2008	2009	2010	2011	2012	2013
Chief of Education	1	1	1	1	1	1	1	1	1
Education Specialist (ETF) P4 Level								1	1
Education Specialist (Quality) NOD level							1	1	1
Education Specialist (Quality) NOC level	1	1	1	1	1	1	1	1	1
Education Specialist (Access) NOC level									1
Education Specialist (Curriculum) NOC Level								1	1
Senior Programme Assistant GS7	1	1	1	1	1	1	1	1	1
Programme Assistant GS5								1	1
Programme Assistant GS5						1	1	1	1
Education Officer (Construction) NOB Level				1	1	1	1		
ECD Officer NOB level	1	1	1	1	1	1	1	1	1
HIV/AIDS Specialist NOC level								1	1
Education Officer (JPO) P2 Level								1	1
Education Officer NOB level								1	1
Education Officer (Out of School) NOB level									1
Education Officer NOB level (BEAM)							1	1	
Education Specialist NOC Level							1	1	
Education Specialist (Environ Health Edu) NOC level			1	1	1	1	1		
Education Specialist (Life Skills Specialist) NOC Level		1	1	1	1	1	1		
BEAM/ETF Officer NOB Level							1	1	
Total staff	4	5	6	7	7	8	12	15	14
New post appointments		1	1	1		1	4	6	2
Posts made empty/abolished								3	3
	Person in post changed								
	Appointment in new post								
	Post made empty/abolished								

Source: UNICEF, Zimbabwe Country Office (HR section)



CHAPTER 3

EVALUATION FINDINGS

3.1 THE RELEVANCE OF UNICEF'S APPROACH TO UPSTREAM WORK

This section looks at the relevance of UNICEF's upstream work (as listed in Annex 5) to the context in Zimbabwe between 2003 and 2012. Relevance refers to whether "aid activities are suited to the priorities and policies of the target group, recipient and donor". In terms of the evaluation framework, relevance was assessed relative to the UNICEF mandate and objectives, alignment with emerging priorities for education in Zimbabwe and alignment with government priorities.

UNICEF's upstream work has been clearly focused on improving access to and quality of education which feed strongly into the mandate to expand children's rights and the rights of the girl-child in particular and to expand the opportunities of children to reach their potential. Access and quality of education was a strong priority of the Zimbabwean government in the first two decades of democracy, and remains such for the population, although government policies in general have also impacted negatively on education.¹⁸ There is therefore a strong common interest and agreement between UNICEF in terms of the main thrust of education work.

In the initial period to 2008 UNICEF involvement focused on key obstacles to access and quality, namely non-attendance by orphans and vulnerable children, unequal access to early childhood development and improving the school environment as set out in the pillars

of child-friendly schools. Support with regard to EMIS and evidence-gathering and assessment more generally was premised on the need to identify obstacles to access and quality for evidence-based programming.

One initiative that was particularly strongly welcomed by government was the Child-Friendly Schools (CFS) framework which was introduced around 2004. Not only was CFS later taken up as policy by the Ministry but it continues to be much discussed by staff at the Ministry. It was brought up in all of our meetings with government, and was considered useful because it helped bring together in one place ideas that were already part of Zimbabwean education policy. The CFS programme included training at District and Provincial levels and in the words of one interviewee "as it spread, it became a way of doing things". Later during the period in the wake of the crisis in education both CFSs and ECD were, in the words of UNICEF, "mainstreamed" into the design of the ETF where this work continues and the focus has shifted from downstream to upstream. However, top-level government officials in particular felt that this was a loss as they believed in and owned both of these ideas and felt that by changing the name or making them part of something else confusion was being caused. These two elements of UNICEF's work earlier in the period were held up as examples of a start to a shift upstream by the ZCO.

While the National Plan of Action for Orphans and Vulnerable children was broad-based, other aspects such as child-friendly schooling

¹⁸ Government policies which have resulted in lack of growth in the economy have led to cuts to the education budget. Political instability created by government policies such as land reform restricted access to education.



and ECD interventions could be faulted on relevance due to their small scale and a failure to move beyond piloting. In an education system that was spiralling downward, the scale of these UNICEF programmes could not be expected to have much of an impact.

For the post-crisis period it can be argued that the broad thrust of education interventions stayed relevant and that the shift from humanitarian support and coordination to rapid, large-scale action to provide materials to schools (ETF 1) and a shift to longer-term system strengthening through “school and system governance,” “teaching and learning” and “second-chance education” (ETF 2) show appropriate UNICEF responsiveness to the changing context. Certainly the majority of stakeholders interviewed (comprising donors, NGOs and MoESAC) raised no concern about the relevance or appropriateness of UNICEF activities (both upstream and downstream) in the country.

The UNICEF programme is therefore well-aligned with the government’s medium-term education sector plan, although there may be some disagreement on specific methods of promoting access and quality. A senior government official expressed the view that physical infrastructure and programmes such as CFS are not getting their due in strengthening the education system and that the drive on school improvement grants may reflect donor and UNICEF preferences rather than optimal programming.¹⁹ In general the extent of alignment, however, seems high.

UNICEF’s awareness of the need for data and evidence even in the midst of the humanitarian crisis (2008/9) has enabled it to be relevant to the context. During the period UNICEF has therefore carefully managed the balance between humanitarian and immediate relief work (textbook provisioning and the Emergency Education Response and Preparedness Network or EERPN) whilst also working closely with

government to identify and implement more developmental interventions. UNICEF’s “crucial role” in bringing together the donors and government to form the ETF was also a very timely and therefore relevant intervention. In addition, the design of the ETF was relevant to the Zimbabwean context. As one interviewee pointed out, it wouldn’t have “been successful in Sudan where there is no history of institutions to support state building...ETF did not come into an empty shell”. ETF built on the fact that Zimbabwe has a strong legacy of systems that work – and a people who have seen a working education system.

UNICEF’s approach throughout the period was deemed to be relevant by stakeholders, although review of the principle focus of activities suggests that it is after 2009 that UNICEF focused increasingly on upstream work. UNICEF has managed to maintain the relevance of its programme by continuing to show its ability to engage in and implement downstream work. The idea of helping the education sector to transition away from purely humanitarian work was well timed and well received. However, the next step for the ETF after 2015 and for UNICEF is less obvious and there is a risk to UNICEF that amidst the challenges of implementing and spending the ETF budget it could lose its upstream focus.

3.2 THE RESULTS OF UNICEF’S UPSTREAM WORK

Methodological issues

The previous section and Annex 5 set out UNICEF’s ZCO upstream activities between 2003 and 2012. It is argued that after 2009 there was a significant shift upstream. This was evident in the national reach of interventions (both through participation in national processes and in nationwide delivery of inputs via implementing partners), with an increasing role in

¹⁹ The new government wants to prioritise infrastructure and UNICEF has sought to respond to this providing support to a major infrastructure event in December 2013.



coordination and mediation between stakeholders, and an intensification of work on generating evidence and support for planning processes and in eliciting and managing key funding flows. This section asks what the results of this intensification of upstream work in this critical period were, in relation to “upstream intermediate outcomes” and “upstream impact” as set out in the project theory of change. In addition to spelling out some key areas of influence of upstream work, three case studies look in more detail at UNICEF activities and discuss the links from activities to results.

In looking at “upstream outcomes and impact” it is important to recognise that we are not concerned with impact or final outcomes of the education system improvement such as increased completion and retention and increased cognitive achievement. Instead, the focus is on results that over time will lead to improved education sector outcomes. Jones (Jones, 2011:2) refers to these as measures of “policy influence”; namely: impacts on attitudes; discursive commitments by government; procedures, policy content and legislative reform; and, behavioural change. Upstream work can also be seen as activities impacting on country capacity for education management (see Chapter 1 and the overall theory of change).

In identifying the results of UNICEF's upstream work, the matter of attribution of influence is important. Throughout the period there have been a range of actors in the education space, from local NGOs, international NGOs, UNICEF and its UN partners to a range of donors as well as the government (at national, provincial and district level) and providers (schools). Therefore, UNICEF has been just one of many players and its contribution cannot be measured quantitatively with any precision. An assessment of the relative role of UNICEF therefore depends on the assessments of stakeholders who participated in relevant processes. In general it is clear that UNICEF cannot be given all the credit for shifts that have taken place, but the assessment

is that it played a crucial role in stabilising the education system and putting it on a trajectory, over the medium term to long term, to wipe out the downward slide in education between the late 1990s and 2009. The specific contribution of UNICEF is identified further when we look at factors behind the results in the next section.

Result areas

UNICEF has been central to ensuring that dialogue continues in the education sector in the aftermath of the crisis. It had strong links with the NGOs through the Education Sector Working Group (ESWG) which operated up until 2008, and thereafter in the Education Cluster. For the cluster they provided a coordinator and work and meeting space. However, interactions took place through a range of other mechanisms – staff, from the Country Representative to individual BEGE staff members, liaised at a number of levels with the Ministry – and there was strong interaction from the representative and BEGE Chief with donors, keeping them up to date on developments and assessing options. In terms of Jones' categories, these mediating and coordinating activities of UNICEF can be described as **impacting on procedures** at the national level. In a very polarised environment between government and donors, UNICEF managed to build bridges and opened up “new spaces for policy dialogue,” initially for dialogue about how to reverse the crisis but later on also starting to focus on key issues of transition and building longer-term capacity in the education system. UNICEF kept the education conversation going and effective coordination of interventions (especially textbook delivery) lifted morale in the sector and expanded the sense of what was possible.

In 2009 a situation existed where Government, through MoESAC, underestimated the extent of the crisis or could not be convinced of the urgency of action, and donors were seemingly prepared to continue with existing initiatives (such as BEAM²⁰) although these were going

²⁰ Subsidising school places of orphans and vulnerable children.



into increasingly non-operational schools. In this context UNICEF's consistent work on making available evidence of conditions on the ground – through on-going support to EMIS, through building information networks through the Education Emergency implementing partners and sponsoring, undertaking or supporting key studies – started paying off and led to “**attitudinal** change” (Jones, 2011) on the side of both government and the donors.

The availability of evidence also resulted in **behaviour** change, namely for decisions to be based on evidence rather than on out-dated perceptions and knee-jerk responses. The availability of evidence and technical support also made possible the strengthening of planning to guide government and donor resource allocation and to solicit new resources from donors, in particular through the GPE. The development of the school improvement grant system is an example where analysis of the current situation provided an indispensable base for the design of the new system.

The impact of UNICEF's coordination and support work on **capacity for education management** can be looked at from two perspectives. Some aspects clearly contributed to capacity for education management in a very direct way. Examples are the provision of computers and software and technical support for EMIS activities, the funding and execution of ZELA (Zimbabwe Early Learning Assessment) and the support for a functional office for the incoming Minister of Education in 2009. Another instance is that school monitoring by the Education Emergency Response partners, which are accompanied on their visits by district officials, has enabled district officials to reach schools which they have not been able to do for a long time due to a scarcity of vehicles and budgets for transport. While not strictly upstream (they should be part of routine monitoring of schools by the government), these activities are essential for system strengthening over time, and also for planning and project design.

The latter (school monitoring via UNICEF and contracted NGOs) is an example of the setting up of parallel systems by UNICEF and its partners. This has also happened in other areas such as textbooks, training, school support and the provision of the second chance component through NGOs. Such parallel systems may over time weaken government and reduce sustainability and cannot always be seen as upstream work. In this case, through revitalising moribund government systems and ensuring evidence, they relate strongly to system improvement and capacity to manage.

The large majority of stakeholders interviewed believe that UNICEF's role in creating space, changing attitudes and behaviour and supporting capacity was critical in the rapid stabilisation of the education system after 2008 and moving to a higher level of functionality quite quickly. While the political settlement, dollarization of the economy and a teacher amnesty were all important (as perhaps was the inherent strength of a decentralised system), contributing to policy dialogue, the rapid deployment of resources for textbooks and other school resources and having available appropriate evidence were also critical.

Risks and challenges

While on balance UNICEF ZCO's shift upstream in education work was positive, the team also focused on identifying potential negative results and unintended consequences of this shift. One unintended result that needs to be guarded against is the potential loss of capacity in the Ministry as donors step in and do more in the sector and ownership shifts.

The size of the ETF in the education funding landscape puts UNICEF in a unique position as a fund manager for a large multi-donor fund. In 2010 ETF spend was about 7% of total spending on school education in Zimbabwe (\$359.6 million) and about 67% of non-personnel, recurrent expenditure. This leads to pressure to spend funds but also to a need to accommodate the preferences and ideas of a



range of donors and government. As a result, difficult compromises may be necessary. This poses a risk in terms of UNICEF maintaining its status as a neutral broker. On government side concerns were raised that UNICEF might be used to impose donor preferences rather than support government priorities and plans.

The ETF also meant a consolidation of education donor funding to Zimbabwe and the centralisation of control. This led to less direct access to donors for NGOs and some NGOs apparently also lost out in getting funding due to the shifts. This led to some unhappiness and strained relations with some NGOs.

The success of the ETF, and the distribution of textbooks in particular, also significantly raised the profile of UNICEF and donors in the education sector. Some concerns have been expressed that that may lead to less ownership by government of the gains made, and therefore potentially less sustainability.

Zimbabwe has a fairly decentralised education system with substantial autonomy of schools and communities in managing schools (see Acosta, 2011:24). Distribution of textbooks to schools, capacity building around the use of textbooks and further work with School Development Committees and the school grant design further strengthen this autonomy. Some interviewees with substantial experience inside the education system saw this decentralisation, and high level of community participation and responsibility for the schooling system, as a key strength of the Zimbabwean system.

Mini-Case Study 1: Support for EMIS and the evidence base for education planning and policy making

In the first year covered by this study, the UNICEF Annual Report identified the absence of up-to-date sectoral information as a constraint on evidence-based planning. This was despite long-standing involvement, from the early 1990s, by MoESAC in the UNESCO project on Education Development Indicators (EDI).

The project operated within the framework of 'Strengthening the National Education Statistics Information System' (NESIS). A comprehensive EMIS, also incorporating a finance module from the Ministry of Finance and a personnel module from the Public Service Commission, was anticipated. While some of these ambitions seem to have been frustrated by increasing scarcity of funds, by the early 2000s Zimbabwe had a functioning system of annual school censuses. The EFA 2000 reports are seen by some as evidence of the solid capacity of EMIS systems in some sub-Saharan countries, including Zimbabwe, at that stage. However, a lack of resources, and perhaps more importantly a growing political sensitivity about the implications of public awareness of a worsening system performance information, saw little official publication of data after 2000.

After 2003 a range of support mechanisms introduced by UNICEF to build education data are evident. Both routine sector information (the EMIS) and once-off evaluations and investigations in key areas were supported. Three other related initiatives were important: (1) work on the development of an M&E system for the National Plan of Action (NPA) for OVC; (2) following on the successful example in WASH, the development of "education atlases" documenting the type of NGO and donor interventions in education and their location in order to reduce duplication and overlap; and (3) using the education emergency network (three international NGOs and sub-grantees covering the whole of the country), initially focused on assessing and responding to emergencies in schools, to support provincial and district MoESAC officials "so that they can improve their capacity to supervise, monitor and support schools" and to "support the Ministry in EMIS data collection".

While in the earlier period 2003 to 2008 there was support for EMIS and evaluations, the period from 2009 sees a more focused conceptualisation of the role of data and evidence and a more comprehensive approach to strengthening EMIS (through, among other things, a



5-year EMIS roadmap developed in 2011), and also a shift of focus to outcomes of the educational system as is evident in the Zimbabwe Early Learning Assessment. These shifts were motivated in the 2009 Country Annual Report and supported by the 2010 Country Programme Mid-term Review.

The 2009 Country Annual Report underlined the need for upstream work on evidence:

“it is important to note that the design and planning of the MIMS were conducted as the country was still in the midst of its major national crisis during 2008, but demonstrates how critical it is to drive forward sound research, particularly during unstable times, so as to prop-up early recovery and transition efforts based on evidence for children and women.” (UNICEF, 2009a)

The 2010 Mid-term Review (MTR), developed by the Zimbabwe Country Office, also proposed a stronger UNICEF positioning as “central hub for knowledge and evidence”, partly because knowledge management is seen as central to influencing policy. Both with regard to “sectoral policy development” (and influence) and “monitoring, evaluation and knowledge management” more systematic “attention” and a “systematic approach” was recommended in the MTR. In the ZCO Annual Report of 2011 “evaluation and research” are identified as one element of a three-pronged attack composed of programming, policy and knowledge management (evaluation & research).

Activities

Box 2.1 provides examples of different activities related to EMIS and broader knowledge management over the period 2003 to 2012. At least six ways in which UNICEF provided support can be identified:

- Provision of “infrastructure” (for example, hardware and software for EMIS units).
- Training and capacity building for officials.

- Technical support in the finalisation and reporting of data.
- Initiating and supporting programme evaluations (such as of the BEAM) and investigations (such as the Zimbabwe Early learning Assessment).
- From 2010 onward, and funded from the ETF, support with development of EMIS planning and plan implementation resulting in the Medium Term Sector Plan.
- Support to produce the EMIS five-year plan.

The 2011 Roadmap, developed with Government, points to the need for EMIS data to support key activities in the education sector such as planning, resource allocation, reporting and accountability and efficient administration. It sees the ultimate outcome as “an online system receiving regular data from a range of operational systems” (UNICEF Zimbabwe, 2012i). Several phases are spelt out in putting in place this fully developed system, with a separate component providing for the provision of a computer and generators for 1,024 cluster schools.

- Phase 1 (2012–13) aims at re-establishing that EMIS data warehouse, improving capacity and training, decentralising some of the Census functions and increasing the use of information for planning, monitoring and evaluation.
- Phase 2 (2013–14) aims at further strengthening of the census system and data warehouse and monitoring of the system, and also building capacity for the Human Resource Training System.
- Phase 3 (2015 onwards) aims at continued strengthening and promotion of the School Information System to support operations at larger schools and provide more comprehensive data on students and teachers. EMIS hubs will also be decentralised during this period.

**BOX 2.1****Evidence on EMIS support and capacity development, and related research (extracts and summaries from UNICEF ZCO annual reports)****2003:**

Common Country Assessment identifies “lack of recent national data as a glaring gap in the development of evidence based social programming, with most data ending in 1999/2000.” “... routine sectoral information systems such as the ... Education Management Information System have been weakened.” “Frequent staff turnover has led to a decline in capacity”

2004:

“... supported the MoESAC in analysing the annual education census data for the period 2000 – 2004” and “formal data analysis training” to ensure continued production of relevant information. Also a series of studies: review of gender issues in education; evaluation of the pilot girls’ education project; evaluation/ school by school performance assessment of the schools that benefited in the construction project of 2003; evaluation of the HIV/AIDS education project; the review of the ECD experience in one district, and; a contribution to the country programme OVC baseline survey.

2005:

“... supported the drafting of the M&E plan for the NPA-OVC.” Analysis of 2000 to 2004 EMIS data completed and report drafted and awaiting government clearance. Stated that “report used widely by key stakeholders for planning and advocacy work.” “UNICEF trained 35 district education officers... from 18 districts in basic M&E, data analysis, and DEVINFO utilizing the EMIS data of 2000–2004.” “Ten computers and ten printers have been procured for ten districts ...” OVC survey in ten districts.

2007:

“Capacity development workshop for 20 education officers from 10 districts on data analysis ... culminating in the data entry and analysis of 2000–2006 education data and drafting of the 2007 EMIS Statistics report.” Workshop for 35 statisticians from Central Statistics Office and key line ministries. Development of the M&E system for NPA for OVC

2008:

Purchase and installation of 52 PCs and 52 laser jet printers in MoESAC and anti-virus packages on 3000 computers. Ministry proceeds with analysis of SACMEQ.

2009:

92 MoESAC staff trained in EMIS data collection, capture, analysis and reporting. Ministry staff proceeded with compiling of 2009 EMIS report

2011:

Advisors seconded to MoESAC, also on EMIS and quality assessment and some training also on EMIS. Partnering with UNESCO and Association for the Development of Education in Africa (ADEA) on EMIS. Cambridge Education used to support MoESAC in developing a five-year strategic plan for comprehensive EMIS plan & operationalization (Road Amp). Australian Centre for Educational Research secured to support ZIMSEC with execution of Zimbabwe Early Learning Assessment. Support to Ministry of Labour and Social Services on national evaluation of the Basic Education Assessment Module.

2012:

Support to finalisation of 2009 EMIS report; 2012 EMIS data collected, captured and cleaned and draft report prepared [ETF funded capacity building activities and data collection, capture, cleaning and analysis, in partnership with ADEA Working Group on Education Management and Policy Support (software development) and UNESCO (support to capacity building)]. ZELA report readied for Cabinet. Availability of data key facilitator of completion of the Education Medium Term Plan, an operational plan for GPE processes and design of School Improvement Grant system.



Outputs and results

Support in the area of EMIS and other studies is being frustrated by the reluctance to release information.²¹ Thus none of the EMIS reports supported (2000–2004, 2009 and 2012) seem to have been officially released yet.²² In spite of this, these data have been fairly generally available to the Ministry and to partners to be used in planning and programming. Recent data support and analysis have been particularly useful in that they fed into the development of plans to transition out of crisis and into more systematic development of the sector. The evidence through EMIS as well as through other mechanisms (such as the Education Emergency Network) has also been instrumental in convincing the Ministry and donors of the urgency of interventions and to change approaches. A remaining question is whether current efforts have gone far enough in the direction of a more “systematic approach” to “monitoring, evaluation and knowledge management” as was recommended by the 2010 MTR. Although recent events, since the evaluation visit, indicate an increased momentum,²³ challenges remain with dependency on TA, and it is important to note that capacitated systems will take time to develop and sustain.

Compared to earlier interventions, the recent focus on longer-term and more comprehensive planning for EMIS development, as well as a focus on learning outcomes and research strategy for MoESAC, are positive developments. These shifts can be related to, and support, the broader shift to upstream work aimed at policy and national impact. Since the evaluation visit a firm commitment has been made by MoESAC to publish findings from EMIS and ZELA. This marks a shift away from the past and should lead to greater data transparency.

Mini-Case Study 2: Child Friendly Schools 2004–2012

The basis for what was called child friendly education (CFE) and is now commonly referred to as child friendly schools (CFSs) came out of the Convention on the Rights of the Child which was adopted and opened for signature in 1989. From this convention came UNICEF’s UN mandate to support states who were signatories in the implementation and reporting of their obligations under the convention. It also prompted a shift within UNICEF from ‘needs based’ to ‘rights based’ programming in education. CFSs became a key element of UNICEF’s global objectives in education; it also became a key indicator for UNICEF in terms of progress in education. In 2004, under the banner of “Schools for Africa” UNICEF, its national committees, the Nelson Mandela Foundation and the Hamburg Society for the Promotion of Democracy and International Law launched a multi-country partnership, a key focus of which was promoting CFE. They were to advocate that schools should be designed and run in a way that enabled children to learn in a safe, healthy, secure, stimulating and protected environment (Umar et al., 2012).

UNICEF Zimbabwe started using the CFS framework in relation to encouraging girls in schools in 2003/4 (UNICEF, 2003). In 2004 they were one of the first countries to apply for funding through the Eastern and Southern Africa Regional Office (ESARO); the project targeted OVCs and their right to access schooling. It was a five-year project and included HIV/AIDs and life skills education and educational quality improvements – whilst it picked up on many of the aspects of CFSs it did not mention the idea specifically or refer to the framework (UNICEF, 2004).

²¹ Although since the evaluation visit this has changed under the new Minister who is keen to release data in a timely fashion.

²² Since the evaluation visit 1,500 copies of the EMIS 2012 report are being printed and made available. Data for 2013 have been collected and processed and the analysis is almost finalised. The current Minister is keen that it should also be published externally.

²³ A first comprehensive sector performance review and education conference are planned for 2014.



The CFS framework was introduced to government in conjunction with an education tool kit. There is no mention of CFSs in the ZCO Annual Reports for 2004 or 2005 but by 2006 UNICEF was working in five districts, piloting the CFSs approach with ten schools in each district. UNICEF provided training and some budget to schools to encourage them towards the CFS indicators. The concept was something which government recognised, as elements of it were already part of education policy in Zimbabwe. The CFS concept brought many familiar ideas together in one package and so was quickly embraced and used by government. Government minimum requirements were built around the UNICEF pillars of (1) easy access; (2) community ownership (with non-salary expenditure coming mostly from parents); (3) health and life skills; (4) the quality of the learning environment (physical & emotional); and (5) educational outcomes. In 2006 a Ministerial circular was sent (MoESAC, 2006 – number 41) to Directors at head office; Provincial Education Directors; District Education Officers; Education Officers; Heads: Primary and Secondary Schools; Responsible Authorities; and the Teachers Unions, to outline what a CFS was and to explain that this standard would be used for the promotion of quality education in Zimbabwe. In the words of a UNICEF staff member “UNICEF was the catalyst that speeded up the Zimbabwean Government’s embrace of the CFS concept and approaches”

In December 2007 The Herald newspaper ran an article entitled “Zimbabwe: Ministry Introduces New Policy Theme.” In the article MoESAC was reported to have introduced a new policy theme called “creating child friendly schools”; this was part of its efforts to implement the recommendations of the 1999 Presidential Commission of Inquiry into Education.

In 2008 UNICEF continued the roll-out of the CFS initiative to a further 250 pilot schools throughout Zimbabwe. Training was provided by UNICEF to parents/caregivers in parenting education in the CFSs. Two central government staff were trained by UNICEF in CFSs in order

that they might drive implementation at school level. And in 2008, MoESAC, also having officially adopted the CFS concept, trained 350 head office, provincial and district personnel in the implementation of the CFS methodology in preparation for its mainstreaming in all schools which was to begin in 2010. The Ministry also started to develop a CFS monitoring and assessment tool (UNICEF, 2009a). Further training was provided in 2009 in Nairobi to another delegation from Zimbabwe; this delegation included the then Provincial Education Director (PED) of Manicaland. The experiences of those trained fed strongly into the next phase of CFS development in Zimbabwe.

Managed by the PEDs, training was provided for senior managers and teachers. Training occurred at cluster level (groups of 6–10 schools) and the costs were kept to a minimum. In 2009, Plan International launched its “Learn without Fear Campaign” following a baseline study which showed a high level of violence against school children. The government linked this to its child friendly schools initiative which was pushing for teaching staff to adopt child friendly teaching methods.

By 2009 UNICEF was grappling with a huge and growing programme, the ETF had started and UNICEF was also very involved in work on BEAM. In their 2009 Annual Report it talked for the first time about “mainstreaming...the ‘Child Friendly Schools’ concept, already adopted and piloted by the MoESAC.” (UNICEF Zimbabwe, 2009a– AR: p.24-25). By 2012, there were about 197 UNICEF pilot schools under CFSs (of a total number of schools of 8,000) which had: stationery for every pupil, 1:1 textbook pupil ratio in four core subjects (Mathematics, English, Science and Vernacular language), segregated latrines for boys and girls, a water source and hand washing facility, aerated and well-lit classrooms, and an ECD centre (UNICEF, 2012j).

Whilst “Minimum (Functionality) Schools Standards” (essentially a compilation of all past circulars related to school standards and CFSs) have been published, UNICEF no longer



has a specific CFS programme. Instead, funding for CFS has been mainstreamed into ETF funding: The idea is that schools have a choice to fund the CFS pillars through their school development plans which will be funded by school improvement grants. As the plans will be approved in line with guidelines for minimum school standards in Zimbabwe, theoretically the elements of CFSs should be brought into this assessment.

The CFS framework has been popular with central government and was mentioned repeatedly in interviews with government officials. Some government officials and NGOs felt that the way that CFSs had been mainstreamed was not adequate. The programme which had been gradually rolled out across the country and incentivised in some Provinces with awards had “fizzled out” as UNICEF turned to other priorities. Senior UNICEF staff admitted that parts of UNICEF’s programme such as “the CFS programme and girls education” were shut down so they could be integrated rather than run as separate projects. The focus shifted: “all the emphasis” was put on the ETF as the ETF was considered to be “critical and more likely to be sustainable.” This shift although understandable should perhaps have been better handled and communicated to government who felt let down by what they saw as a sudden decision to stop funding CFSs. In the words of one government official:

“We had just introduced the CFSs concept – people had accepted it – parents and communities were really enthusiastic about it. We had reached Provincial level but then the donors felt we should go the way of school improvement grant. Suddenly the car we had ordered to work on CFSs was moved to school improvement grants... We were made to swallow this even though our policy said something else”

There are real issues about the relevance and feasibility of the CFS approach in Zimbabwe which was introduced at a time when the education system was falling apart.²⁴ The concept was picked up by government and integrated into government policy and in this sense was successful to some extent. However, although the pilots and resultant training were popular with government and seemed to be taken on board, there were no available funds for government to take the CFSs idea any further and MoESAC was struggling to pay salaries. Only time will tell whether these ideas will impact on how schools spend their school improvement grants and how government allocates its future education budget.

Mini-Case Study 3: Education Transition Fund 2009–2013

The design and the establishment of the Education Transition Fund (ETF) by the CO have been significant during the evaluation period for a number of reasons. Firstly, it was a key innovation in funding post crisis in Zimbabwe and possibly, in line with the aid effectiveness agenda in fragile states, could be used more broadly; secondly, it has provided the education team with a steady and significant stream of funding, giving them for the first time the role of fund manager. Thirdly, for the CO as a whole the ETF paved the way for other transition funds in health, water and sanitation and protection; as the ETF came first it worked as a blueprint for UNICEF. And finally the ETF was seen by many of those interviewed as having been a catalyst for change and improvement in the education sector of Zimbabwe.

In the context of this evaluation of upstream work in education, the key questions to be asked are: has the ETF helped the CO move upstream? Has it enabled or constrained UNICEF’s work in policy, planning, advocacy and influencing? Was the reason for taking on the ETF driven by strategy

²⁴ The decision to roll out CFSs at this time was taken in part because of a lack of data and therefore an incomplete picture as to the state of the education sector.



or opportunism? And if opportunism, was this followed by strategy and process systems? And has the ETF helped the CO achieve its BEGE objectives?

From 2007–2010 UNICEF managed a multi-donor pooled fund, known as the Programme of Support (POS). This was designed to provide assistance to the 1.5 million orphans and vulnerable children (OVC) in Zimbabwe. The POS aimed to increase donor harmonisation and government involvement in this important area of child protection. In 2010 the POS was evaluated; lessons from this evaluation and according to some interviewees the experience and credibility it had earned UNICEF were part of the process which led to the design of the ETF. This new funding mechanism needed to bring partners together in a programme rather than a project approach which could have national scale impact under the leadership of the government line ministry.

The idea of the ETF was first mooted in discussions between DFID and UNICEF in 2008. UNICEF (the then Country Representative) was looking for a way to raise the profile of education in the midst of the crisis which had resulted in a focus on “saving lives” rather than education. DFID was looking for a way to transition out of providing just emergency funding towards something that would help Zimbabwe in the longer term. There was awareness that Zimbabwe, although in the midst of a crisis, had been a middle income country and that the aim should be to return it to this status. Following the formation of the Government of National Unity in early 2009 and the appointment of an MDC Minister for Education who adopted a different approach and asked the donor community for help, the context was ripe. A transition fund would enable donors to put money into the education sector while the sanctions against the country made it impossible for them to

fund through government systems. UNICEF was considered by donors the only “politically viable” option to manage the fund. It was also favoured by government who had a long-standing relationship with UNICEF and considered it neutral.

UNICEF liaised with the MoESAC and with donors in order to create consensus and in September 2009 the ETF was launched by the government of Zimbabwe, UNICEF and the donors. Its initial aims were to improve the quality of education for children through “the provision of essential teaching and learning materials for primary schools, and high level technical assistance to MoESAC” (Kuiper and Warinda-Ndanga, 2013). By the time of the launch support had been secured from the governments of Australia, Denmark, Germany, Netherlands, New Zealand, Norway, Sweden, United Kingdom and the European Commission (Dolan et al, 2011). As Table 3.1 shows, the number of donors grew over the lifetime of ETF I.

The key achievement under ETF I was the delivery within 18 months of its launch of 13 million textbooks, stationery and storage facilities to 5,300 primary schools. The preparation, procurement and distribution of these items was complex and in the case of the textbooks fraught, but by the start of the 2011 school year there was a 1:1 ratio books per pupil of text books for the core subjects: English, Mathematics, Environmental Science, Social Studies and one vernacular language (Dolan et al, 2011). An evaluation of the primary text book distribution declared it “an overwhelming success”, 99% of schools had received the books and 82% of schools were using them daily (Kuiper, 2012: p.32). Data from the survey also seemed to indicate that “an improvement in the quality of learning will very likely have been enabled by the ETF resources” (ibid).



TABLE 3.1

Profiles of the Education Transition Funds I and II

	ETF I (2009–2011)	ETF II (2012–2015)
Overall objective	To improve the quality of education at national level for children in Zimbabwe.	To support the continued revitalisation of the education sector by assisting the GoZ to achieve universal, equitable access to quality, relevant basic education for all.
Specific objectives	<ul style="list-style-type: none"> -To decrease drop-out rates by procuring and distributing textbooks and learning materials to all 5,300 primary schools, according to need, to reach a minimum 2:1 pupil/textbook ratio. -To improve access of MOE to high quality technical assistance. 	To support the continued revitalisation of the education sector by assisting MoESAC to realise its objectives of universal, equitable access to quality basic education. By assisting MoESAC to strengthen delivery mechanisms, improving the quality of education, improving access, retention and achievement of learners with particular attention to OVCs
Focus area	The provision of teaching and learning materials with a special focus on textbooks.	Investing resources at school level nationwide through a block grants initiative with the aim of reducing user fee costs for all learners. Three main output pillars: 1. School and system governance 2. Teaching and learning 3. Second chance education.
Target beneficiaries	2.5 million primary school children	Teacher training > 100,000 teachers Training of MoESAC staff > 300 from national, Provincial and District levels Training of >8,000 school heads Second chance education for >200,000 young people aiming to return > 100,000 school learners to mainstream education
Expected results	Reduce textbook-sharing ratio from 10:1 to 2:1 and provide adequate stationery for all 5,300 primary schools across Zimbabwe; - Strengthened capacity at MoESAC and for School Development Committees (SDCs) to ensure delivery of basic education; - Reduction in the direct costs of education to parents and caregivers.	<ul style="list-style-type: none"> - At least a 25% increase in learners completing primary (G7) from 68.2% to 93% by 2015 - Student learning outcomes at primary and O-Level improved by at least 10 percentage points by 2015 - A significant reduction in gender gaps, in terms of enrolment and achievement, ensuring a gender parity index of over 95% at ECD, primary and secondary levels by 2015, with a focus on children from lower wealth quintiles.
Total estimated cost	US\$51 million	US\$80,428,584
Established	September 2009	April 2011



Table 3.1 (cont'd)

Duration (planned vs. actual)	Initially planned to last one year until September 2010 in November 2010 programme objectives were amended in response to improved data and to spend money saved from text book procurement	Five years from 2011– 2015
Contributors	12 contributors: AusAID (\$1.6m); Denmark (\$1.9m); DFID (\$10m); EC (\$10m); Finland (\$5.8m); Germany (\$10m – in process); Japan (\$1m); Netherlands (\$1.5m through EECPT); New Zealand (\$1.2m); Norway (\$7.2m); Sida (\$2.4m); USAID (\$1m).	Seven contributors: DFID (\$71.3m ²⁵), EC (\$24.6m), Finland (\$6.9m), Germany (\$40.9m ²⁶), Norway (\$0.06m), OSISA (\$3m), Sida (\$0.5m). UNICEF to contribute additional resources for core senior staffing, operational research and operations support.
Fund Manager/ administrator	UNICEF	UNICEF
Governance	Education Coordination Group (ECG)	Education Coordination Group (ECG) ETF Steering Committee members are ETF funding partners, MoESAC, UNESCO and UNICEF which will serve as the Secretariat.
Programmatic Framework	No education framework though within the framework of the STERP and MTP under the GPA	Three thematic areas carefully aligned with the MoESAC Strategic Investment Plan (2011).
Modality	Pooled (or aligned) fund but project approach – not using country systems and does not include government funding	Pooled (or aligned) fund but project approach – not using country systems and does not include government funding.
Understandings and agreements	Project Budget Allocations (PBA) with UNICEF for 8/12 donors 4 donors have pooled funds and have one Project Budgetary Allocation (PBA) between them (DFID, AusAID, NZAID, Finland)	Un-earmarked financial support to help the implementation of coordinated interventions. Funding should be predictable and timely.
Principles of the ETF	The fund will be guided by the following overall principles: 1. Supporting the recovery of national capacity to deliver a quality education system through support to policy, planning and capacity building; 2. Building a sound approach to procurement that balances the need to respond to immediate needs and achieve economies of scale, with a phased reinvigoration of the national economy; 3. Strengthening overall efficiency and effectiveness of education initiatives	ETF II aims to be used as a way to improve education service delivery. It seeks to be a responsive and flexible means of supporting specific measurable interventions that meet high priority gaps within the education Strategic Investment Plan 2011. It aims to provide a platform to generate further funds for education as Zimbabwe recovers.

Source: Dolan et al, 2011: p.7, UNICEF, 2011e and 2013d.

²⁵ This total for DFID includes a soft pledge which is yet to be confirmed.

²⁶ This included a soft pledge of US\$10 million which Germany has confirmed since the evaluation visit.



Other achievements included the training of two School Development Committee (SDC) members from each school.²⁷ The training aimed to increase the capacity of schools to handle and store the new textbooks and to maximise the educational potential of the books. It also sought to increase parental and community ownership of the school and their materials to encourage accountability and sustainability. By January 2011 5,644 SDCs²⁸ had been trained with 99% attendance at trainings (Dolan et al, 2011: p.12). The provision of TA to MoESAC was a less successful element of ETF 1 and by January 2011 only 1.5% of the budget for this had been spent. Some work had been done on strategic planning but MoESAC in general did not see the need for TA and was reluctant to engage with this part of the programme (ibid).

Many of the results of ETF I described above and in Table 3.1 would be termed downstream activities. Had ETF therefore thrown UNICEF off its upstream pathway? Whilst it would be true to say that the management of the fund was a major undertaking for UNICEF and a task that used capacity from across the CO, the strategic benefits for upstream engagement were considered in the planning and implementation. Both during the formation and design of the ETF and subsequently through the ETF Steering Committee (SC), UNICEF developed and encouraged a strong platform for sector coordination and harmonisation between donors. In what is a difficult political context there was increased alignment of donors behind government priorities, policies and programmes. The ETF SC provided a forum for discussion between donors and MoESAC and facilitated the building of relationships which in some cases had been non-existent or problematic for years. The link in ETF governance

to the Education Sector Working Group also helped to bring about sector wide discussions and ownership. A number of those interviewed explained how the nation-wide scale of the textbook distribution had resulted in a significant impact which drew policy makers (from the two major parties) to the table for the first time. It opened up debate on learning quality and user fees. The ETF was seen by several interviewed as having successfully stabilised the education system – helping partners move from a purely humanitarian focus towards what was termed by donors “humanitarian plus”²⁹ It encouraged donors to provide longer-term and more predictable funding for education. In a context where previously donor inputs had been associated with specific projects and lacking in coordination this was an important step forwards. It also helped to achieve a measure of cross political party consensus on education which has survived the 2013 change in government.

The success of the ETF resulted in the transition fund model being used in other sectors.³⁰ UNICEF Zimbabwe manages all of these funds and this has created a way in to advocate for the social sectors. There had been increased discussion and lobbying by UNICEF and other partners on the need for government to increase its budget allocations to the social sectors. One interviewee felt that this had also raised the level of national debate around the need for government to take ownership of such key programmes as soon as is feasible. Such debates have contributed towards the increasing commitments made by treasury to the social sectors from 33% of the total budget in 2010 to 39% in 2012 (MoESAC, 2011b).

²⁷ The training was carried out by Save the Children and SNV.

²⁸ Four members were trained per SDC due to budget limitations.

²⁹ This was used by donors in Zimbabwe from 2009 to show that they were keen to move beyond the lifesaving, humanitarian mode in the social sectors but at the same time did not want to engage in development because of the connotations of a more formal political engagement.

³⁰ The Child Protection Fund was designed and launched in 2010 and the Health Transition Fund in 2011. A smaller pooled fund was created for urban water, sanitation and hygiene (WASH).



The management of the ETF has given UNICEF a key role at the policy table with government and donors – especially as the MoESAC has tight budgetary constraints. The non-salary recurrent expenditure of MoESAC has been declining rapidly since 2010 from \$20.6 million, to \$17.9 million in 2011 to \$7.9 million in 2012. In 2012 only \$10.2 million was spent of the combined non-salary recurrent and capital budget (UNICEF, 2012d). Therefore the ETF funding is significant to government and to the sector and has given UNICEF and the donors through the ETF SC a useful platform from which to promote education policy reforms. The development of a Medium Term Education Sector Plan and an Operational Plan was a good example of this as is the national review of the curriculum which is currently under way through ETF 2. Building on this strength, ETF 2 activities have moved upstream and have been carefully linked to the MoESAC Medium Term Plan, 2011 to 2015 (See MoESAC, 2011a).

What is unclear, and those involved all acknowledge this, is what next? As the number of donors for ETF 2 have declined and as the EC (one of ETF's major donors) plans globally in 2015 to move out of education, prospects for an ETF 3 look uncertain. Following the recent controversial elections in July 2013 there is now an exclusively ZANU-PF government. The ETF was specifically named in the ZANU-PF manifesto as being "illegal". Although early meetings with the new Minister are understood to have been positive there is still a level of uncertainty about whether ETF 2 will need to be adapted to fit with the new administration's agenda.

3.3 INTERNAL COHERENCE OF UNICEF'S UPSTREAM WORK IN EDUCATION

"Coherence" refers to "the alignment of UNICEF's upstream work internally, and with the work of its key partners." This section of the

report looks at how coherent UNICEF's upstream work has been; is there a shared understanding within UNICEF as to what constitutes upstream work? To what extent is there collaboration on upstream work between HQ, Regional Office (RO) and CO levels? Is BEGE collaborating and coordinating "internally with respective divisions, sections and offices in UNICEF to advance UNICEF's upstream agenda in education." (Inception Report p115).

The Theory of Change (ToC) for this evaluation (Annex 6) makes the assumption that the move towards an upstream approach to education would be accompanied by, if not driven by, a number of formal organisational inputs from UNICEF. A key document was the UNICEF Medium-Term Strategic Plan (MTSP) which came into force in 2006. And part of the ToC assumption was that "UNICEF work is guided by: cumulative decisions of our Executive Board over the years"³¹ Therefore at country level the team tried to find out whether there were common definitions, approaches and indicators for upstream work which were used throughout the organisation. We also sought to assess what had been done to develop staffing capacity to deliver against 'new' targets for upstream work.

There does seem to be a shared understanding within the CO education team as to what constitutes upstream work, but the definition is broad and somewhat unspecific. It could perhaps be said that there is a shared understanding of broad direction in terms of what upstream work is trying to achieve but not really of more detailed strategy as to how this will be achieved. High-level targets for the office also remained on ultimate education outcomes and not the more intermediate results of upstream work. The previous Country Representative (2008–2013) had put a lot emphasis on pushing a shared understanding of the link between policy, leveraging and advocacy (which could also be described as

³¹ Presentation on MTSP to the Orientation Session for Executive Board Members, January 2011.



upstream work), knowledge management and programme implementation (see Figure 3.1). He required each department to have goals for each area in the learning cycle and staff, at all levels, were required to know what they were. Whilst no one who was interviewed in the ZCO referred directly to this diagram there was an awareness of the need for knowledge management and programme implementation to bring about and contribute towards upstream work.

Whilst staff did not mention the diagram they did mention the role of senior staff in driving forward a clear strategy and agenda of upstream work. This had not only encouraged coherence of understanding in terms of definition but also in terms of a joint sense of purpose. This cross-departmental working to support initiatives like the ETF was picked up by the evaluation of the ETF:

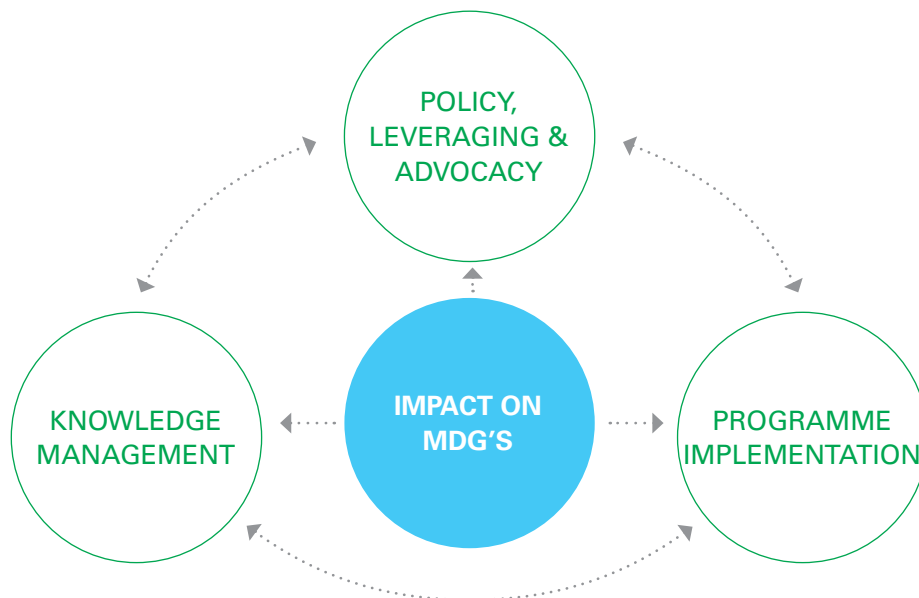
“The ETF has, however, had strong support from UNICEF staff in other departments. The Operations department of UNICEF has provided essential support on supply and logistics...other sections of UNICEF have also played a key role in the success of the

ETF including the Education Cluster coordinator who is based in UNICEF and has facilitated links between the education cluster and ETF. The Representative and Deputy Representative and the Communications team, amongst others” (Dolan et al, 2011: p.14).

It was also mentioned as a specific instruction across departments from the top of the ZCO that the work of the ETF should receive priority.

The Social Policy Advisor worked closely with the education department on its upstream work. One other department commented that due to the large amount of funding that the BEGE group had they were somewhat internally focused and were not proactive in seeking to work with others. This was probably because the education section has been “severely stretched” by the ETF (ibid). The education section having pioneered the first of the transition funds has provided advice and guidance in the design and implementation of transition funds in other departments, e.g. child protection, WASH and health. In this way upstream work has certainly contributed towards upstream work in other

FIGURE 3.1 The Learning Cycle



Source: presentation from previous UNICEF Country Representative



sections of the ZCO. The education department was considered by other UNICEF staff to be stronger at upstream work than other sections.

In terms of collaboration with HQ and regional levels this seemed to be limited according to the CO perspective. COs are very independent and the UNICEF model is one of decentralisation; this was seen as a great strength by staff and they felt it had enabled them to make decisions quickly and therefore remain relevant to the context and maintain coherence with external partners. Collaboration with HQ seemed only to occur at the level of senior management. In general the attitude of most staff towards HQ and the RO coincided with this quote from one interviewee: "HQ and regional office are not critical success or failure factors – they can provide a conducive environment but that's about it."

The one key thing that the RO had been involved in recently was the recruitment panel for the Chief of Education. In this process they could play a role in ensuring that upstream experience be considered in appointments. In terms of capacity building there is an annual education meeting bringing together COs in the region, at HQ level there are training programmes available that are sector-specific or technical but no mention of these was made by any staff except the Chief of Section. HR in ZCO draws upon the same global competencies matrix as other COs and job descriptions tend to be based on generic job descriptions, but annual individual work plans give country and role specifics. Recruitment of staff with upstream experience seemed to have been the main strategy for building capacity in this area – this was particularly key for senior staff. This approach started in 2008/2009 when new section heads were recruited by the new Country Representative with their upstream experience as a key reason for their employment. They were then asked to

recruit those they managed. In addition to this the "way that the new staff worked changed the way sections worked. It gave new direction to UNICEF" and that new direction was upstream. There had been very limited training in upstream work at CO level and training at RO or HQ level tended to only be available to chiefs of section.

3.4 EXTERNAL COHERENCE OF UNICEF'S UPSTREAM WORK IN EDUCATION

The key donors in the education sector have narrowed somewhat over the evaluation period. While Sida and the Netherlands used to be key donors in the education sector they have both moved their focus and their funding to other sectors.³² USAID continues to fund education but only indirectly through its work with OVCs and was not available to meet with the evaluation team. UNICEF's role in relation to other external partners has certainly increased over the period. Whilst before 2008 UNICEF had always been involved in the Education Sector Working Group (ESWG), coordination prior to the crisis had been considerably weaker with numerous bilateral and UN agencies working with a range of NGOs and INGOs. A pivotal point came during the 2008/9 crisis when a humanitarian emergency was declared and a move was made to the cluster system. UNICEF (in conjunction with Save the Children) led the education cluster and eventually (in late 2008) funded a new full-time international staff member to coordinate it. The cluster was particularly important for external partners during this period; it provide not only coordination but also information. This was particularly critical for the NGOs who were treated with suspicion by government and between June and August 2008 were completely banned from field activities.³³ The cluster gave them a key forum for

³² Although Sida continues to provide substantial funding to the Zimbabwe CO (4th largest donor) through thematic support providing much needed flexibility for the CO.

³³ UNICEF was along with other UN agencies excluded from this ban.



discussion and established UNICEF as central point in the sector in terms of dialogue and information exchange. The cluster enabled a well-coordinated response to the crisis but also allowed partners to speak with one voice. The cluster reverted back to an ESWG in 2013 and is now hosted by government at the Ministry of Education.

While running the cluster UNICEF established good relationships with all partners and increasingly became seen as a trusted partner for implementation (by donors), but also as an organisation who could dialogue with government about policy (for NGOs and donors). Importantly it was also considered neutral and an “all weather friend” by government. Once the ETF was set up, UNICEF managed the ETF Steering Group which included the Minister for Education, the Permanent Secretary, the major donors and two NGOs. This was another key forum through which dialogue and analysis of education issues took place between partners. When the ETF first started the Steering Group was one of the only neutral platforms for policy discussions in a politically-charged context.

UNICEF has worked in partnership with others to develop context-applicable policy positions. As a result, all of the key ETF partners felt that they had a shared upstream approach. Some of the NGOs felt that UNICEF was good at listening to their concerns about policies that were affecting implementation and could be trusted to take them to government in an appropriate manner. The government expressed some concerns about the way that UNICEF had left behind some policy ideas such as CFSs and ECD before they had been even partially implemented. The other major concern about UNICEF’s external coherence was linked to the need to start moving away from transition towards a longer-term approach. This was raised by government, in terms of the need for UNICEF and others to think about building for sustainability and by donors who are uncertain about funding following the end of ETF 2 in 2015. Overall, external partners were in agreement with the approach UNICEF had taken although not all were aware of its global move upstream.

However, importantly upstream work was seen by ZCO and the education office leadership as only one aspect of UNICEF’s work in education. Its role in implementation was also considered to be key and it was this more downstream work which was thought to have given it the credibility and access to policy discussions. The linking of upstream work to research and data collection (to make a case) and implementation (to demonstrate understanding and insight) was integral.

Within the UN family UNICEF along with UNDP is considered a key player. The two agencies account for 50% of the funding for the UNDAF. Whilst the upstream approach is understood across the UN, some see it as a passing development trend. There have been some tensions at country level about the way that UNICEF has absorbed all of the transition funding even in areas which would ordinarily be the preserve of other UN partners such as UNESCO and WHO. However, UNICEF is regarded as a key member of the UN group and is considered to collaborate well with other UN agencies working in similar sectors. In particular, during the crisis period UNICEF worked closely with OCHA to bring about effective coordination in the sectors in which it worked and to bring together information through the sector atlases of who was doing what where.

UNICEF in Zimbabwe has made use of its comparative advantage as a UN agency and has acted quickly and with flexibility to the country context. UNICEF’s UN status has given it a status of neutrality with all partners. This has been particularly important for building relationships with government and has enabled UNICEF to play the unique role of broker between the different partners in the education sector. UNICEF’s neutrality has also given it increased access to policy discussions within government. Combined with UNICEF’s perspective as an implementer and a partner involved in research and data collection with government, it has a significant comparative advantage.



UNICEF has managed to secure a unique position for itself in Zimbabwe at the centre of the education sector. As a result it has a very good overview of the sector³⁴ which has enabled it to put resources into pilot schemes and research papers which are pertinent to what is happening in the sector. For example, in 2008 UNICEF led on the Teaching, learning and assessment process in Zimbabwean Schools; an ECD Needs Assessment; BEAM Disbursement Modality Review; and School Rapid Assessment. UNICEF Zimbabwe, because of its close relationship with government has also been able to put resources into and to support key government initiatives such as the assessment carried out in 2009 by the newly appointed National Advisory Board to the Minister; in 2010 UNICEF assisted MoESAC in putting together a research agenda. Support has since been provided to carrying out research, e.g. satellite school desk review, drop out and repetition study, and public examination study.

The collaborative nature of the ETF has resulted in resources being applied in accordance with government's identification of priorities and also to generate maximum impact. Whilst the ETF 1 focused predominantly on downstream implementation, the impact made by the textbook distribution nationwide created an opening for upstream work. ETF 2 has moved into more upstream work such as the curriculum review, the finalisation of a national sector planning framework for education with corresponding provincial and district level plans and the design of the school grant system. UNICEF played a key role in the establishment of the ETF which has put significant external resources into the education sector. Without this mechanism is conceivable that the sector would not have benefited from the level of resourcing that has been allocated until 2015. The nationwide focus of the ETF has ensured that funding makes a difference to all schools.

3.5 FACTORS EXPLAINING THE RESULTS OF UNICEF'S UPSTREAM WORK

In looking at factors explaining the success of UNICEF in Zimbabwe a distinction can be made between internal and external factors. From an internal perspective, interviews with stakeholders and UNICEF staff point to the following factors as important in UNICEF's successful support of the stabilisation and start of rebuilding of school education in Zimbabwe:

- Strategic and focused leadership. BEGE leadership as well as the Country Representative realised the urgency of the crisis but also the opportunity it presented for UNICEF to play a role and to make a positive impact on education and on the prospects for children. This strategic leadership included a key understanding of the importance of upstream work in building an emergency response and also for longer-term developmental interventions. During the period after 2009 a consistent message was given of having to balance work in "programming, policy, and evidence." BEGE leadership received strong strategic support from country office leadership who liaised with relevant counterparts at a high level and mobilised UNICEF resources (procurement, distribution etc.) to ensure successful delivery. In other words, UNICEF Zimbabwe had the right senior staff with vision and experience in upstream work. They identified opportunities and put in place resources to explore them.
- Country Office and BEGE leadership also moved rapidly to recruit national and international staff with the capacity to support upstream work.
- UNICEF's access to policy makers, especially to government in an environment

³⁴ This has particularly been the case since 2008/9 when it headed up the cluster and produced the first education sector atlas.



of hostility to foreign interference, was facilitated by the **long shared history** of joint programming by UNICEF and the Government of Zimbabwe. This resulted in high levels of trust (which also flowed from its UN status) and **credibility** (being viewed as a partner who has delivered consistently).

- The autonomy of UNICEF country offices and the resultant flexibility to tailor interventions to the specific needs and conditions seems to have played a role in the successes in Zimbabwe. In their response to the crisis in Zimbabwe, CO and BEGE leadership could borrow from best-practice in UNICEF (such as the experience with multi-donor funds and textbook distribution) but adapt these quite freely to local conditions (for example, adding capacity building around textbook distribution and adjusting the ETF to specific conditions).

While there is, therefore, a strong indication that particular strengths of the ZCO (internal factors) between 2008 to 2012 drove successful support, the specific context also provided opportunities. Some of these conditions were the constraints on donors in directly engaging with and funding the Zimbabwean government (and a scaling down of donor education sector capacity) and also the more limited involvement of some other partner organisations such as the World Bank (Zimbabwe is still in arrears with membership fees) and UNESCO (global financial pressures). Often these organisations play a significant role in upstream work in education where they have a stronger presence. While UNICEF has put together a strong national education team, partners from some other UN agencies feel that UNICEF still had some learning to do in terms of high-level technical work, where it may be behind the World Bank and UNESCO. In addition there seem to be some constraints in UNICEF to attracting and remunerating appropriate technical support, primarily as a result of standardised rates of pay and slowness of procurement processes.

Another important factor was the appointment in 2009 of an MDC Minister who was keen to actively engage with UNICEF, donors and NGOs on policy matters and on the future of education in Zimbabwe.

For the sustainability of upstream work, funding is critical. The substantial growth in education funding through the ETF seems to have made it possible to channel more resources to upstream work. Upstream work is part of the ETF work plan and programme document and is therefore covered by donor funding. In addition to this, UNICEF's own resources are used to fund some key staff who are heavily involved in the upstream work. Donor representatives interviewed saw the intrinsic value of the upstream work UNICEF was doing, both the coordination and development of information, and in getting buy-in from government. There is, however, a sense that the results of upstream work are difficult to measure and so donors might struggle to sell it to their constituencies over the longer term.

A key strength of UNICEF Zimbabwe has been very effective dialogue with partners, including government, international donors and service providers (national and international NGOs). It has provided a "neutral" platform for dialogue between partners who previously were struggling to engage (NGOs, donors, government) and has built strong channels "up" (donors/government) and "down" (implementing partners).

The ZCO developed over a short period of time (since 2009) increased capacity for upstream work. This was done mainly through the recruitment of new staff in BEGE. There seems to have been limited structured training of staff but instead a culture of learning by doing and by watching how senior, experienced staff members were operating in terms of upstream work. Staff are also under considerable pressure because of the high workload (limited budget for staffing); when people are stretched, learning and training are often the first casualties.



3.6 THE SUSTAINABILITY OF UPSTREAM WORK

Recent elections in Zimbabwe have led to the appointment of a new Government and Cabinet and a new Minister of Education. In addition, the former MoESAC has been split into a Ministry of Primary and Secondary Education and a Ministry of Sports, Arts and Culture. There is also a new Minister of State for Liaising on Psychomotor Activities in Education in the President's Office. This new Minister will be responsible for policy to equip pupils with life skills by reincorporating practical subjects into the education system.³⁵

At the time of the evaluation team visit there was uncertainty about the willingness of the new Minister and his ministry to engage with UNICEF and donors on the same basis – via the Education Transition Fund and its governance structures and with money and programme implementation not flowing through government – as the previous government and minister were willing to do. This has since changed: the ETF has been renamed the EDF and is now considered the main funding mechanism for the implementation for the sector plan. The governance structures, it has been agreed, will remain the same and there will be only minor refinements to the sector's priorities in line with the new government's priorities. This provides a level of certainty until 2015.

UNICEF has also seen the appointment of a new representative in Zimbabwe as well as a head of education. In addition to a time lapse between departure and arrival of old and new staff, new appointees will clearly need some time to find their feet and understand the Zimbabwe situation. This change may therefore also impact on sustainability of recent results.

There are also questions about the longer-term funding of the education sector by donors.

Whilst funding through the ETF/EDF is set to continue until 2015, the number of donors has decreased since ETF 1 and one of the main donors, the EC, will shift its focus from funding education to health in 2015 under European Development Fund 11. Furthermore, some of the donor governments are still negotiating their high level policy positions in relation to the results of the recent elections. Since the evaluation visit Germany has confirmed its support and DFID is expected to declare its decision by quarter 2 of 2014. However, overall funding to the education sector is still likely to decrease overall following 2015.

Partners, whilst acknowledging the current uncertainty, believe that UNICEF and its partners had, in the words of one interviewee, done "everything we reasonably can to build sustainability – capacitating people, trying to shape policies, leaving lasting tangible benefits". Much of the upstream work done under the previous government such as the Medium-Term Sector Plan and the GPE plan had significant buy-in from across government, so it is hoped that they will continue to be used.

Government officials were positive about the future and about "their willingness to work with partners". Officials cited how when they were asked by the GPE who they would like to manage the fund they had chosen UNICEF. One of the reasons given for this was "after we saw the roll out of the textbooks to all the children, we saw the advantages of UNICEF and so chose them". UNICEF has clearly built credibility in Zimbabwe and this should stand it and the sustainability of upstream work in good stead. However, ultimately, as UNICEF and its partners are aware, there is a need to think innovatively concerning what will follow the ETF. Whilst the government is keen for more use of government systems in order to achieve sustainability some donors do not see this as a viable option under current political conditions. UNICEF is

³⁵ This new portfolio was announced whilst the evaluation team were in Zimbabwe on 8th October 2013 in The Herald: see http://www.zimbabwesituation.com/news/zimsit_president-explains-psychomotor-portfolios-mandate-the-herald/



likely to be at the centre of such discussions and in the words of one interviewee it needs to “play its cards right” and be able to “step out without the whole thing collapsing”

A key element of this will be to work out how best to develop the capacity of government officials and the education system. ETF 2, following the medium-term sector plan, focuses centrally on “reinvigorating school and system governance.” At all levels this objective has been translated into strengthening information and planning systems (also for human resources) and into reform of funding mechanisms and training at school level of supervisors. In the past, capacity development has, to some extent, been limited by the political situation in Zimbabwe which has resulted in reluctance on the part of MoESAC to accept TA within the Ministry and unwillingness on the part of donors to put funds through government systems in spite of UNICEF and the Ministry’s dependence on TA. The Ministry is aware of the need for “no more hand holding” in order to build capacity in government; however, it is still short-staffed and under-resourced. As UNICEF moves forward with ETF it needs to be trying harder in the words of a staff member “to work ourselves out of a job”

In addition to the change in government and UNICEF leadership, sustainability of upstream work and results will also depend on the capacity for upstream work in UNICEF Zimbabwe. Over the period covered by this evaluation the ZCO recruited staff with upstream experience. However, in terms of concerted efforts to build the capacity of staff in post, efforts and opportunities seem to be limited and reliant on the initiative of staff – one staff member aware of the shift upstream enrolled in a master’s course to help deal with capacity gaps in upstream work. While there is a general understanding of the need for attention to upstream work, little evidence was raised at country level of systematic setting of targets, identification of capacity needs and a strategy to secure capacity.³⁶ If the focus on upstream work is to continue, UNICEF will need to build in focused training and resourcing of staff to ensure that they maintain and develop their upstream capacity.

³⁶ The new Chief of Education brings with him an awareness of training available at HQ level which can be done online. However, the challenge remains that staff capacity is overstretched with a low staff to budget ratio.



Overall, rather than pointing to the need to prioritise upstream work ahead of downstream work, the Zimbabwean experience shows that there is a complex interaction between downstream and upstream work. While policy development, system strengthening, and providing data and evidence strengthening was instrumental for programming, UNICEF's involvement in downstream work and links with implementers often provided the knowledge, experience, trust and credibility to enable effective participation in the upstream processes. As a result, making strategic choices for upstream work will always be critical to ascertain appropriate programming of downstream solutions.



CHAPTER 4

CONCLUSIONS AND LESSONS LEARNED

4.1 OVERALL ASSESSMENT

UNICEF Zimbabwe engaged in upstream work prior to the shift in focus announced in the 2006 UNICEF medium-term sector plan. Between 2003 and 2007, approaches and priorities were introduced to the education sector in Zimbabwe (Child-friendly schools, a focus on girls' education). There was coordination around key areas such as the National Plan of Action for Orphans and Vulnerable Children, policy was assessed (the national Education Act) and ECD policy and implementation were supported. There was also a lot of activity related to data and evidence generation.

While upstream work was, therefore, already part of UNICEF Zimbabwe's activity in the early 2000s, there was a significant shift in the balance towards upstream work after 2008. This happened in response to the final phase of the Zimbabwean political and economic crisis which led to extreme economic hardship and the almost complete breakdown of government health and education services.

In response to this crisis and the threat it presented to education and child rights, UNICEF Zimbabwe started playing a much stronger role in coordination in the education sector (uniting donors and mediating between donors and government, engaging government in policy and strategy discussions and leading in generating and managing funds, and coordinating with implementing partners – the local and international NGOs). UNICEF was also generating evidence and advocating priorities flowing from the evidence, and supporting sector planning processes. Activities clearly moved to a national scale compared to a majority of project-type or piloting interventions in the

past. A greater upstream role, however, did not preclude downstream activities. At the same time UNICEF coordinated a huge exercise to deliver textbooks to all primary and secondary schools.

This upstream work was effective because it created dialogue and policy space, changed attitudes and behaviour and improved the capacity for education management. From this dialogue and these changed approaches, consensus and strong interventions became possible to contribute to the stabilisation of the education sector, notably the nationwide distribution of textbooks through UNICEF implementing partners. UNICEF's upstream role was complemented and grounded in the work of its partners, in particular three INGOs which provided it with nationwide coverage of schools (PLAN, Save and WVI).

Overall, in conclusion, the Zimbabwean experience, rather than pointing to the need to prioritise upstream work ahead of downstream work, shows that there is a complex interaction between downstream and upstream work. While upstream work (data and evidence, system design, policy, planning) is necessary for programming and programme implementation, involvement in downstream work and links with implementers will often provide the knowledge, experience, trust and credibility to enable effective participation in the upstream processes. While the normal view is that policy should precede practice, practice is sometimes indispensable for good policy making. Quite often, even in the depths of a humanitarian crisis, upstream work will be necessary to ensure that appropriate downstream activities can be programmed in a next period.



TABLE 4.1

Overview of UNICEF Zimbabwe's upstream work against DAC Criteria 2002–2012

Relevance	UNICEF has remained relevant over the evaluation period, adapting its programming and approach to the needs in the education sector and the country context – moving from humanitarian focus to a longer-term, transitional approach and bringing other partners along with it.
Coherence	Internally there is a shared understanding of broad direction in terms of what upstream work is trying to achieve but not really of more detailed strategy as to how this will be achieved. High-level targets for the office remained as ultimate education outcomes and not the more intermediate results of upstream work. Collaboration with HQ and the regional bureau seemed to be limited according to the CO perspective. There was great external coherence between ETF/EDF partners who collaborated closely. Even those not part of the funding mechanism due to UNICEF's role in coordinating across the sector (in conjunction with Save the Children) particularly during 2008/9 had built good relationships and frank collaboration between partners.
Effectiveness	UNICEF has been flexible and responsive in Zimbabwe and this has resulted in impressive results. It has used its position as a trusted and credible partner to government to ensure that progress is made in the education sector. It has taken opportunities to build partnerships with other actors (UN, NGO and government) in a complex operating environment, and this has made it highly effective. UNICEF Zimbabwe had the right senior staff with vision and experience in upstream work. They identified opportunities and put in place resources to explore them.
Efficiency	It is unclear what efficient resource allocation would mean in this context. Financial data were not available to track allocation of resources between upstream and other activities. However, those donors interviewed felt that UNICEF was using its funds efficiently and acknowledged the key role it was playing through its upstream work: gaining agreement and buy-in from government on the ETF/EDF and the relevant associated policy work.
Impact	There is no doubt that UNICEF's upstream work as considered in this evaluation has had a significant impact. The impact of upstream work is particularly noticeable since 2008/9 as there has been much more coordination and joint working across the education sector and a turnaround in terms of improvements to education and policy dialogue.
Sustainability	Sustainability is difficult to achieve in the Zimbabwe context. Although, since the evaluation visit, there have been positive steps forward in terms of ensuring the short-term sustainability of the ETF/EDF this only runs until 2015. Beyond this, the current level of donor funding passing through UNICEF to the education sector is unlikely to continue. Whilst UNICEF has done a good job transitioning donors and partners from a humanitarian focus there is still much to be done in terms of deciding what external partners are transitioning to. UNICEF and government are aware of the need to increasingly focus on building capacity, systems and institutions within government and whilst work has started on this it is restricted by reluctance on the part of MoESAC to accept TA within the Ministry and unwillingness on the part of donors to put funds through government systems. The Zimbabwean government will also need to find increasing levels of funding for the education sector to fill the gap as donor funding decreases.



Looking at the standard DAC evaluation criteria of *relevance, effectiveness, efficiency, impact* and *sustainability*, the BEGE programme in Zimbabwe scores well in almost all areas. These are summarised in Table 4.1. The area it is weakest in is sustainability; the CO is well aware of this and is involved in discussions about the longer term of the education sector.

While the shift to upstream work in Zimbabwe after 2008 has been successful – and relevant and coherent – sustainability of results and of upstream work itself is not assured because of the unique programming environment in Zimbabwe as well as developments in donor funding locally and internationally. Both external and internal factors (to UNICEF) could threaten the advances made. External to UNICEF, government withdrawal from the ETF with resulting cooperation, funding and programme implications was a threat which has been averted. Sustainability of the work done is impacted by the large amount of funding from donors, rather than government, that is maintaining and developing the education system. Furthermore, these funds are managed by UNICEF and not government. Whilst there are context-specific reasons for this, in the longer term there is a need for a shift to a more sustainable model. As funding for the education sector looks likely to decrease post-2015 there is a need for government budget allocation to increase to enable substantial and sustainable investment.

In addition, the upstream successes of UNICEF Zimbabwe can be seen as relating more to a set of fortuitous circumstances (political space through the GNU, a particular mix of leadership in UNICEF, the direness of the situation which forced compromises) than an explicit and well-resourced and capacitated internal strategy from UNICEF. This is changing over time as UNICEF globally and at RO/CO level has begun to increasingly focus upstream. However, they also show the potential for UNICEF to play a key role in fragile contexts – especially where other partners are not present and where donors' technical staff on the ground are being reduced.

At this stage upstream work and targets are not explicitly accommodated in the UNICEF results framework and there is no comprehensive theory of change. Upstream work is therefore not monitored and evaluated on an on-going basis and there is insufficient knowledge management and explicit capacity building and leadership.

4.2 LESSONS LEARNED

In Zimbabwe, although there has been an element of upstream work throughout the evaluation period it has certainly not been the primary focus of the CO since 2003. Rather, the type and focus of upstream work in Zimbabwe has evolved over the evaluation period. This has occurred partly due to the changing context in the country but also as the UNICEF CO has grown in experience and capacity for upstream work. It is, therefore, not possible to neatly categorise the upstream work as it has been integrated with a significant amount of downstream implementation work.

Based on the interviews carried out for this case study, the literature review and the three mini-case studies, the evaluation was able to identify some specific features of upstream work in Zimbabwe that are important for enhancing this kind of work in other contexts and countries.

Upstream work needs strong foundations: time and time again UNICEF staff, government officials and partners came back to examples of the work that UNICEF had done historically in Zimbabwe. UNICEF is considered a trusted and neutral partner in Zimbabwe and this reputation has been earned through a long history of downstream implementation and presence in the country and in the sector. It is this that gives the CO the credibility and access to engage in upstream work in what is a complex and fragile context.

Using upstream work to move from emergency to transition: the Zimbabwe case study provides a good example of how UNICEF can use an upstream focus to help transition out



of emergency mode in a humanitarian emergency context. The donors involved consider what has happened in Zimbabwe, led by UNICEF, as a success and are keen to learn from it. This has created a new role for UNICEF in a context in which it has taken the lead because of the absence of other traditional multilateral partners.

Upstream work as a means to develop new funding modalities: a key element of the upstream work in Zimbabwe has been the design and implementation of the ETF/EDF. UNICEF has been a key player in the design of this modality and has managed the funds for the consortium of donors. This is not a typical role for UNICEF but one that in the context of Zimbabwe it has managed well. The Zimbabwe CO has worked hard on coordinating and communicating with all partners involved. It has successfully balanced the sometimes conflicting demands of its partners in order to ensure that ETF 1 achieved the planned results. This success is seen in the enthusiasm with which donor partners have worked together on what is now EDF II. The ETF has been key to the education sector enabling funds to reach the sector at what was a critical period of breakdown (2008/9). It has also been successfully used as a model for funding modalities in other sectors, e.g. health, WASH and protection.

The importance of evidence for upstream work: one of the key gaps identified by the incoming Country Representative in 2008 was a lack of data to prove the state of the education sector. Therefore in the midst of a humanitarian emergency UNICEF started gathering data and putting together evidence. This approach has enabled UNICEF to move into an increasingly upstream role.

More work needs to be done on how best to monitor and evaluate upstream work: in Zimbabwe no routine learning and knowledge management process for upstream work was found in the CO. Whilst upstream work is reported in the annual reports it is not really found in the objectives and targets of the CPD. As a result it is difficult to trace progress in upstream work and the extent to which UNICEF is achieving what it sets out to do.

Managing the balance between upstream and downstream: in the Zimbabwean context UNICEF has maintained its relevance and effectiveness by continuing with downstream implementation work in conjunction with its upstream work. The CO's ability to combine the two without losing focus on either has been reliant upon experienced and visionary leadership and the setting out of a clear strategy. However, the CO recognises that further thinking needs to be done linking upstream and downstream work and setting out a clearer theory of change at country level. Whilst upstream work is occurring and being successful there is a need for a more systematic approach which is perhaps less reliant upon individual champions and builds in a cycle of learning and knowledge management.

The Zimbabwe case study provides a success story of UNICEF in a fragile and complex country making a new niche for itself through its upstream focus. Not only does this illustrate that it is possible to work towards an upstream focus even in a humanitarian emergency but it shows how when the right pieces of the puzzle are put in place in the vacuum that often follows an emergency UNICEF can fulfil a key and exciting role.



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ANNEXES

ANNEX 1: METHODOLOGY

This CCS is one of four CCS in the global evaluation, as discussed in Chapter 1. The overall methodology is the same across all four CCS (Afghanistan, Brazil, Cambodia and Zimbabwe). The teams built on the Inception Report which drew on the discussion and insights of the full team workshop in August 2013. The Evaluation Framework for the evaluation as a whole can be found in Annex 7. This has been completed as a matrix of findings for the Zimbabwe case study and will be used to compare across case studies for the global evaluation report.

The CCS team began work in August/early September reviewing literature that had been made available and trying to fill gaps in documentation through liaison with the ZCO. An internal issues paper was written and submitted to the Evaluation Team Leader on 23rd September. This contained key aspects of the context (chapter 1), the timeline (Annex 2), the bibliography, a stakeholder map and preliminary summary of upstream activities (which has been built upon in Annex 5). The proposed mini-case studies, which are now included in Chapter 3 were also included. This was to enable the core team to check the spread of mini-case studies across the country case studies. The ETF has been added to the mini-case studies for this report as it is such an important part of ZCO's work in education.

Having finalised a list of stakeholders with the local consultant and ZCO the team started setting up appointments. ZCO offered to help with government appointments due to the formal process required. The Education Chief asked the evaluation team to set up a reference group and so during the course of interviews a

few key stakeholders were asked to review the draft Zimbabwe report.

The team was in Harare from Sunday 6th October – Friday 18th October 2013. The list of those met with in Harare and those interviewed subsequently by telephone can be found in Annex 4, this list includes their organisations and where relevant their former roles. For all interviews an interview protocol template derived from the Evaluation Framework was used there were two versions of this one for UNICEF staff and one for non-UNICEF staff in recognition of the differing understanding of internal UNICEF language and also in order to probe areas relevant to the two groups appropriately. The notes for the interviews were written up in the templates and pasted into an interview compendium this enabled evaluation team members to have all interview notes in a searchable format. At the end of the time in Harare the team carried out a de-briefing meeting of preliminary findings with the UNICEF Country Representative, the Chief of Education and the Education Specialist (Quality). A debriefing meeting was also held with representatives from the MoESAC this was chaired by the Acting Permanent Secretary. The objective of both meetings was to provide stakeholders with another opportunity to feedback to the evaluation team.

The two international members of the team attended the second evaluation team workshop in Oxford on 28th–29th October. At this workshop each country team presented their initial findings and received feedback from the whole team. Following the workshop the CCS report for Zimbabwe was written up.



ANNEX 2: TIMELINE OF KEY EDUCATION EVENTS AT COUNTRY LEVEL 2003–12

Date	International Aid Context	UNICEF Global Context	Zimbabwe National Context	Zimbabwe Education	UNICEF in Zimbabwe/ UNICEF Education (a summary of mainly upstream activities)
Key events prior to 2003	<p>1980 - UN World Conference on Women identified equal access to education as fundamental to women's rights.</p> <p>1990 - Education For All (EFA) Goals adopted in Jomtien, Thailand.</p> <p>2000 - Dakar World Education Forum Millennium Development Goals (MDGs) confirmed commitment to UPE by 2015.</p> <p>2002 - EFA FastTrack Initiative (FTI) launched</p> <p>2002 - EFA FastTrack Initiative (FTI) launched.</p>	<p>1990 - UNICEF founds the Education for All Movement with four partners, including UNESCO and the World Bank.</p> <p>2000 - UNICEF becomes Secretariat for UNGEI 2001 - Girls' Education becomes UNICEF's "Organisational Priority No. 1."</p>	<p>1979 Zimbabwean independence</p> <p>March 1980 - Robert Mugabe and the Zanu party win the elections.</p> <p>1998 - start of economic crisis - riots and strikes 1999 - Opposition Movement for Democratic Change (MDC) formed.</p> <p>2000 - seizures of white owned farms begins 2001 - western donors, World Bank and IMF cut aid due to a land seizure. programme</p> <p>March 2002 - The incumbent president is re-elected in presidential elections which are condemned as seriously flawed by the opposition and foreign observers.</p>	<p>1980 - Following independence, a policy of free education/ education for all (EFA) is adopted and primary school enrolment begins to soar.</p> <p>1986 - The Zimbabwe Education Act is first published (Chapter 25: 04). This version and subsequent versions are gender blind, stating 'every child in Zimbabwe shall have the right to school education', without specific mention of boys/girls.</p> <p>Until the late 1990s - Zimbabwe had the reputation of having one of the best educational systems on the African continent with the highest recorded literacy rate in sub-Saharan Africa.</p>	<p>2000 - Country Programme for 2000–2004 is aimed at working towards the progressive achievement of the MDGs.</p> <p>2002 - In addition to the Country Programme focus, humanitarian response is included. Country Programme reorganized into four programmes:</p> <ul style="list-style-type: none"> (i) Child Protection; (ii) Child Learning and Life Skills; (iii) Health, Nutrition and Environment; and (iv) HIV/AIDS and Young People's Development.



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Zimbabwe National Context	Zimbabwe Education	UNICEF in Zimbabwe/ UNICEF Education (a summary of mainly upstream activities)
2003	Rome Declaration on harmonisation of aid. Development community committed to aligning and harmonising assistance round a country's development priorities and systems.	3 rd Meeting of High-Level Group on EFA, New Delhi, India.	<p>March: General strike is followed by arrests and beatings.</p> <p>June: Opposition Movement for Democratic Change (MDC) leader is arrested twice in a week of opposition protests and charged with treason.</p> <p>December: Zimbabwe pulls out of the Commonwealth after its suspension is extended indefinitely.</p>	<p>The number of female primary level teachers enrolling for training drops from 66% in 2000 to 53% in 2003.</p> <p>The ratio of males to females enrolled in primary schools is 50.1% to 49.9%.</p>	<p>2003 – Main focus of the education team was OVCs education and HIV/AIDs.</p> <p>Key upstream activities were:</p> <ul style="list-style-type: none"> - Results of the Survey of Satellite Schools were released early 2003: 346 new satellite schools in the newly resettled areas but with very poor or no infrastructure. - Studies were done at provincial and districts level on the impact of HIV/ AIDS on the education sector at micro-level. - Training and sensitization of teachers, school heads, policy makers, student peer educators, OVCs, district trainers and parents on HIV/AIDS life skills education. - The production of syllabi (Grade 4–7; Form 1–6) , HIV/AIDS Reader Books (Grade 4–7; Form 1); two training manuals and IEC materials on HIV/ AIDS life skills education. - The training of teachers in the promotion of girls' education and the promotion of ECEC.



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Zimbabwe National Context	Zimbabwe Education	UNICEF in Zimbabwe/ UNICEF Education (a summary of mainly upstream activities)
2004	Marrakech Round Table on Results, Morocco: Development agencies endorsed five core principles on managing for development results (MfDR).	Education Programme Development Fund (EPDF) established under FTI to help low income countries improve quality and sustainability of sector planning and programme development.		<p>The Government adopts the National Gender Policy to address gender inequalities, including in education and in the training of women.</p> <p>Pupil teacher ratio in primary schools is recorded at 38:1 and in some remote regions. (such as Binga) 161:1</p> <p>Quality of education is low despite highly qualified teachers, with 91% of primary school teachers fully trained.</p> <p>September: Cabinet approves the Zimbabwe National Plan of Action for OVC.</p>	<p>August: Leadership and life skills training for 72 girls, in South Africa and Zimbabwe led to the launch of the Girls' Education Movement in Zimbabwe.</p> <p>December: Girls Education Conference – recommendations arising from the conference are to be used to guide the development of a strategic plan for girls' education in Zimbabwe from 2005–2010.</p> <p>2004: Implementation of a pilot project on girls' education in three districts and its evaluation in 2004.</p> <ul style="list-style-type: none"> - UNICEF provided technical and financial support to the Zimbabwe National Plan of Action for OVC. - UNICEF publish 'Children and Women's Rights in Zimbabwe, Theory and Practice' - Training conducted for the Central Statistical Office (CSO) and line ministries in Gender and Child analysis. - Baseline survey on OVC conducted, alongside selected line ministries, UN agencies and donors. - Consultants were hired to assist the Ministry of Education with data analysis, filling in 'glaring human resources gaps' within the ministry. <p>February: UNICEF supported the establishment of a National Children's Steering Committee and the Youth Round Table Zimbabwe. (YRTZ)</p> <ul style="list-style-type: none"> - Draft ECEC handbook in place. - Draft CCCD report in place. - ECEC working Group in place. - Dialogue with Parliamentarians on UNICEF's inputs to the review of the Education Act led to creation of a budget line for Girls' Education in the national budget. - DEVINFO Training for education officers at central level led to the decision of the Ministry of Education to adopt DEVINFO and to train all district and provincial education officers and data clerks on DEVINFO, data analysis and monitoring of programmes. - Development of a new national education policy with HIV/AIDS Life Skills, gender, and early childhood care elements is in progress.



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Zimbabwe National Context	Zimbabwe Education	UNICEF in Zimbabwe/ UNICEF Education (a summary of mainly upstream activities)
2005	Paris Declaration on Aid Effectiveness endorsed by over one hundred Ministers, Heads of Agencies and other Senior Officials.	Upstream work becomes an area of explicit organisational focus as one of UNICEF's five focus areas in medium-term strategic plan (MTSP) 2006–09.	<p>March: Ruling Zanu-PF party wins two-thirds of the votes in parliamentary polls. MDC says election was rigged against it.</p> <p>May-July: Operation Murambatsvina – slums cleared as part of a “clean-up” programme. The UN estimates about 700,000 people were left homeless.</p> <p>November: Ruling Zanu-PF party wins an overwhelming majority of seats in a newly-created upper house of parliament, the Senate.</p> <p>December: UN humanitarian chief Jan Egeland says Zimbabwe is in “meltdown”.</p>	<p>As a share of GDP, education sees an increase to 11%. Education's share of total government spending also rose to 27% in 2005. But an average of 98% is absorbed with recurrent spending (salaries and staff allowances).</p> <p>The BEAM programme receives Z\$190 billion, almost 6 times the amount received in 2000. But number of children assisted does not rise proportionately.</p> <p>Early Childhood Education and Care (ECEC): Zimbabwe becomes the first country in Africa to introduce preschool –as a compulsory component of primary education.</p>	<ul style="list-style-type: none"> - Basic Education Policy: draft developed, following a comprehensive review of existing education policies and consultations with 800 stakeholders in 10 provinces. 77 policy circulars were also reviewed. - Continued advocacy for free primary education and adoption of a co-financing strategy based on a consensus among all stakeholders. - ECEC policy and strategy development with emphasis on distance learning for scaled-up ECEC teacher training through partnership with Seke Teachers' College & District trainers. - Implementation and the integration of gender policy issues in basic education policy.



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Zimbabwe National Context	Zimbabwe Education	UNICEF in Zimbabwe/ UNICEF Education (a summary of mainly upstream activities)
2006		<p>CIDA, DFID, et al. recognise UNICEF's strategy to reposition itself within the international aid system and strengthen its role as the global leader on policy and advocacy for children and their rights.</p>	<p>May: Year-on-year inflation exceeds 1,000%. New banknotes, with three noughts deleted from their values, are introduced in August.</p> <p>December: Ruling ZANU-PF party approves a plan to move presidential polls from 2008 to 2010.</p>	<p>October: The National Strategic Plan for the Education of Girls is adopted, with a view to addressing gender issues in education, such as gender violence in schools.</p> <p>The Education Amendment Act 2006 is enacted to regulate the national school fees system to reduce discrimination in the educational system on grounds of economic status of parents.</p>	<p>Study on Cost and Community Co-financing of Basic Education in Zimbabwe (UNICEF 2006) UNICEF report indicates that on average 85% of cost of education is met by the family.</p>
2007	<p>7th meeting of High-Level Group on EFA - Dakar, Senegal.</p>	<p>UNICEF's Executive Board endorsed the Education Strategy, as a long-term framework for interpretation and implementation of (MTSP).</p>	<p>May: Warnings of power cuts for up to 20 hours a day while electricity is diverted towards agriculture.</p>	<p>BEAM programme runs from 2007 through 2010 with support from EC, AusAID, DFID, EC, KfW, NZAID, and Sida, Australia, Denmark, Netherlands, Norway, New Zealand, Sweden. This is a pooled programme is managed by UNICEF.</p>	<p>For the first time Basic Education and Gender Equality is specifically mentioned in Annual Reports as a programme component– replacing the previously termed, Child Learning and Life Skills.</p> <ul style="list-style-type: none"> - Ongoing work on BEGE programme - The Zimbabwe Basic Education Policy was reviewed and a new draft policy document was presented to the MOESC. - Training of 30 district education officers and data captors in the collection and processing of EMIS data. 10 personal computers, printers and accessories were purchased for use at district education offices. UNICEF supported the MOESC to analyse the 2000–2006 EMIS data and produce a report. - ECD programme supported through training of community stakeholders, paraprofessional teachers, parents/ caregivers and service providers.



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Zimbabwe National Context	Zimbabwe Education	UNICEF in Zimbabwe/ UNICEF Education (a summary of mainly upstream activities)
2008	Accra summit on aid effectiveness, donor commitment on end to aid fragmentation Mid-Term Evaluation of FTI began.	Evaluation of the Child-Friendly Schools Initiative MTSP 2006–2009 extended to 2011.	<p>March - Presidential and parliamentary elections. Opposition MDC claims victory.</p> <p>May - Electoral body says opposition leader won most votes in presidential poll, but not enough to avoid a run-off against the incumbent president.</p> <p>June - Run-off goes ahead. Incumbent declared winner. Opposition leader pulls out days before poll, complaining of intimidation. Russia, China veto a Western-backed UN Security Council resolution to impose sanctions.</p> <p>July - EU, US widen sanctions against Zimbabwe's leaders.</p> <p>Sept - Government and opposition sign power-sharing agreement. Implementation stalls over who gets top ministerial jobs.</p> <p>December - Zimbabwe declares national emergency over a cholera epidemic and the collapse of its health care system.</p>	<p>Political violence, teacher strikes, food insecurity and widespread waterborne diseases, severely disrupt schooling. The pass rate for the final year of primary school dropped to 52% from 70% the previous year.</p> <p>By 2008, the severe economic decline suffered during the 2000s results in 8,000 schools closed, an estimated 20,000 teachers having left their posts and learning materials in very short supply or non-existent.</p> <p>During the third term, attendance declines to around 20%.</p> <p>The Ministry of Education declares the conduct of national examinations a 'country-wide emergency'.</p> <p>Primary school enrolment is reported to have stagnated and secondary school enrolment has declined (9% since 2006), indicating major problems in the delivery of primary education.</p>	<p>2008 focus on assuring the delivery of basic services to the most vulnerable women and children, rolling out the Humanitarian Cluster Approach, scale-up of the National Action Plan for OVC and a stronger response to support children living with HIV/AIDS.</p> <ul style="list-style-type: none"> - Ministry of Education EMIS received 52 PCs and 52 laser jet printers as well as the installation of antivirus packages on over 300 computers. - MoESAC began processing of SACMEQ information on grade 6 learning achievement. - ECD –training of 720 parents/ caregivers on parenting education, 100 paraprofessionals on integrated ECD (99% women) and 720 parents/ caregivers on toy production - UNICEF supported the re-establishment of the HIV/AIDS Secretariat Unit in the MoESAC. -The Education Working Group provided a platform for strengthening of the partnership with the Ministry, implementing partners and UNICEF. - UNICEF also coordinated the 2009 Consolidated Appeal Process in the education sector. An Education Atlas (Who, What, Where) was developed for better coordination and strengthening of partners' response to the education sector. - A coordinated emergency response plan was developed to support the Ministry of Education and facilitate the re-opening of schools in January 2009. <p>December: UNICEF moves into full emergency mode, developing a 120-day emergency response plan (from December 2008 – March 2009).</p>



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Zimbabwe National Context	Zimbabwe Education	UNICEF in Zimbabwe/ UNICEF Education (a summary of mainly upstream activities)
2009		<p>UNICEF's UNICEF MTSP 2006 to 2009 (11) extended for a further 2 years to 2013.</p>	<p>Global Political Agreement signed. Advent of inclusive government.</p> <p>February – Opposition leader is sworn in as prime minister, after protracted talks over formation of government.</p> <p>March - Retail prices fall for the first time after years of hyperinflation.</p> <p>March 2009 - The Government launched its Short Term Emergency Recovery Programme (STERP), requesting US\$ 8.4 billion for a 10 month period for rebuilding and transitional activities.</p> <p>June - Constitutional review begins.</p>	<p>February: Edward Coltart appointed as Education Minister</p> <p>March: MoESAC's 100 Days Action Plan lists the provision of textbooks and other teaching and learning materials as a priority.</p> <p>March: appointment of a National Education Advisory Board (NEAB), to advise the Minister. NEAB assessment reveals 20% of primary schools have no textbooks for English language and 22% had no textbooks for Mathematics and Ndebele/Shone – all of which are compulsory subjects.</p> <p>The Minister creates an Education Donors Coordination Group, to provide technical support to MoESAC in its response to identified priorities.</p>	<p>- Programme focus: implementation of the emergency support plan to the education sector, including continuation of teaching and learning material distribution.</p> <p>- UNICEF is working with the MoESAC on an incentive scheme to motivate parents to send their children back to school.</p> <p>- Promotion of CFS will continue.</p> <p>- May 2009 Phased out 180 days emergency response</p> <p>- ETF textbook distribution reduced the pupil textbook ratio from 10:1 to at least 2:1, provision of schools stationary kits and steel cabinets to all 5,300 primary schools. Training of School Development Committee (SDC) members.</p> <p>Activities:</p> <p>- MoESAC officially adopted the Child Friendly Schools (CFS) concept and trained 350 head office, provincial and district personnel in the implementation of the CFS methodology in preparation for mainstreaming in all schools beginning in 2010.</p> <p>- The Ministry has started developing a CFS monitoring and assessment tool.</p> <p>- 92 MoESAC staff was trained in EMIS data collection, capture, analysis and reporting.</p> <p>- December ministry officials with TA support compiling the report for the 2009 EMIS report.</p> <p>- Full time cluster coordinator was recruited.</p>



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Zimbabwe National Context	Zimbabwe Education	UNICEF in Zimbabwe/ UNICEF Education (a summary of mainly upstream activities)
(cont'd) 2009			<p>September: IMF provides \$400 million support as part of G20 agreement to help member states.</p> <p>Midway through 2009, there are a few signs of recovery, mainly due to the Government's decision to pay US dollar salaries to teachers (approximately \$150 per month). Salaries, though still low, are considered to be an improvement.</p>	<p>The Education Working Group is transformed into the Education Cluster, to coordinate the humanitarian response in the education sector between MoESAC, NEAB, UN agencies, Development Partners and NGOs.</p> <p>September: The Educational Transition Fund (ETF), launched managed by UNICEF to revive the educational sector by providing emergency teaching materials to primary schools; its first year of activity was so successful that the programme expanded its activities to include secondary schools too.</p> <p>It is estimated that 20,000 teachers left the country between 2007 and 2009.</p>	<ul style="list-style-type: none"> - Education Transition Fund - UNICEF-supported interventions, funded through the Education Transition Fund (ETF), and managed the fund and its governance. - Training of at least 300 key Ministry personnel at the national, provincial and district level, as well as some 8,000 school heads to strengthen their system management capacities related to planning, implementation, supervision and monitoring - The development of a fully revised, modern, market-oriented and culturally appropriate curriculum framework, with corresponding tested syllabi for all ECD and primary levels.



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Zimbabwe National Context	Zimbabwe Education	UNICEF in Zimbabwe/ UNICEF Education (a summary of mainly upstream activities)
2010	International aid to Afghanistan estimated at US \$15.7billion.		<p>January - Prime Minister urges the easing of targeted sanctions, saying the unity government's progress should be rewarded.</p> <p>March - New rule forces foreign-owned businesses to sell majority stake to locals.</p> <p>August - Zimbabwe resumes official diamond sales, amid controversy over reported rights abuses at the Marange diamond fields.</p> <p>December - Ruling ZANU PF party nominates incumbent president as candidate for next presidential race.</p>	<p>1 million children and young people of secondary age are out of school, with few educational or employment options. The primary school net enrolment rate increased from 77% in 2006 to 91% in 2010. However, progress in improved primary school completion, from 68% to 68.7% was slow and education quality, affected by the 2008/9 crisis, continues to be poor.</p> <p>Through the Education Cluster, a network of NGOs was established to provide sectoral coordination and capacity support for ministry counterparts, NGOs and associations at various levels.</p>	<ul style="list-style-type: none"> - Revitalisation of the Basic Education Assistance Module (BEAM). - Supported establishment of Education Coordination Group – consisting of all key education partners and chaired by the Government. - Partnerships with UNESCO, the World Bank and the Education Cluster, provided technical expertise to MoESAC in the areas of budget, ICT and strategic planning, including drafting the interim National Education Investment Plan (2011). - Sustained advocacy efforts helped to secure a Government commitment of at least 30% co-funding of social protection programmes. - Establishment of 250 Child-Friendly Schools. - A series of sector studies were supported, through the Education Advisory Board, to support the Government to develop the short-term Education Strategic Plan for sector recovery.



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Zimbabwe National Context	Zimbabwe Education	UNICEF in Zimbabwe/ UNICEF Education (a summary of mainly upstream activities)
2011	EFA – FTI changes name to Global Partnership for Education. (GPE)			<p>Although enrolment rates have remained high, grade 7 pass rates are at less than 30% and 50% of students do not continue schooling beyond grade 7.</p> <p>A pro-poor Medium-Term Plan (2011–2015) was launched by the Inclusive Government.</p> <p>Zimbabwe becomes officially engaged in the GPE process of accreditation.</p>	<ul style="list-style-type: none"> - Through the ETF every child in the country received a full set of core textbooks: 6 million books were procured and delivered to all 2300+ secondary schools. - Supporting over 500,000 OVCs to attend primary school through BEAM. Ongoing evaluation of BEAM in 400 schools. UNICEF managed BEAM funds 2009–11. - A national school survey was conducted to assess the effectiveness of primary textbook distribution. - ETF 2 launched focus on: school and system governance; teaching and learning; and second chance education. - UNICEF further supported MoESAC's national curriculum review process - Design of the Zimbabwe Early Learning Assessment (ZELA) was completed.



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Zimbabwe National Context	Zimbabwe Education	UNICEF in Zimbabwe/ UNICEF Education (a summary of mainly upstream activities)
2012	World Bank's Report on Gender Equality and Development noted 31 million girls are still out of school. Global Partnership for Effective Development Co-operation jointly supported by OECD and UNDP.		October - Rights activists say repressive structures instrumental in 2008 electoral violence are being reactivated.	<p>Education Minister says that Government support to the education sector of \$500,000 from the 2012 national budget is 'less than a drop in the ocean'.</p> <p>MoESAC received \$6.2 million against an allocation of \$77 million non-wage expenditure by the end of September 2012, representing 8% of budget release against the budget allocation.</p> <p>ZELA showed that 37% of children have no books at home and 36.5% of schools have some open-air classes.</p> <p>May: 2011–2015 Education Medium Term Plan (EMTP), was endorsed by Cabinet.</p>	<ul style="list-style-type: none"> - UNICEF formally requested to be the Managing Entity for the GPE grant. UNICEF and World Bank TA support the preparation of the MoESAC's GPE Grant Application and the Operational Plan. (OP) - Collection and analysis of 2012 EMIS data with TA support from UNICEF. - In conjunction with UNESCO UNICEF supported MoESAC in first consultations on curriculum review. - Through UNICEF's financial support and technical facilitation, the Teacher Minimum Standards and the Teacher Sub-sector Strategy were developed through a wide national stakeholder consultative process. - ZELA baseline report and psychometric report published and presented to Cabinet. - Development by UNICEF and partners of the School Improvements Grants System. (SIG) - Support to MoESAC in the development of a broad framework and strategy for the provision of second chance education.



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Zimbabwe National Context	Zimbabwe Education	UNICEF in Zimbabwe/ UNICEF Education (a summary of mainly upstream activities)
2013	UNICEF named Interim Chair of GPE.	June: Evaluation of Upstream engagement in BEGE begins MTSP extended to 2013.	March - New constitution approved by an overwhelming majority in a referendum. Future presidents will be limited to two five-year terms, elections will be held later in the year. July - Presidential and parliamentary elections. Incumbent president gains a seventh term in office and the ZANU-PF party three-quarters of the seats in parliament. The opposition dismisses the polls as a fraud.	The education budget for 2012–2013 is \$750 million. More than half of this goes to primary and high school teachers' salaries, which average about \$300 a month. The ministry has declared an amnesty for these teachers, and many have returned. There are currently about 106,000 teachers; about 30,000 more are required. The minister says there will not be enough classrooms available for them to teach in. The 2013 allocation to the education sector rose to 27%, exceeding the threshold of 20% recommended by the Dakar Declaration.	- Launch of national curriculum review process. - Survey on ETF secondary textbook distribution.



ANNEX 3: SUMMARY OF BASIC EDUCATION INDICATORS, PUBLIC EXPENDITURE AND AID FLOWS 2003–12

	1980	1985	1990	1995	2000	2005	2010	2012	Source
Demography & economy									
Population (million)			10.5	11.7	12.5	12.5	12.5		Acosta 2011
Population 0-14 (million)			4.8	5.2	5.3	5.2	5.1		Acosta 2011
GDP (US\$ million)					5,845	4,749	6,034		Acosta 2011
GDP per capita (US\$)					469	381	432		Acosta 2011
Public Finance (\$m)									
Total government expenditure							2,107	3,640	CfBT&SNV 2012
Total education spend (GoZ)							475		CfBT&SNV 2012
Education spend (external)							39		CfBT&SNV 2012
Total (GoZ & external) spend on school education							359.6		CfBT&SNV 2012
Socio-economic									
LE @ birth male			57.5	49.2	40.6	39.9	42.6		Acosta 2011
LE @ birth female			64.3	57.5	46.2	42.6	43.7		Acosta 2011
Infant mortality (per 1,000 live births)			50.6	55.2	65	60	60		Acosta 2011
Under5 mortality (per 1,000)			79.3	90.6	102.1	82	86		Acosta 2011
Education									
Enrolment ECD								352,946	EMIS report 2012
Enrolment Primary	819,566				2,439,131	2,461,932	2,478,990	2,666,451	EMIS reports; Chimhovu 2010
Enrolment Secondary	66,215				817,677	801,479	778,235	936,734	EMIS reports; Chimhovu 2010
Total enrolment: primary & secondary	885,781				3,256,808	3,263,411	3,257,225	3,603,185	EMIS report 2012
Gross enrolment rate (GER) Primary					114.7	113.1	110.9	111.7	EMIS report 2012
GER Secondary					47	46.4	40.8	46.4	EMIS report 2012
Net Enrolment Rate (NER) Primary					96.2	96.9	97.7	96.7	EMIS report 2012
NER Secondary					44.4	43	38.6	45.9	EMIS report 2012
Pupil: Teacher ratio Primary					37				EMIS report 2012
Gender Parity Index (GPI)					0.99	1.00	1.00	1.01	EMIS report 2012
Pass rates									
Grade 7							42%	49.6%	EMIS report 2012
O-levels							19%		EMIS report 2012
A-levels							80.9%		EMIS report 2012



ANNEX 4: STAKEHOLDER MAP/LIST OF PEOPLE INTERVIEWED

UNICEF, ESARO			
Jim Ackers	Regional Education Advisor		
UNICEF, Zimbabwe Country Office			
Peter De Vries	Education Chief	Victor Chinyama	Chief of Communications
Hideko Miyagawa	Education Specialist (ETF)	Natalie Burton	Chief of Human Resources
Saul Murimba	Education Specialist (Quality)	Faith Mukabeta	Consultant education and ex staff member
Reza Hossaini	Country Representative	Manager Mhangami	Education Officer (ETF)
Maria Peel	Programme Officer	Philip Gift Kajawu	Education Specialist
Simplisio Rwezuvu	Education Specialist (Access)	Dominic Muntanga	Education Officer
Shota Hatakeyama	Education Officer (JPO)	Anna Mutavati	Gender Specialist
Samson Muradzikwa	Chief of Social Policy	Sydney Robert	M&E Specialist
Ex Country Office staff, UNICEF			
Marc Rubin	Ex Deputy Representative ZO	Peter Salama	Ex. Country Representative ZO
Louise Mvono	Ex. Chief of Education ZO	Jeaniene Spink	Ex. Chief of Education ZO
Ministry of Primary and Secondary Education (MoPSE)			
Honorable Lazarus Dokora	Minister of Primary and Secondary Education	Dr Elizabeth Marunda	Principal Director education, coordination and development
Mr. P. Muzawazi	Director of Planning, MoPSE	Mrs A. Mupfukare	Acting principle Finance, Administration, HR (FAHRD)
Mr. L.C.Bowora	Acting PS for MoPSE, Director of Secondary non-formal education	Mrs K Nyanungo	Principal Director for DELS
Mr Mabhugu Clemence	Officer MoPSE	Mrs. H.Maisiri	Acting Director (School Psychological Services)
Mrs Anatoria Ncube	Officer MoPSE	Mr. J. Makandigona	Deputy Director HR
Mr Z. Chitiga	Deputy Director Planning and Research	Mr. Mtembo	Director – MoPSE
Mr Justice Siziba	Director PELS		



Annex 4 (cont'd)

Ex Ministers of Education			
Fay King Chung	Former Minister of Education, Sport and Culture (1988–1993)	Senator David Coltart	Former Minister of Education, Sports, Art and Culture, (2009–2013)
Donors			
Steve Harvey, Education Advisor, DFID	UNICEF <i>partner</i>	Jorge Pereiro-Pinon, Head of Health and Social Sectors, EU	UNICEF <i>partner</i>
Joylyn Ndoro, Former Senior Policy Officer, Netherlands Embassy	Former UNICEF <i>partner</i>	Peter Taylor Basic Services Team Leader, DFID	UNICEF <i>partner</i>
Friederike Pommerehne, Country Representative GIZ	UNICEF <i>partner</i>	Ian Attfeld, Education Advisor, DFID Tanzania	UNICEF <i>partner</i> – former education advisor for EU seconded by DFID
Dr Detlef Hanne, Health, Education & Social Protection Division, Africa and Middle East - KfW	UNICEF <i>partner</i>		
NGOs			
Faith Nkala, Deputy Executive Director CAMFED	UNICEF <i>partner</i>	Edward Brown, Country Director, World Vision	UNICEF <i>Partner</i> , Education Emergency Network
Maria Tokwani, Education Specialist, World Vision	UNICEF <i>Partner</i> , Education Emergency Network	Moses Mukabeta, Education Advisor, Save the Children Education Emergency Network	UNICEF <i>Partner</i> , Education Emergency Network. Also acted as coordinator for EWG
Lawrence Attipoe, Country Director, SNV	UNICEF <i>Partner</i> (ETF)	Erik Boonstoppel, Renewable Energy Sector Leader, SNV	UNICEF <i>Partner</i> (ETF) Erik was education Advisor 2009–2011 at SNV
Peter Murwisi, Programme Manager, FOST	Sub-contracted by Save the Children on ETF	Patience Ndlovu, Chief of Party, World Education	UNICEF <i>Partner</i> (ETF)
Zvidzai Chidhakwa, Programme Support Manager, Plan International	UNICEF <i>Partner</i> Education Emergency Network		



Annex 4 (cont'd)

UN			
Rosalina Maponga, Education Advisor	Unesco	Jelda Nhliziyo, Strategic Partnership Advisor	UN Women (also ex UNICEF staff member)
Lillian Nduta, Humanitarian Affairs Officer	OCHA	Alain Noudehou UN Country Representative	UNDP
Teachers' Unions			
Raymond Majongwe, Secretary General	Progressive Teachers Union Zimbabwe (PTUZ)	Sifiso Ndlovu, CEO	Zimbabwe Teachers' Association (ZIMTA)
John Mulilo, Secretary General	Zimbabwe Teachers' Association (ZIMTA)		
Other			
Dr Sue Kageler	University of Zimbabwe, works as consultant for UNICEF education team	Peter Buckland	Consultant (Ex UNICEF and World Bank staff)
Seepa Sankar	World Bank	Jim Shoobridge	Education and EMIS consultant
Eunice Pfende	Education Consultant (started as teacher in Zimbabwe in 1970s)	Jo Chamunorwa	Education Consultant (started as teacher in Zimbabwe in 1960s)
Heather Benoy	Education Consultant (started as teacher in Zimbabwe 1970s)	Susan Hirschberg	Education Advisor, World Bank –in Zimbabwe 2010–2013



ANNEX 5: UPSTREAM WORK IN EDUCATION 2003–12

Zimbabwe Upstream Work in Education		
2003–2005	2006–2009	2010–2012
Evidence Base for Development		
From 2004 technical support was given to help analyse the Education Management Information System (EMIS) data, this included an element of capacity building in the MoESAC.	2006 – UNICEF hired a consultant to develop a report on 2000 to 2004 education data which was published. 2007–09: – Work with MoESAC to support EMIS and start processing SACMEQ data.	In 2010 there was also a UNICEF funded central process of capturing data. 2010–11 – Five year strategic plan for comprehensive EMIS and operationalization. (Cambridge Education)
Support 2004–2006 on the national common indicator database and development of DEVINFO.	Ongoing work on the national common indicator database and development of DEVINFO Also more broadly: ZIMDAT implementation supported; MIMS; ZIMVAC; M&E tool for Programme of Support.	2011 – TA brought in – last published EMIS data was 2006. 2009 data had been collected by MoESAC but not analysed. 2009 data eventually published with UNICEF support in 2012. 2012– 2012 data was captured, analysed and the report finalised in 2012. Ongoing – UNICEF is supplying equipment (computers) to provincial and other relevant offices and the plan is to network.
2004 – collection of "strategic information a series of studies, evaluations and reviews were carried out as a basis for action from 2005 onwards:	2006 – UNICEF development of the sectoral atlases providing an overview of what partners were doing. First education atlas was done in 2008 covering 2008/9.	2010–11 – National Zimbabwe Early Learning Assessment (ZELA) done by ZIMSEC with support from the Australian Centre for Educational Research.
Review of gender issues in education.	In 2009 UNICEF funded the capturing of EMIS data (provision of central venue, equipment and per diems) and a consultant wrote up the report (Jim Shooobridge).	2010–11 – Second education atlas done but was not published blocked by MoESAC PS.
Evaluation of the pilot girls' education project.	2009 – UNICEF support to the new National Advisory Board set up by the new Minister for MoESAC – carried out a study to look at what they key problems were in the sector.	2010 – UNICEF Education Chief set up the Emergency Education Response and Preparedness Network (EERPN) – this divided up the country between Save, WV and Plan they were there to assess emergencies but also collected data on schools.



Annex 5 (cont'd)

Zimbabwe Upstream Work in Education		
2003–2005	2006–2009	2010–2012
Evidence Base for Development (cont'd)		
Contribution made to the country programme OVC baseline survey.	2009 reports and evaluations: Teaching, learning and assessment process in Zimbabwe Schools 2008; ECD Needs Assessment; BEAM Disbursement Modality Review; School Rapid Assessment.	Date ? - UNICEF set up a research committee under the department of planning in the MoESAC. It included representatives from other ministries and 3 NGO partners and UNICEF. 2010? - UNICEF assisted the MoESAC in putting together a research agenda, support is provided on carrying out research e.g. satellite school desk review, drop out and repetition study, public examination study.
School by school performance assessment of the schools that had benefited from the construction project of 2003.		Based on data from the EERPUN UNICEF produced education profiles for each Province for 2011 and 2012.
Evaluation of the HIV/AIDS Education Project.		2013 – Evaluation of secondary school text books (distributed under ETF 1) – not yet published with Minister. EMIS data collected, cleaned by October 2013 with support from UNICEFTA.
Review of ECD experience in one district.		2013 – UNICEF staff assisting with the design and administration of the education census.
Leadership, Coordination		
UNICEF was involved in the education sector working group which was used as a forum for government to raise various needs with partners.	2009 – UNICEF in conjunction with Save the Children launched and coordinated (full time coordinator funded) the Education cluster. This was very key during the crisis providing a focal point for NGOs and was used to strategize and work together by partners.	2012 – Education cluster became an education sector working group UNICEF has gradually handed this over to government. It is now chaired and hosted by the MoSPE.
	In conjunction with DFID (and later the EU) UNICEF started conversations around setting up a transition fund as a way to help the sector move away from emergency funding. 2009 – the Education Transition Fund (ETF) governance structures were set up – the Steering Committee included key ETF donors (DFID, Germany and the EU), two CSOs, UNICEF and the Permanent Secretary from MoESAC.	



Annex 5 (cont'd)

Zimbabwe Upstream Work in Education		
2003–2005	2006–2009	2010–2012
Leadership, Coordination (cont'd)		
2000–2004 - UNICEF contributed to the revision of the National HIV/AIDS Strategic Framework.	2009/10 – UNICEF used the success of the textbook distribution to open up the policy discussion on fees.	2010 Ministry of Education, Sport, Arts and Culture (MoESAC) 5-year costed Education Medium-term Plan (EMTP) (formalised planning leading to GPE accreditation) – sector-planning work, analysis & technical assistance (High-level technical assistance for development of the national sector plan. (CfBT)
2004 - Concept and framework of Child Friendly Schools (CFS) by UNICEF Zimbabwe. Built upon ideas that were already there in the Zimbabwe education system.	2006 – Pilot of CFSs in 50 schools (10 per district) by 2008 this programme had reached 2,000 schools. Pilot used to inform policy discussions with MoESAC – Directors’ Circular Number 41 of 2006, was sent to all relevant government bodies introducing the guidelines and outlining what constitutes a "Child Friendly School" for the promotion of Quality Education in Zimbabwe.	
2004 Policy Review “A UNICEF review of the revised draft Education Act followed by an advocacy meeting with parliamentarians, including the Education Portfolio Committee, on education and gender-based violence. UNICEF recommended the declaration of free primary education starting with immediate effect for orphans and vulnerable children (OVC) followed progressively by a declaration for all children by 2010; an interim co-financing strategy which will be based on a consensus among all stakeholders and includes the elimination of taxation on textbooks.” (Annual Report, 2004) Successful promotion for a review of the basic education policy using participatory grassroots processes and with co-funding from UNESCO. (Annual Report, 2004)		



Annex 5 (cont'd)

Zimbabwe Upstream Work in Education		
2003–2005	2006–2009	2010–2012
Leadership, Coordination (cont'd)		
2005 - "Development of National Early Childhood Development (ECD) policy and strategy; Girls Education Strategic Plan, strategic plan on HIV/AIDS in Education and Life skills under development.		2010–11 Roadmap to update curriculum developed by MoESAC in conjunction with UNICEF.
Budgets, Capacity Development and system strengthening		
2004/05 - Launch of National Plan of Action (NPA) for OVCs which was preceded by detailed costing exercise, a detailed M&E plan utilising the national HIV/Aids M&E system. (decentralised)	<p>2008 – two MoESAC staff members sent on an external training course on CFSs by UNICEF.</p> <p>2009 – Then another Zimbabwe delegation which included the then PED of Manicaland (The Current Ministry's Director of Planning and Research) was sent for training on CFS in Nairobi in 2009.</p> <p>2009 – There was training funded by UNICEF (although costs were minimal) for senior managers and every teacher to create a friendly environment in schools. The training went down to the cluster level (6–10 schools) in Manicaland or nationwide?</p>	Under the (EERPN) – Save, WV and Plan took District Education Officers to schools some of which had not been visited for 25 years – in some cases organic capacity development of the DEOs occurred.
2000–2004 - UNICEF contributed to the revision of the National HIV/AIDS Strategic Framework.	2009 – Support to the new Minister for MoESAC (David Coltart) UNICEF funded the setup of his office – computer, internet connection etc.	2010 – Provision of technical expertise in the areas of budget, ICT and strategic planning including interim National Education Investment Plan
		2011–12 Costed Education Medium Term Plan (EMTP) followed up and supported by UNICEF and the World Bank (provision of TA).
		2012–13 - EMIS structures are being revamped with the supply of equipment (and internet connections) for districts ("regional offices"). Four pilot districts have been completed and the other 68 districts will be completed by early 2014. The contractor will start installing equipment before end November 2013. The hope is that the 2014 data will be captured at the provincial level and from 2015 at district level.



Annex 5 (cont'd)

Zimbabwe Upstream Work in Education		
2003–2005	2006–2009	2010–2012
Legislation		
		2011 - Development of an inter-ministerial position for a dedicated Child Rights Bill in the new Constitution commenced, building on consultations in 2010 with 4,000 children and consensus among critical decision-makers for legislative reform priorities.
Communication, Advocacy		
2004 - The launch of the Girls' Empowerment Movement followed by the elaboration of a girls' education policy and strategy with active participation of girls who formed 50% of the participants; and capacity development of school heads, and school development committees".	2008 - UNICEF participation in the social protection thematic group under the MDTF. UNICEF supported the convening of the national social protection conference which adopted an important resolution on formulating a social protection strategic framework for Zimbabwe in 2010. Further the MTP is now being formulated with social protection as one of its key pillars.	2011 - Ongoing advocacy with the Ministry of Finance to increase budget shares going to social services (carried out by UNICEF Social Policy Advisor).
2004 - Successful promotion for a review of the basic education policy using participatory grassroots processes and with co-funding from UNESCO.		2012–13: Support through briefing notes and data on BEAM for the Ministry of Finance and the Ministry of Labour and Social Services.
2004 - Integrated Early Childhood Development (IECD) – concept note, trainers trained, Early Childhood Education and CARE (ECEC) handbook, materials & working group in place.		

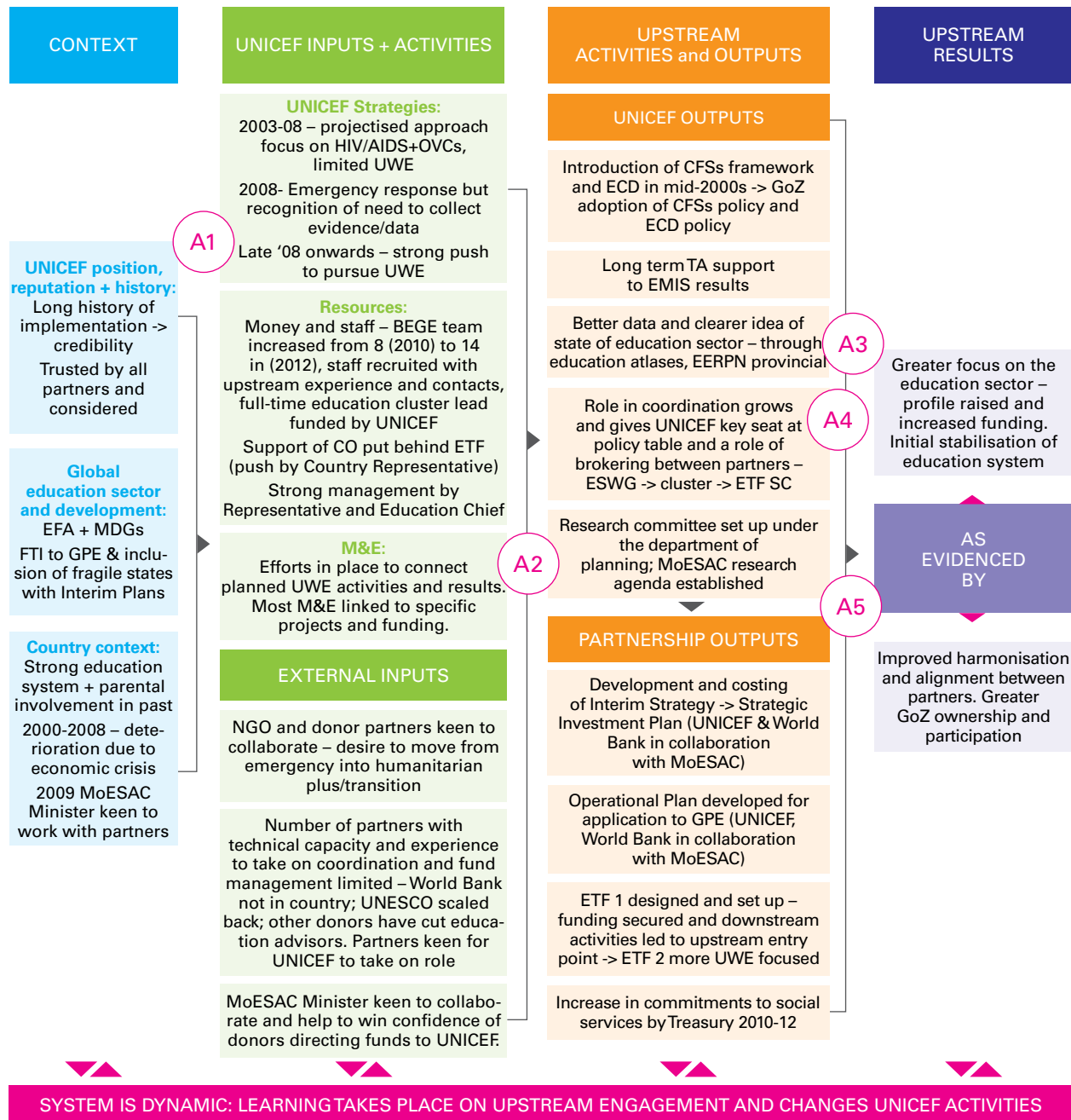


Annex 5 (cont'd)

Zimbabwe Upstream Work in Education		
2003–2005	2006–2009	2010–2012
Upstream Extracts from UNICEF Reports		
<p>"At the national level, UNICEF will advocate for national policies, strategies and legal and institutional reforms that ensure realization and monitoring of the rights of all children" (Annual Report, 2004)</p> <p>"The Government of Zimbabwe and UNICEF will promote broad partnerships for OVC-friendly policy reform that promotes inclusion and non-discrimination and ensures equitable and gender sensitive access, completion and learning achievements in education." (CPD 2005–6)</p>	<p>"In strategic planning, social policy and communication, the programme will contribute to these results: (a) strengthened national information and knowledge on the situation of children and women; (b) quality Millennium Development Goals monitoring; (c) the development and implementation of the Zimbabwe Economic Development Strategy for 2007–2011 that addresses key challenges for children and women and gender equality; (d) Capacity development for mainstreaming of human Rights and gender in development and (e) sustained advocacy for the realization of child rights". (CPD, 2007–2011).</p>	<p>"In collaboration with other United Nations agencies, UNICEF will support capacity-building of ZIMSTATs, the new semi-autonomous government statistics agency. UNICEF will also support national surveys, including the Demographic and Health Survey in 2011 and the multiple indicator cluster survey in 2013/14, to gather baseline data and monitor progress on the Millennium Development Goals. Zimbabwe Multiple Indicators Monitoring Survey (MIMS), 2009. MIMS is a customized version of the Multiple Indicator Cluster Survey (MICS), adding a number of non-MICS indicators, such as migration, income/expenditure and provision of water and electricity, in order to capture the rapidly changing situation in Zimbabwe. However, the data-collection instruments will remain mostly the same to ensure comparability of data" (CPD 2012–15).</p>
	<p>"Due to the lack of updated data on humanitarian and development indicators, a number of major surveys and assessments, including the MIMS, were carried out. Findings from these surveys are concurrently distributed to all staff for their update and UNICEF has affirmed its status as a central hub for knowledge and evidence as it relates to women and children in Zimbabwe... There is also an opportunity to contribute to the global and regional evidence base through impact evaluation in several areas where the global evidence base is weak" (Annual Report, 2009: UNICEF, 2009a).</p>	<p>"A major result of UNICEF interventions in education will be increased access for the most vulnerable to all levels of basic education, including early childhood development...Ensuring a conducive policy, legal and budget environment will entail a strong focus on development and monitoring of standards; better education management information systems; a coherent approach to fees, levies and incentives, including assessing the feasibility of planned abolition of all fees; and ensuring that schools are safe and secure places for girls and boys" (CPD 2012–15).</p> <p>"While the CO has adopted an approach that focuses on using its programming/service delivery positioning to influence policy reform, both in turn being influenced by evidence/knowledge generation activities, the mix of upstream versus downstream activities required is rapidly evolving with the context." (Annual Report, 2011)</p>



ANNEX 6: THEORY OF CHANGE INTERPRETED FOR ZIMBABWE



Key assumptions / risks

- A1** The mix of UNICEF inputs is suited to produce quality outputs leading to policy influence, capacity building and upstream impact cost effectively.
- A2** If UNICEF has these inputs in place, it will be able to produce some of the outputs. However, it has to go into partnership with boundary partners and education public sector actors
- A3** UNICEF's outputs are sufficiently relevant to its partners and countries to sustain partnership, achieve upstream impacts.
- A4** These UNICEF and partnership outputs, either individually or in combinations, will result in policy influence and capacity for education management.
- A5** UNICEF's approach and outputs internally and with partners are sufficiently coherent to lead to upstream impact.



ANNEX 7: SUMMARY EVALUATION MATRIX FOR ZIMBABWE CCS

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<i>Responding to detailed questions in the Evaluation matrix, what are the most salient facts established?</i>	<i>Reference to correct part of the CCS report.</i>	<i>(Following the analysis and judgment criteria proposed in the Evaluation Matrix, what are the most important inferences drawn by the evaluation team?)</i>	<i>(If applicable) use this column if the country case study relevant to the EQ offers lessons or recommendations relevant to the evaluation overall.</i>
EQ1. What has been the context for UNICEF's education work?			
Subquestion 1.1			
Sub-question 1.1 Who are the major players, alongside UNICEF, concerned with basic education? What differentiates UNICEF and its positioning from the other players (as perceived by UNICEF and by others)?			
<p>For 2010 GPE reported that data for the monitoring exercise on aid effectiveness in the education sector was provided by the European Union Delegation as Coordinating Agency on behalf of other donors including Australia (AusAid), Denmark, European Union (EU), Finland, Germany, International Organization for Migration (IOM), Japan, Netherlands, New Zealand, Norway, Sweden (Sida), UNESCO, UNICEF, United Kingdom (DFID) and United States (USAID). Reported that there "are 15 development partners providing aid to the education sector in Zimbabwe & expecting to decrease in 2012. Together, these 15 donor partners provided a total of US\$55.4 million to the education sector in 2010." (GPE, 2010)</p> <p>Contributors to the ETF 1 (2009–2010) were: AusAID (\$1.6m); Denmark (\$1.9m); DFID (\$10m); EC (\$10m); Finland (\$5.8m); Germany (\$10m – in process); Japan (\$1m); Netherlands (\$1.5m through EECPT); New Zealand (\$1.2m); Norway (\$7.2m); Sida (\$2.4m); USAID (\$1m). OSISA also mentioned in other documents (UNICEF, 2011g).</p> <p>Contributors to ETF2: DFID (\$71m); Germany (\$41m); EC (\$25m); Finland (\$7m); OSISA (\$3m); Sida (\$0.5m); Norway (\$0.007m) (UNICEF, 2013i)</p> <p>Main INGOs – SNV, World Vision, Plan International and Save the Children. CAMFED significant programmes. Also a range of local NGO delivering service to children & in education.</p>	<p>National Context (Chapter 1)</p> <p><i>Results of Upstream Work (Chapter 2) – Mini-case study on ETF</i></p> <p>Annex 3 – aid data</p>	<p>UNICEF has a unique position among the education players, better placed to mediate and coordinate, and also has substantial education sector capacity and Zimbabwe understanding. Its unique role is appreciated by government, donors and implementing agents.</p>	



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p>Subquestion 1.1 (cont'd) Sub-question 1.1 Who are the major players, alongside UNICEF, concerned with basic education? What differentiates UNICEF and its positioning from the other players (as perceived by UNICEF and by others)?</p>			
<p>Other key UN partners: UNESCO (although currently very small presence in education in Harare & also serving 3 other countries). All other UN agencies: UNDAF, UNDP etc.; World Bank not in country (Zimbabwe still in arrears) but played a role in certain education planning processes (EMTSP)</p> <p>UNICEF's positioning: A UN agency, therefore more trusted by government (compared to donors/ embassies) and better access to government.</p> <p>Long-term relationship with the liberating forces of Zimbabwe (support schools in refugee camps), through to early support of education system of Zimbabwe in the 1980s (ZIMTEC).</p> <p>Long record and experience in delivering projects – mostly through INGOs as implementing/delivery partners.</p> <p>Plays a key role in coordination in sector. Coordinating, hosting & funding key institutions (Education Sector Working Group until very recently; Cluster; Education Coordinating Group) but also strong informal network at different levels.</p> <p>Strong education capacity in country (BEGE office of 7 in 2008; 14 in 2013), also strong national staff – education capacity in Zimbabwe has been reducing in donors & other UN organisations. Chief of Education post raised from P4 to P5 in 2010.</p> <p>Prior experience in managing multiple donor fund (NPA for OVC; ETF).</p>			
<p>Sub-question 1.2 What have been the key developments in the country aid environment during the evaluation period?</p>			
<p>In 2001 western donors, World Bank and IMF cut aid due to the land seizure programme. Most donors not prepared to take funding direct to government (EU sanctions against key people and organisations). As a result of the political situation in the country foreign donors and international organisations were also not prepared to support the country extensively so aid declined, and focused on humanitarian aid. World Bank not re-entering because of country contribution arrears.</p>	<p>Introduction – National Context</p>	<p>Absence of some organisations and reluctance of donors to fund government directly created space for UNICEF.</p>	



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p>Sub-question 1.3 What have been the key partnerships concerned with basic education, and how has UNICEF featured in these?</p>			
<p>Education Cluster (EC) activated in June 2008, created from earlier Education Sector Working Group (ESWG). EC deactivated end of December 2012 and ESWG resumed. 117 cluster members reported in Nov 2011, with involvement of govt., UN agencies, Local NGOs and INGOs. 40 people present at meeting in July 2012, confirming wide representation. UNICEF providing/funding coordinator and also provide meeting space & logistical support. (Minutes of meetings and interviews)</p> <p>Education Coordination Group (ECG). Members include: Perm Sec, all funding partners, UNICEF, UNESCO, select Civil Society (UNICEF as Secretariat). Provides the sector wide framework for donor support to MoESAC priorities. An umbrella mechanism to monitor all existing and planned bilateral and multilateral funding aid and their impact on progress towards Education for All. Acts as the in-country Local Education Group linked to the GPE process (Terms of reference ETG Governance structures)</p> <p>ETF Steering Committee (ETFSC). Chaired by: Minister/Acting Minister Members include: Perm Sec, ETF funding partners, UNICEF, UNESCO. (UNICEF as Secretariat). Provides guidance to ETF IC activities. Approves ETF Annual Work Plan.</p> <p>ETF Implementation Committee. Chaired by: Permanent Secretary</p> <p>Members include: MoESAC five Principal Directors, Director (Finance), Director (PRD), UNICEF. (Chief of BEGE)</p> <p>National Education Advisory Board – Appointed in 2009 by Education Minister: range of Zimbabwean experts & stakeholders> Not much evidence of activity after 2009 situation analysis. (Terms of reference ETG Governance structures)</p>	<p>Chapter 1 – upstream work by UNICEF</p> <p>Chapter 2 – Evaluation Findings</p>	<p>UNICEF role in coordinating illustrated by secretariat role on ECG & ETF. But also evidence from interviews of deeper role in mediating through informal channels at various levels.</p>	
<p>Sub-question 1.4 What have been the principal international trends in regard to basic education and gender equality? What issues have been the focus of international debate and action?</p>			
<p>See global framework</p>	<p>Global Evaluation Report</p>		



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
EQ2. What upstream work has UNICEF undertaken?			
Subquestion 2.0 What is meant by “upstream work” and how can it be distinguished in practice from other types of intervention?			
<p>Upstream work was defined differently by different stakeholders. UNICEF’s work in Zimbabwe seemed to be a complex mixture of implementation and upstream work which often overlapped and inter-meshed.</p> <p>Care had to be taken in terms of the definition with Government due to sensitivities around government ownership of policy work. Some of the definitions used by those interviewed were:</p> <ul style="list-style-type: none"> • Move away from implementation towards policy. • Linear or cyclical? • Working closely in partnership with Government. • Implementation can -> upstream. • Gathering evidence and experience. • Longer term Government involvement and change. • Joint accountability. <p>Only one UNICEF staff member did not really know what upstream work was and this was a consultant so not part of the core team.</p>	<p>Introduction – Upstream work by UNICEF</p>	<p><i>Key that the definition of upstream work allows for the interaction between implementation and policy discussion.</i></p> <p><i>Upstream work should be seen as part of a cycle of change rather than the main cause of change. Often the relationship between upstream and downstream is not linear.</i></p>	<p><i>Upstream work should be seen as part of a cycle of change rather than the main cause of change. Often the relationship between upstream and downstream is not linear.</i></p>
Subquestion 2.1 What “upstream work” can be identified in Zimbabwe over the evaluation period?			
<p>Significant upstream work, even prior to HQ shift</p> <ul style="list-style-type: none"> • Provision of technical assistance in range of areas e.g. EMIS. • Brought ideas and international examples to policy table e.g. Early Childhood Development Policy + framework, Child Friendly Schools framework. • Support on education data & evidence e.g. EMIS SACMEQ; various situation analyses & assessments. • Support on policy and frameworks (Education Act, NPO for OVC; ECD) <p>Increasing weight of upstream since transition. (2009 onwards)</p> <ul style="list-style-type: none"> • Convening and coordinating role. • Support on planning e.g. Education Medium Term Plan and work for successful entrance into GPE. (including required evidence – EMIS & ZELA) • Fundraising & management – ETF 1 and 2. 		<p><i>Have always done upstream work but became a more central focus after 2009 – driving seat at the policy table, developing evidence and focusing on a national impact.</i></p> <p><i>Success in upstream work has driven forward the CO’s focus on upstream work.</i></p>	



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p>Sub-question 2.2 In what ways has “upstream work” been defined by UNICEF and incorporated in its strategies and policies? What was the rationale for emphasis on upstream work in education? Has UNICEF (explicitly or implicitly) spelt out a theory (or theories) of change for upstream work in education?</p>			
<p>Among UNICEF country education leadership from 2008 onwards there was a clear sense of moving upstream: going to national scale, gathering of evidence and persuasion/advocacy/coordination on the basis of this; moving to get people around the policy table and taking a leading role at the table; supporting planning. There was also a readiness to move further upstream as required.</p> <p>The representative from 2009 had a model of overlapping rings (programming, policy and evidence/evaluation) which was pushed quite strongly and can be identified in the CPD 2012–2015.</p>	<p>Interviews</p>	<p><i>Strategic country leadership – focused on making a significant contribution in the education sphere – not just running a series of pilots.</i></p>	<p><i>Strategic country leadership – focused on making a significant contribution in the education sphere – not just running a series of plots.</i></p>
<p>Sub-question 2.3 What measures has UNICEF taken to prioritise upstream work in education? e.g.: a. strategic plans and policy guidance (including KRAs etc.)? b. tools, methodologies, capacity development? c. M&E mechanisms to support emphasis on upstream work (how have targets been set and achievements measured)? d. Other measures?</p>			
<p>From 2009 country rep advocated “upstream” and this can be found in the CPD. Appropriate human resource capacity was brought in (hired) to make more upstream work possible. Regional Office supported the shift in personnel profile but seems to have done little else (although 1 person mentioned relevant courses at regional level). No evidence of push/guidance from headquarters. No evidence of shift in BEGE objectives/targets.</p>	<p>CPD; interview with rep/ head of BEGE; regional/ headquarters input, all other interviews.</p> <p>See Chapter 2 – Relevance and Results</p>	<p><i>Key individuals championed but not really an organization-wide strategy; Ability to push upstream may also depend on country context – small window of opportunity depending on space opening up and then sufficient trust in UNICEF; and flexibility to move into the space.</i></p>	<p><i>UNICEF needs to develop theory of change and look systematically at implementation and tools.</i></p>
<p>Subquestion 2.4 Have shifts to upstream work been reflected in UNICEF budgets and UNICEF’s portfolios of activities?</p>			
<p>Expenditure data not easily available to access spending trends. (substantial work would have to be done on country work plans which in any case reflect plans and not actual expenditures)</p>	<p>Staffing list from 2003; Interviews with chiefs</p> <p>Chapter 2 – Internal Coherence</p>	<p><i>Budgeting and expenditure management practices in UNICEF seems to lag behind many developing country governments – budgets and expenditure not documented systematically and transparently.</i></p>	<p><i>Budget and expenditure management reform in UNICEF – or at least transparency – seems to be required.</i></p>



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
EQ3. How relevant has UNICEF's (approach to) upstream work been?			
Sub-question 3.1 Is UNICEF Zimbabwe's approach to upstream work aligned with its mandate and objectives?			
UNICEF Zimbabwe's approach to upstream work is on strengthening access and quality through increasing inputs (textbooks/quality of teachers) but also system improvements (funding mechanisms, data & research and curriculum) – this feeds strongly into the mandate to expand children's right – and the focus on girls – and expand opportunities to reach their potential.	Evaluation Findings – Relevance		
Sub-question 3.2 Do UNICEF's priorities align with emerging priorities for education in Zimbabwe?			
Yes, UNICEF is prioritizing activities to improve access to and quality of education, which are also central priorities for Zimbabwe.	Evaluation Findings – Relevance	<i>The ZCO was able to be flexible and to move into emerging areas of priority partly because of the decentralized model.</i>	
Subquestion 3.3 How well aligned are UNICEF Zimbabwe's policy positions and outputs to government priorities?			
A quality education system has always been a key priority of the Zimbabwean government. The UNICEF programme is therefore well-aligned, although there may be some disagreement on specific methods of promoting access and quality. Government has a perception that physical infrastructure and programmes such as CFS are not getting their due, and that the drive on school grants may reflect donor & UNICEF preferences. In general the extent of alignment, however, seems high.	Evaluation Findings – Relevance	Government expressed some concern that UNICEF may be becoming more aligned with donor priorities than government priorities due to their role as a fund manager and mediator.	
EQ4. What are the identifiable results of UNICEF's (shift towards) upstream work? Are there discernible patterns in these results?			
Subquestion 4.1 .. in terms of UNICEF participation in global and regional education partnerships (from the country perspective)?			
UNICEF has assisted through support of data and planning work, Zimbabwe's entry into the GPE. UNICEF's role in education policy has become stronger – also in the absence of the World Bank and given low capacity of UNESCO in the country.	Evaluation Findings – Results of UNICEF's Upstream work		



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p>Subquestion 4.2 ... in terms of UNICEF activities at country level?</p>			
<p>Created & facilitated dialogue and coordination (impacting “procedures”/ opening up “new spaces for policy dialogue”). Created new strong networks of learning and idea development.</p> <p>Generation and use of evidence & successful delivery of certain programmes led to attitudinal change: acceptance of need to intervene & through new mechanisms/convinced of urgency of situation and having humanitarian+; acceptance of new way of doing (ETF) & urgency of situation; also about what is possible.</p> <p>Behavioural change in the sense that interventions were now based on evidence.</p> <p>Strengthen capacity to manage through, equipment, technical assistance and support networks.</p>	<p>Evaluation Findings – Results of UNICEF’s Upstream work</p>	<p><i>Could argue that there was a big shift from implementing/ supporting certain projects in education to playing a central role in generating/coordinating dialogue in the sector, having a seat at the policy table and generating evidence for and supporting planning. Although it is important to note that whilst upstream role increased role in implementation continued.</i></p> <p><i>UNICEF kept the education conversation going, secured significant funds for transition and delivered key project very effectively (especially textbooks) which lifted morale and operations in the sector.</i></p>	
<p>Sub-question 4.3 ... in terms of different Key Result Areas (KRAs)? viz:</p>			
<p>KRA 1 - Early Childhood Development (ECD) and school readiness UNICEF introduced the ECD framework into Zimbabwe in 2004. And started doing ECD training in 2007. There was successful uptake in some Provinces and their Districts with early childhood play areas being built by communities with relatively small grants and training of Provincial and District officers. There is now an ECD policy in Zimbabwe.</p> <p>KRA 2 - Equitable access: This theme runs through UNICEF Zimbabwe’s programming, even though Zimbabwe had almost completely equitable access and attendance at primary school in the 1990s. There are programmes being run donors specifically addressing access for girls. However, EMIS results shows that boys are more disadvantaged in some districts – they are withdrawn from school and provide cheap labour (e.g. in the mines, doing gold panning).</p>	<p>Evaluation Findings – Results of UNICEF’s Upstream work</p>	<p><i>UNICEF has had successes in terms of getting its ideas and terminology integrated into government thinking/ ways of doing. This has been particularly true in the case of ECD and CFSs. However, it has to some extent moved on/ is perceived by government to have moved on from CFSs.</i></p>	<p><i>Investment in upstream work needs to be long term and to reinforce the same ideas/ principles ideally using the same terminology. Especially in fragile contexts ideas take a long time to embed and reach large scale implementation.</i></p>



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p>Sub-question 4.3 (cont'd) ... in terms of different Key Result Areas (KRAs)? viz:</p>			
<p>KRA 4 - Education in Emergencies. (including “building back better”) This is a theme pursued in the Education Transition Funds (1 and 2) which followed directly after the lowest point (2008/9) in the education system. The ETF seeks to revitalise the education sector to obtain universal and equitable access to quality basic education for all Zimbabwean children. Historically, the quality and inclusivity of education has been high. So the goal is to build the system back to what it once was, and of course to build even stronger and resilient system.</p>	<p>Evaluation Findings – Results of UNICEF’s Upstream work</p>	<p><i>UNICEF has had successes in terms of getting its ideas and terminology integrated into government thinking/ ways of doing. This has been particularly true in the case of ECD and CFSs. However, it has to some extent moved on/ is perceived by government to have moved on from CFSs.</i></p>	<p><i>Investment in upstream work needs to be long term and to reinforce the same ideas/ principles ideally using the same terminology. Especially in fragile contexts ideas take a long time to embed and reach large scale implementation.</i></p>
<p>KRA 3 - Quality and Child Friendly Schools, and CFS case study in Chapter 2: CFSs as a set of ideas and a framework was introduced by UNICEF Zimbabwe in the early 2000s, and taken up by government and in 2004. UNICEF submitted a proposal for funding from 2005–2009 through ESARO. CFSs was initially piloted in 50 schools, and by 2008 had reached 2,000 schools, with CFS framework and principles being incorporated into the minimum standards, culminating in the Directors’ Circular (Number 41 of 2006. By 2008 there were 250 CFS pilots in Zimbabwe, and two MOE officials trained to drive scaling-up efforts. Currently, CFS principles are included in the school grants initiative planned as part of ETF 2. The government plans to continue with CFSs, and would require more support and continuity from UNICEF on this thematic area.</p>	<p>Evaluation Findings – Results of UNICEF’s Upstream work</p>	<p><i>UNICEF has had successes in terms of getting its ideas and terminology integrated into government thinking/ ways of doing. This has been particularly true in the case of ECD and CFSs. However, it has to some extent moved on/ is perceived by government to have moved on from CFSs.</i></p>	<p><i>Investment in upstream work needs to be long term and to reinforce the same ideas/ principles ideally using the same terminology. Especially in fragile contexts ideas take a long time to embed and reach large scale implementation.</i></p>



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p>Subquestion 4.4 Have there been unintended results of UNICEF's shift towards upstream work?</p>			
<ul style="list-style-type: none"> • ETF led to difficult relationship with some NGOs because they lost education funding (UNICEF contracted with three main INGOs as delivery partners) & direct access to donors; working with fewer delivery partners. • Upstream work – hard to measure result/ spend money (attribution/VFM). May have effect on funding over long term • Potential reliance in ministry on TA – loss of capacity/ Ministry refusing TA. • ETF makes UNICEF a fund manager – Ministry complains about ideas from donors being imposed (not working according to GOZ plan)/trust questioned/ lots of work with MDC ministries – risk of policy space closing down. • Labelling of textbooks as “UNICEF” -> less Government ownership • SDC & school grants empower communities: positive but political fallout. • ETF II addressed many of the unintended results of ETF I – such as concerns around textbook implementation indicating some learning from UNICEF and partners. 	<p>Evaluation Findings – Results of UNICEF's Upstream work</p>	<p><i>The dominance of the ETF puts UNICEF in a unique position as a fund manager for a large multi-donor fund. Whilst this provides financial security for UNICEF it also poses risks in terms UNICEF maintaining: its stance of neutrality, the balance between upstream work and implementation.</i></p>	<p>The degree to which the agenda at CO level is driven by funding – difficult to balance with UNICEF HQ agenda if funding that accompanies it is minimal.</p>
<p>EQ5. How coherent have approaches to upstream work been within UNICEF?</p>			
<p>Sub-question 5.1 Is there is a shared understanding of what constitutes 'upstream' work in BEGE? How well is it understood by Education program staff at all levels?</p>			
<p>There does seem to be a shared understanding within BEGE/ the CO education team as to what constitutes upstream work but the definition is broad and somewhat unspecific. It could perhaps be say that there is a shared understanding of broad direction but not really of more detailed strategy.</p> <p>The previous Country Rep emphasized and advocated the link between implementation/programming, policy work and research/ knowledge management. Each team had to have well-understood goals for each area. These, however, did not seem to get institutionalized in targets, reporting etcetera.</p>	<p>Evaluation Findings – Internal Coherence</p>	<p><i>Coherent approach to upstream work in Zimbabwe was largely driven by the Country Rep who had a clear vision and strategy. This only happened in the later part of the period.</i></p>	<p><i>Dependence on international staff (especially at Rep level) to drive forward upstream agenda – when this is lacking input from Regional Level and global level does not seem to be enough to set CO level direction.</i></p>



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
Sub-question 5.2			
To what extent is there collaboration on upstream work across units at UNICEF CO?			
<p>There was collaboration on upstream work across units particularly with Gender, and Social Policy staff within the CO. Upstream work seems to be something that has been pushed hard by the previous rep across the CO.</p> <p>Due to the very separate, large stream of funding to the Education Department in Zimbabwe they were considered somewhat internally focused. They received support and advice from the social policy section. However, the gender advisor felt that they did not inter-act with her as much as other departments because their department already "covered" gender in their name! (BEGE).</p>	<p>Evaluation Findings – Internal Coherence</p>		
Sub-question 5.3			
To what extent is there collaboration on upstream work across HQ, regional and country levels of UNICEF?			
<p>There is limited collaboration with HQ. The regional office provides some support with training of staff (usually senior level staff e.g. Education Chief). They also review programmes and are involved in the recruitment of staff at Chief level. There is a push from regional level to try and get strategic managers (not just implementers) at the level of Education Chief.</p>	<p>Evaluation Findings – Internal Coherence</p>	<p><i>COs are very decentralized and autonomous therefore collaboration with HQ tends to be driven by the COs. In Zimbabwe the upstream agenda is very much considered to be home grown.</i></p>	<p><i>Limited collaboration on day to day upstream work. CO's are so independent that although the Regional Office can make an environment conducive to upstream work they cannot make it happen.</i></p>
Sub-question 5.4			
To what extent has relevant advice, methodological support and capacity development been provided between different levels and departments of UNICEF?			
<p>No evidence of advice, support & capacity development from HQ & RO to CO. The CO Rep after 2009, however, championed upstream but this seems to have been driven through new recruitment, rather than through capacity building – the CO was very independent in terms of the national staff they appointed. Whilst HR draws on the same global competency matrix in the recruitment of staff, job descriptions are developed at CO level. There was input into the recruitment process from HQ (approval) and regional level staff were involved in the recruitment panel for the education advisor.</p>	<p>Evaluation Findings – Internal Coherence</p>	<p><i>Most of the capacity development at CO level seems to have been achieved by recruiting those in to the organization with upstream experience – little advice, methodological support & capacity development from HQ..</i></p>	<p><i>For sustainability increased advice, methodological support & capacity development will be needed – although this must still respect the deep understanding of local conditions.</i></p>



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
EQ 6. Has UNICEF's upstream work in education been coherent with that of major external partners?			
Sub-question 6.1 Has UNICEF Zimbabwe communicated clearly its upstream approaches and the policy positions it seeks to promote through upstream work?			
<p>UNICEF very much works in conjunction with other donors and NGOs in terms of the policy positions it is pushing in education. Perhaps partly due to the political sensitivities surrounding upstream work UNICEF does not overtly communicate its policy positions in country.</p> <p>However other external partners were largely in agreement with the approach that had been taken. NGOs found that UNICEF was willing to listen to their concerns and policy changes that were relevant to their implementation and to take them to govt.</p> <p>There were some reservations going forward about the need to start transitioning away from transition. This was raised by government (in terms of the need to build in sustainability) and by donors who are uncertain about funding going forward.</p> <p>External partners saw upstream work as only one part of UNICEF's work in education it was definitely considered possible due to UNICEF's role in coordination and implementation. It was this that had earned them the credibility and access to policy discussions. Their approach therefore ties policy work to research, data collection (to make a case) and implementation (to demonstrate understanding and insight).</p>	<p>Evaluation Findings – External Coherence</p>	<p><i>UNICEF Zimbabwe works in a very collaborative way with other stakeholders in the sector. As a result those interviewed felt that they knew and understood UNICEF's positions as they were shared with other partners.</i></p> <p><i>UNICEF was considered to have access to discuss policy matters with government in a way that some other actors did not.. It therefore acted as a go-between.</i></p>	<p><i>In some contexts UNICEF's neutral, non-governmental stance gives it access to discuss policy with government that other actors do not have.</i></p>
Sub-question 6.2 Has there been effective coordination and has UNICEF's upstream work been complementary with that other UN agencies and/or other international partners?			
<p>There has been effective coordination – particularly since 2008/9 when the cluster system was set up which changed back to the ESW in 2013. This is supplemented by ETF governance structure (see EQ 1.3)</p> <p>While there is substantial reporting and UNICEF's programmes are incorporated in the UN programme it is unclear whether there is any joint deliberation about directions and how strategies could complement each other.</p>	<p>Evaluation Findings - External Coherence</p>	<p><i>There has been effective coordination in the education sector since 2008/9 and this has been pushed by UNICEF with support from OCHA. From the clusters came the first education atlas' which mapped the work of all the partners across the country. The upstream approach is one that is well understood across the UN family in Zimbabwe – although some consider it a development fashion that may pass.</i></p>	<p><i>Emergencies/ crises provide funding which acts as a catalyst for coordination and drives forward coherence in programming.</i></p>



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p>Sub-question 6.3 Have UNICEF's resources for upstream work been applied where they can make the most difference? (complementarity and comparative advantage)</p>			
<p>UNICEF has played a central coordinating role and therefore has a very good overview of what is going on in the sector (this has particularly been the case since 2008/9 when they started to produce the Education Atlas'). They mostly use implementing agents (thus not competing and duplicating work of NGOs). UNICEF has among NGOs a reputation to responding to gaps identified by partners and to utilize best practice in partners. This has enabled UNICEF to put money into pilot schemes and research papers which are pertinent to what is happening in the sector. They have also relied on others – such as the World Bank and external consultants – in areas where specific technical approaches were needed which they do not have in-house.</p>	<p>Evaluation Findings – External Coherence</p>	<p><i>UNICEF has been sensitive to the strengths and experience of partners and seem to be learning from them, rather than competing and duplicating.</i></p>	
<p>EQ7. What factors account for the success (or not) of UNICEF's upstream work?</p>			
<p>Sub-question 7.1 Has UNICEF allocated resources efficiently to upstream work?</p>			
<p>It is unclear what efficient resource allocation would mean in this context. In the Zimbabwe BEGE office there has been a strengthening of human capacity towards upstream work through recruitment. Data are not available to track allocation of resources between upstream and other activities.</p>	<p>Evaluation Findings – Factors Explaining the Results of UNICEF's upstream work</p>	<p><i>Expenditure management and tracking systems not in place to track resource shifts in UNICEF between different approaches. (shifts between programmes – education, wash, etc. – could presumably be tracked better but actual expenditure data not routinely available)</i></p>	
<p>Sub-question 7.2 Have UNICEF's partners been willing to support and to fund upstream work in education?</p>			
<p>Those donors interviewed saw the intrinsic value of the upstream work UNICEF was doing. In the ETF upstream work was integrated into an overall programme and budget. Donors also acknowledged the key role UNICEF was playing with upstream work, gaining agreement and buy-in from government on the ETF and the relevant policy associated policy work.</p> <p>There is, however, a sense that results of upstream work are difficult to measure, so donors might find it difficult to sell to their constituencies.</p>	<p>Evaluation Findings – Factors explaining the results of UNICEF's work</p>	<p>Large funding for programme seems to have made it easier to fund upstream (small portion/ hidden) – as programme funding declines it may become more difficult to get funding for upstream. Especially if see others (World Bank etc.) as being stronger at it.</p>	<p>UNICEF will have to give attention to how upstream work is marketed – the indicators of the results of upstream work (say a policy accepted, study completed) are often not as sought after as say schools built, and improving exam results. This calls then for a widely accepted theory of change and evidence on its plausibility.</p>



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p>Sub-question 7.3 Has UNICEF been effective in dialogue with partners at different levels? How effective have global, regional and country partnerships been?</p>			
<p>UNICEF Zimbabwe has been very effective in dialogue with partners at national level. It has provided a “neutral” platform for dialogue between partners who previously were struggling to engage (NGOs, donors, government). Have built channels “up” (donors/government)and “down.” (implementing partners)</p> <p>The size of the education programme in Zimbabwe means that there seemed to be limited dialogue regionally or globally, although UNICEF has been a key player in bringing Zimbabwe into the Global Partnership for Education.</p>	<p>Evaluation Findings – Factors explaining the results of UNICEF's work</p>		
<p>Sub-question 7.4 Have UNICEF and its partners had the necessary capacities for effective upstream work? (cf. also EQ 8)</p>			
<p>UNICEF has in a short period of time (since 2009) developed increased capacity for upstream work. This was done mainly through the recruitment of high capacity staff at international and national level. There was limited structured training of staff but more a culture of learning by doing and by watching how senior, experienced staff were operating in terms of upstream work.</p> <p>Some feel that technical research still not UNICEF's forte and that it shows in some of the studies. Also difficult for UNICEF to recruit the right level of technical assistants (rates payable and also procurement processes) leads to all kinds of “mechanisms to procure & slowness in procuring.</p>	<p>Evaluation Findings – Factors explaining the results of UNICEF's work</p>	<p><i>UNICEF will have to focus on defining skills needed more clearly and find mechanisms to secure – both for staff and TA – and through recruitment and capacity building.</i></p>	
<p>Sub-question 7.5 Other factor behind success</p>			
<p>Strategic and focused leadership (In UNICEF and MoESAC) and strong national UNICEF staff.</p> <p>Trust and credibility built on a long shared history and reputation of impartiality</p> <p>Autonomy of country office which allows for learning and flexible adjustment to the environment.</p> <p>Specific circumstances: urgency of needs; constraints on direct support of government, more limited involvement of other “upstream organisations.”</p>			



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
EQ8. To what extent is UNICEF's upstream work sustainable?			
Sub-question 8.1 Are the results of upstream work (cf. EQ4) likely to be sustained?			
<p>Sustainability in doubt due to discontinuity in UNICEF staffing and shift in political situation (ZANU government). Also uncertainty about donor commitment to education.</p> <p>After 2009, UNICEF played a key role in restoring teaching and learning in Zimbabwe and has also promoted policies to further improve quality and access. Success resulted from strategic and focused ZCO and BEGE leadership (and a fortuitous change in leadership in MoESAC), a focus on key upstream work (data and evidence), UNICEF credibility and supporting the capacity for education management. Given the dire situation in 2008, there was significant shared pressure to secure a turnaround.</p> <p>Success was thus built less on UNICEF institutional policies and directions and government goodwill, than on somewhat opportunistic set of factors combined with strategic leadership. This leadership situation has changed dramatically (both in UNICEF, where a new representative and chief of education have just assumed post, and in the GoZ where a new ZANU-PF minister has been appointed). In addition donors and other UN organisations have little education capacity left in Zimbabwe and are uncertain about future commitments to education.</p> <p>UNICEF has, however, built very strong implementation and monitoring capacity through its implementing partners and the ESWG. Furthermore, much of the work done under the previous government such as the GPE plan and the Medium Term Sector Plan had significant buy-in from across government so there is hope that it will remain the base for moving forward (in spite of the ZANU PF manifesto describing the ETF as being an "illegal parallel structure".)</p> <p>Given these factors, and no clear HQ and RO involvement or strategy, sustainability is therefore in balance. Zimbabwe does, however, have stronger bureaucracies than in most of Africa which could ensure continued improvement if political stability prevails and corruption can be kept at bay.</p>	<p>Evaluation findings – Sustainability of UNICEF's Upstream Work</p>	<p><i>The next six months will be critical in terms of donors and the newly elected Zimbabwean government deciding what their policies will be going forward in terms of the ETF and the Education Medium Term Plan (and linked to this the GPE Operational Plan).</i></p> <p><i>Longer term there is a need to think how the ETF will transition to being funded by the GoZ and run by government systems.</i></p>	<p><i>In politically sensitive volatile environments such as Zimbabwe changing all senior UNICEF staff at once results in an unnecessary risk to programme sustainability and coherence as all relationships have to be re-built at once.</i></p> <p><i>An option in such contexts of staff staying for longer than 3 years should be considered.</i></p>



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
Sub-question 8.2			
Does UNICEF have/is it effectively developing the necessary capacities for continued upstream work?			
UNICEF has had very good staff in Zimbabwe at management/ international level – teamed with a strong national staff. While recruitment has thus supported a shift there is no evidence of a coherent approach to developing capacity for continued upstream work. While individuals have made opportunities to be trained in certain direction there is no country or BEGE strategy in this regard.	Evaluation findings – Sustainability of UNICEF's Upstream Work	<i>UNICEF has recruited increased capacity for upstream work. It will however be necessary to build in ways of maintaining and further developing this capacity.</i>	
Sub-question 8.3			
Are appropriate capacities being developed amongst governments and other partners at country level?			
Zimbabwe has a strong bureaucratic and policy tradition, with which political repression and economic decline interfered. Loss of staff during the crisis did impact severely but high literacy rates and the tradition of administration should make it easier to reignite the policy tradition and expertise. Donors are ready to support development of capacity but a reluctance from government to engage seems to be a bigger obstacle.	Evaluation findings – Sustainability of UNICEF's Upstream Work	<i>Real need to start planning and thinking about what will follow ETF 2 (2015). Very little evidence of systematic capacity building – lot of upstream driven by strategic representative who focused on appointing appropriate staff.</i>	
Sub-question 8.4			
Does UNICEF have adequate mechanisms for monitoring its upstream work and learning from experience?			
In Zimbabwe, upstream work reported in annual reports but not really found in objectives and targets in CPD – so have to say no systematic monitoring of upstream and no systematic learning. Donors find the Zimbabwe experience interesting and they see it as very successful and would like to learn from it – but no routine learning and knowledge management processes found. Probably related to the fact that the rationale for downstream not much developed in UNICEF and neither is the theory of change (and thinking about the relationship between upstream and downstream).	Evaluation findings – Sustainability of UNICEF's Upstream Work		<i>Need for a more systematic approach to upstream in UNICEF. People do it where necessary but not systematically monitored and developed</i>



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A girl writes at her desk at the UNICEF-supported Mavambo Learning and Education Centre in the suburb of Mabvuke on the outskirts of Harare, the capital. The centre provides orphans and vulnerable children, who would otherwise have no access to basic education, a place to learn and spend their days. One in four children is orphaned, the majority due to HIV/AIDS.

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In 2008 in Zimbabwe, children dance at a school in Harare, the capital. UNICEF assists the school and its AIDS club, an extracurricular programme that promotes HIV/AIDS awareness and prevention and supports children affected by HIV/AIDS.

