

**MID -TERM EVALUATION**

**FINAL REPORT**

**Mid-Term Evaluation of the Malawi**

**National Registration and Identification System Project**

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| UNDP project ID | Malawi NRIS Project - Project ID: 00100113 |
| Period of project implementation | Nov 2016-Dec 2021 |
| Mid-term evaluation period | Nov 2016- Dec 2019 |
| Evaluation time frame  Date of evaluation report | Three months  February-April 2021 |
| Region and countries included in the project | Malawi, Africa |
| UNDAF Outcome: | National institutions foster democratic governance and human.  rights to promote transparency, accountability, participation, and access to justice for all, especially women and children. |
| Contributing Outcome: | Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance. |
| Indicative Output(s): | a) Up to 9 million Malawians are registered and issued with a National Identity card in 2017  b) NRIS is transitioned to a permanent and continuous registration system.  c) Government MDAs are assisted to adopt the use of the NRIS.  d) Project is efficiently managed, staffed and coordinated, and is implemented with national ownership |
| Implementing Entity and other project partners: | Implementing Entity: UNDP and the National Registration Bureau under the Ministry of Home Affairs |
| Government and stakeholders, including financing and technical partners: | Government of Malawi (GoM) and DFID, EU, Government of Ireland, Norway, USAID, and UNICEF |
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Implementers (UNDP, NRB, MOJCA, Home Affairs) also helped evaluators fully understand the project proof of concept[[1]](#footnote-1), initial implementation considerations and roll out modalities of the project.

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# Acronyms and Abbreviations

ADR Assistant District Registrar

BRK Biometric Registration Kit

COMESA Common Market for Southern and Eastern Africa

CRVS Civil Registration and Vital Statistics

CSO Civil Society Organization

DA District Administrator

DHRMD Department of Human Resource Management and Development

DRO District Registration Office

EBRS Electronic Birth Registration System

ESCOM Electricity Supply Commission of Malawi

EU European Union

FGD Focus Group Discussion

GoM Government of Malawi

GWAN Government Wide Area Network

ICAO International Civil Aviation Organization

ICT Information and Communication Technology

KPA Key Priority Area

KI Key Informant

KII Key Informant Interview

KRAs Key Result Areas

MACRA Malawi Communications and Regulatory Authority

MEC Malawi Electoral Commission

MDAs Ministries, Departments and Agencies

MGDS Malawi Growth and Development Strategy

MoFEPD Ministry of Finance, Economic Planning and Development

MoU Memorandum of Understanding

MOJ Ministry of Justice

MPC Malawi Posts Corporation

MPS Malawi Police Service

MRA Malawi Revenue Authority

MTE Mid-Term Evaluation

NID National Identity Card

NRB National Registration Bureau

NRIS National Registration and Identification System Project

NSO National Statistical Office

OPC Office of the President and Cabinet

PAA Public Audit Act

PFMA Public Finance Management Act

PMT Project Management Team

PPDAA Public Procurement and Disposal of Assets Act

PSC Project Steering Committee

SADC Southern Africa Development Community

SDGs Sustainable Development Goals

SADC Southern African Development Community

SDGs Sustainable Development Goals

UNDP United Nations Development Programme

USAID United States Agency for International Development

UNICEF United Nations Children’s Fund

UNDAF United Nations Development Assistance Framework

# Executive Summary

**Introduction**

Malawi had no comprehensive and accurate system of national identification, undermining citizens’ right to identity and depriving them of entitlement to services. Furthermore, the absence of a centralized and up-to-date national register led to poor capacity for evidence-based planning, beneficiary and service targeting, and accountable administrative systems. Players in various sectors exacerbated the situation by creating fragmented initiatives, leading to costly or unsustainable silos of information, which imposed institutional and technical obstacles to interlink information.

To facilitate a comprehensive and accurate system of national identification, and to rationalize disparate efforts by many players, the Malawi National Registration Act (No. 13 of 2010) entered into force in August 2015 requiring all Malawians 16 years of age and older to be registered in a National Registry and to be issued with an identity card. Other components of the national registration system include death registration and issuance of birth certificate, death certificate and marriage certificates. The National Registration Act mandates the National Registration Bureau (NRB) to fulfil these tasks.

In 2017, after a proof of concept in 2016, through the NRIS project, the Government of Malawi (GoM) established a robust ID system - which started linking with MDAs from 2018 onwards for specific purposes including accessing essential services. The Project sought to: design, establish and manage the necessary systems, infrastructure and equipment for the National Registration and Identity system, producing biometrically secure Smartcards; supervise the mass national ID registration for all eligible Malawians (an estimated 9 million) within the country in 2017; transition the system to a continuous registration model and to develop the capacity and systems of the NRB to maintain and operate the system; provide an interface to other public and private sector systems that allows for appropriate verification within a legal framework that complies with international principles and standards for the right to privacy and data protection; and to ensure the effective management of the Project.

**Evaluation Objectives**

The principal objectives of this mid-term evaluation were to assess the relevance[[2]](#endnote-1), coherence[[3]](#endnote-2), effectiveness[[4]](#endnote-3), efficiency[[5]](#endnote-4), sustainability[[6]](#endnote-5) and impact[[7]](#endnote-6) of the Malawi NRIS Project - hereafter called Project. The evaluation assessed the achievement of Project results and drew lessons that can both improve the sustainability of benefits from this Project and aid in the overall enhancement of UNDP programming in future projects.

**Summary of Key Evaluation findings**

Key informants and stakeholders were unanimous that despite the complexity of the Project design and implementation challenges, “tangible democratizing results have emerged from the NRIS Project”. The Project efficiently and effectively helped to confer identity, enable voting, and facilitate service delivery to citizens. This evaluation assessed and concluded that the Project achieved key, impressive, directly relevant, and impactful milestones achieved from 2016 to the end of the midterm evaluation – December 2019 as outlined in the table immediately below[[8]](#footnote-2). The midterm evaluation assessed that the NRIS Project was a decisive success because it met all and exceeded some of the originally set targets. The implementation achieved most outcome indicators and exceeded in several of them. The section below provides a summary that confirms these positive findings.

The MTE evaluation findings are that, resoundingly the NRIS project design, goal and its implementation were highly relevant and appropriate to Malawi development needs as it responded to the global, regional, and national development goals and achievements of global commitments. The project aimed to contribute to Government’s efforts to guarantee the fundamental right to identity, entitlement, and enjoyment of full citizenship in Malawi. The project achieved that objective.

**Exemplification**: The National Registration and Identification System (NRIS) project directly contributed to Government’s efforts to guarantee the fundamental right to identity, entitlement, and enjoyment of full citizenship in Malawi.

The development of the NRIS initiative was consistent with SDG 16 to: “promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels”. Specifically, the NRIS addressed SDG Target 16.9 that refers to providing legal identity for all and shall facilitate the goal of achieving comprehensive birth registration by 2030.

**Evaluation Rating:** In conclusion, the MTE assessed the alignment of the objectives of the NRIS project to national strategies and other projects and found that the project was ***Satisfactorily relevant***as it is aligned with the national development needs to guarantee the fundamental right to identity, entitlement, and enjoyment of full citizenship in Malawi. The project created the foundation to for systems improvement and contributed to the attainment of SDG TARGET16.9. Consequently, there are tangible improvements of accountability in planning, improved service delivery, and the effective operation of administrative systems supported by a functional NRIS.

**Relevance**

The pilot phase, nationwide mass registration drive, and continuous registration were implemented as planned. Evaluation findings indicators as shown in the results framework table show that the project was highly effective in achieving the intended results as the project targets were exceeded. The percentage of eligible resident Malawians registered and issued with identity cards was 94% - exceeding the set target of 90%.

**Exemplification**: 9 million Malawians were registered and issued with a National Identity card; the NRIS has been transitioned to a permanent and continuous registration system, and MDAs have adopted the use of the NRIS. As part of continuous efforts in capacitating NRB staff, the Malawi Institute of Management successfully delivered customized professional management training program comprised of 9 courses based on the capacity building needs as per assessment report.

A Network Monitoring System was installed at NRB headquarters in Lilongwe. The system enhanced NRB’s capacity to remotely monitor status of connectivity of District Registration Offices and Post Offices.

**Evaluation Rating:** Overall, the MTE’s finding rated the effectiveness of the NRIS project as ***Satisfactory.*** The evaluation findings show that generally, each of the project outcome was achieved and sometimes exceeding the planned targets. For example, the percentage of eligible resident Malawians registered and issued with identity cards was 94% exceeding the set target of 90%. Also, the number of private institutions using NRIS is over 10 at mid-term 2019:

**Effectiveness**

The Project succeeded in utilizing the allocated budget, training, and deploying of people, building up infrastructure, and meeting all set targets in developing a permanent and continuous national registration and identification system. Project investments achieved best value for money.

Evaluators tracked and ascertained that Cost-Sharing Agreements signed between UNDP and the Government of Malawi (USD$20,747,497), DFID (GBP 15,485,000), Irish Aid (EUR2,978,944), USAID (USD $2,000,000), Norway (NOK 26,825,000) and the EU (EUR 10,800,000) were honoured. The MTE learned that UNDP allocated USD$4,350,000 from its core resources to the project. The entire project budget is now estimated at USD $55,138,181. MTE assessed that approved financial allocations were deployed timely and efficiently as planned.

**Exemplification**: Refurbishment of 55 out of 65 targeted post offices has been completed. Refurbishment in all 65 post offices were set to be completed in January 2020. Skill transfer was also a great achievement of the project. UNDP invested highly in skilled personnel who trained IT and other officers in NRB. The refurbishment of all the DROs including a model registration office at Blantyre DRO was completed. The network and ESCOM connection were in progress at the time of evaluation.

**Evaluation Rating:** Overall, the MTE’s finding is that project implementation staff were well oriented on risk management that ended up with a risk register describing each of the systems governing budgeting, utilisation, expenditure, and cost control. Commendably, there was an internal audit team that provided oversight over the project funds and no transfers were made without a liquidation report of previous funds.

Systems were appropriate for the size of the project and the nature of operations, and there are no significant matters of financial mismanagement to report. The MTE confirmed that the Auditors report had no material adverse comments pertaining to Project operational systems. In conclusion, the evaluation has found that in terms of efficiency the project was satisfactory save for some funds that were not disbursed. On the rating scale evaluators have rated the project ***Efficient.***

**Efficiency**

The national identity card made a commendable contribution towards an integrated system of identity that has enhanced an enabling environment and strengthened an integrated system of improved accountability and service delivery across various developmental sectors and needs of the population using the National Identity (ID). In line with UNDP goals, the ID is one of the key public sector reform areas that has ultimately led to improved accountability and efficiency in service delivery.

**Exemplification**: The NRIS project is aligned to the UNDP Strategic Plan (2018–2021) Outcome 2, which places an emphasis on achieving the following: “Accelerate structural transformations for sustainable development” and in particular output 2.2.1 “Use of digital technologies and big data enabled for improved public services and other government functions” .

**Evaluation Rating:** Overall, the MTE’s finding is that The NRIS project sought to actualize the Right to Identity in partnership with the NRB systems. Correspondingly, the system established the management information systems that allows Government and stakeholders to access and use that information for planning, and as a central reference point for individual identity to be linked across multiple systems. The MTE rated coherence issues of the NRIS as **Satisfactory**.

**Coherence**

The Outcome Goal of establishing a permanent and continuous national registration and identification system in Malawi was fully met. The Project fostered democratic governance and human rights to promote transparency, accountability, participation, and access to justice for all, especially women and children. The linking of the Passport application process to the NID has provided some benefits in form of reduced time taken to obtain a passport and efficiency in revenues collected.

**Exemplification**: The complex linkages and integration of the foundational National ID system (NRIS) in functional systems such as Payroll, Farmers Subsidy System (FISP-Farmer Input Subsidy Program), Tax System (Malawi Revenue Authority) has yielded healthy debates and positive outcomes such as elimination of ghost workers, combatting corruption and fraud, handling tax evasion by 2019. For instance, 8 079 civil servants were temporarily removed from the payroll until they produced a valid ID or they risk being deleted from the DHRMD system.

To ensure long term impact, the National Registration Bureau signed a Memorandum of Understanding (MoU) with the Reserve Bank of Malawi that issued a directive that all financial institutions should use the National ID and NRIS for KYC compliance. These financial institutions utilize the National ID as their primary form of identification and compliance with “Know-Your-Customer” (KYC) requirements.

**Evaluation Rating:** The MTE found evidence that the NID has contributed positively to the lives of citizens at large, as it has increased financial inclusion amongst women, improved security, improved accountability, and transparency in voter registration leading to the credibility of the 2019 PPE and 2020 Fresh Presidential elections. For the public sector, it has contributed to fiscal savings. i.e., (i) reducing fraud in government transfers in AIP and Social protection programmes (ii) reduced administrative costs, (iii) increased revenue collection, (iv) generated revenues through charging fees for various identity-related services to the private sector (KYC). (iv) efficiencies in civil service payroll and pensions and cost reduction in voter registration. The evidence also suggests that financial inclusion has favoured women most compared to the past when they were using other people’s IDs. The MTE rates impact of the NRIS as ***Highly Satisfactory.***

**Impact**

Overall, assessment from the MTE shows that the NRB is still at its infancy with majority of its operations reliant on the development partners. The NID is highly reliant on the financial sustainability of the NRB to keep this NRIS platform going and to keep the platform clean. The NRB Strategic Plan points to some sustainability measures that show potential for effectiveness in the long run

**Exemplification**: Sustainability for this Project will largely depend on whether it can finance itself for the long term. Currently there is no comprehensive sustainability strategy to fund the continuous registration and issuance of NID, continuous funding of the infrastructure, staffing and administration of the operational framework in the identity management business.

This is a national asset and an investment that is a game changer in Malawi economy. Govt should take ownership of the investment and ensure that operational costs are absorbed in the national budget. Renewal of licenses are core operational issues which should be predictable in any given year and paid at the time of renewal. On the downside, there has been little attention paid to the business model for the NRIS to generate sustainable income in the long term.

**Evaluation Rating:** The program is still largely funded by development partners and the Government does not have a discernible medium-to-long-term sustainability strategy to oversee this programming in the foreseeable future. There is also need for human resources for NRB to run efficiently. The high vacancy rate at the NRB makes operations inefficient to reach out to most Malawians. The MTE rates the Project sustainability as likely to be ***unsustainable***

**Sustainability**

**Conclusions**

The MTE concluded that overall, the NRSI Project was relevant, efficient, effective, coherent, impactful but not sustainable. The Project delivered all set outputs and exceeded in some of them. The MTE confirmed that over 9 million Malawians were registered in 2017 and issued with a National Identity card in 2018. The NRIS was effectively transitioned to a permanent and continuous registration system. The Government MDAs were effectively and successfully facilitated to adopt the use of the NRIS.

**Summary of Lessons Learnt**

The midterm evaluation learned that generally, the lessons learned during the proof-of-concept phase have remained true and valid throughout the period under review (2016-2019). The lessons learnt and best practices from the NRIS project presented valuable opportunities for improving the design and implementation of the next generation National Registration projects in Malawi. These will also enhance replicability and scalability of the project in Malawi. From the lessons learnt and best practices the country can easily leverage these and apply them to other portfolios as follows:

***Coordination and collaboration*:** MDAs have been key enablers to the successful implementation of the NRIS. Although the process initially experienced heavy resistance (in having a single database in each sector), change brought positive results. The cost of maintenance for such databases have been high and using a single integrated database has led to a lot of operational savings.

***Partnerships, coordination, and Leadership*:** Through a coordinated approach of working with the Government of Malawi, Development partners and the Linkages stakeholders helped to build the capacity of the Government and helped mobilize local support for National Registration with the potential of scaling up the intervention and improve sustainability of central government development planning.

**The *project results framework:*** At design, the Project had very clear outcomes, targets and indicators on critical project activities that made it easier to tracking progress on the performance of interventions that can contributed to registration outcomes and impacts.

***Lessons learnt on Project impacts:*** Project impacts were multifaceted and included multi-stakeholders. The complex linkages and integration of the foundational National ID system (NRIS) in functional systems such as Payroll, Affordable Inputs Programme (AIP) (formerly known as FISP-Farmer Input Subsidy Program), Tax System (Malawi Revenue Authority) has yielded healthy debates and positive impacts such as elimination of ghost workers, combatting corruption and fraud, handling tax evasion by 2019. For instance, 8079 civil servants were temporarily removed from the payroll until they produced a valid ID, or they risk being deleted from the DHRMD system.

***Best Practices***

1. The establishment of the Project Steering Committee chaired by the Minister of Finance and Co-chaired by the Minster of Homeland Security was instrumental in checking and reinforcing the government commitment and political will to finance registration. However, the role of the finance minister as Co-chair meant that SC meetings were either cancelled or postponed due to his unavailability in some cases. Moving forward, a possible change may be considered to ensure that meetings are not postponed nor cancelled.
2. Use of the National Registration District Task forces was instrumental to garner support at the council level and to have local ownership. This calls for the activities of the national registration to be fully nationalized and devolved to the councils.
3. The approach of using mass registration teams reaching out to the population in need was beneficial to many Malawians living in hard-to-reach areas.

**Summary of Recommendations**

1. ***Financial Sustainability*:** NRB should continue engaging Government through the Honorable Members of Parliament committees to play an advocacy role to ensure that Government through the Ministry of Finance allocates adequate funding in NRB’s Annual Budgets to ensure that implementation of Phase II of the National Registration and Identification System (NRIS) for Malawi is done urgently and speedily. In this regard, ministries of Finance, Homeland Security, the NRB and financing partners need to coordinate more effectively – with clearly delineated roles.
2. This MTE recommends that a comprehensive sustainability strategy should be put into place to sustain the continuous registration and issuance of NID; funding of the infrastructure, staffing and administration of the operational framework in identity management business. The program is still largely funded by donors and the Government does not have a mid-to-long term sustainability strategy to oversee this programming in the foreseeable future. The NRB Strategy runs to 2024 and the MTE recommends the development of a successor strategy. In this regard, ministries of Finance, Homeland Security, the NRB and financing partners need to coordinate more effectively – with clearly delineated roles.
3. ***Technical expertise sustainability;*** The midterm evaluation also found that there is crucial deficit of local or in-house highly skilled programmers required to edit code and manage the NRIS. Since the NRIS (ID) started it has relied heavily on the technical expertise from the NRIS Project with little transfer of high-level skill set that are required to be self-sustaining. During the midterm evaluation visits to district registration centres, it was noted that most of the NRB offices at district level do not have IT personnel to manage the ICT infrastructure such as repairing the BRKs, printers and network connectivity. ICT staff and the printing of IDs is based at NRB head office leading to the inadequate or inconvenient points of contact with the population. For Software Maintenance, the NRB is severely incapacitated with limited capacity to make changes to the NRIS Software.
4. The MTE concluded that a government sponsored comprehensive sustainability strategy should be put into place to sustain the continuous registration and issuance of NID; funding of the infrastructure, staffing and administration of the operational framework in identity management business. The program is still largely funded by donors and the Government does not have a mid-to-long term sustainability strategy to oversee this programming in the foreseeable future. The opening up of new registration offices and decentralization the NRB the council should be looked at as one of the public reform areas. In this regard, ministries of Finance, Homeland Security, the NRB and financing partners need to coordinate more effectively – with clearly delineated roles.
5. ***Registration at birth would serve as a more sustainable; registration approach*** and it is pleasing to note that this is part of the NRIS Project extension which goes up to 31st December 2021. There is need to integrate the birth and death registers under NRIS to create a single CRVS. The unified CRVS-ID system being worked on is one way to improve on the seamless linkages and avoid age cheating. However, this can only be achieved if the mass child registration takes place. The NRB should draw and facilitate a roadmap for the integration of CRVS and National ID System for Malawi.
6. ***There is need for decentralizing all the registration system functions:*** There is need to reform the functions of the NRB to devolve its functions to the councils so that services will be easily accessible to the general population by having registration centres closer to the people. While the District Registration Offices in all 28 districts are doing registration for the National ID, the printing of National ID card is centralised leading to unnecessary delays in ID collection. Decentralization of printing will ease the delays in printing of cards and improve the use of council funds for maintenance of the NRIS system and benefiting from locally council generated revenues and budget. However, it should be noted that devolution of the NRB to the district councils has its risks and this would need careful consideration based on lessons from other countries such as Tanzania and the decision of the Steering Committee. The Mistry of Local Government should develop a devolution function plan for the NRB supported by the Ministry of Homeland Security, learning from other countries.
7. ***Technical investments at decentralized levels***: There is need to decentralize the printing of Identity cards to regional centres like the case of passports and birth certificates. However, security of the NID requires that the regional printing centres are under closed-circuit Security. There is need for more IT personnel trained and located in district registration centres currently all IT troubleshooting is conducted by IT team based in Lilongwe. The Ministry of Homeland Security and the NRB should identify investment opportunities and lead in their implementation.
8. ***Replacement of Equipment***: Government and the NRB should consider looking at adequate annual budget for replacement of the mobile Biometric Registration Kits, because some equipment may have outlived its lifespan after 5 years of service. The MTE concurs with the last UNDP report which recommended that the BRKs were being phased out and post offices were being upgraded to Desktops as these were the preferred option. BRKs were to be used only for remote areas. The Ministry of Homeland Security, the NRB, and financing partners need to coordinate more effectively – with clearly delineated roles.
9. ***NRB communication strategy:*** The involvement of traditional leaders and religious leaders in community mobilisation and in community leadership influences community participation in registration and should be promoted in a continued fashion by the Government and the NRB since registration is a continuous process.There is need for a very rigorous civic education as a majority of citizens have a misconception that the NID is only required during the voter registration and not regular times, similarly losing citizenship is a common misconception when a card expires. The Ministry responsible for Civic Education, Homeland Security and the NRB need to coordinate more effectively – with clearly delineated roles.
10. ***Data Protection Law-*** In the absence of the Bill, there is a challenge of data sharing between NRB and other MDAs, this has led to non interoperability of the NRIS with most MDAs as part of data protection. The current laws include overlapping mandates for identity providers, inadequate privacy and data protection laws, and out-of-date regulations that do not sufficiently cover digital identity. In the development of the data protection bill MDAs and NRB need to coordinate to support and regulate modern identity management systems for the quality and coverage of the legal identification systems. The Ministry of Justice and Constitutional Affairs, Homeland Security and the NRB need to coordinate more effectively – with clearly delineated roles.
11. **Gender empowerment, vulnerable populations, and cross-cutting recommendations:** While the project had strong gender inclusiveness, demonstrated in the recruitment of registration staff with gender balance, the next phase of the project should consider and design better security measures of women workers. The MTE recommends that the NRB substantially improves project activities and field conditions for female Registration Officers(ROs) to reduce their vulnerability to physical and psychological harm, including sexual harassment and assault. Consideration should be given reduce risks – including those related to: (1) the very short timeframe within which some project activities are to be completed; (2) securing adequate number of vehicles to transport ROs; (3) charging the solar kits used for registration; and (4) the budget. In the same regard, UNDP Malawi and any other relevant Government units should determine and forestall the extent to which assault may occur to ROs in the field, particularly sexual assault to female staff.
12. The next phase of the project should develop more appropriate civic education materials and registration forms. For example, registration forms should be available in Braille. Additionally, registration kits should be fully disability friendly.
13. In the next phase of the project, the IEC strategy should deploy more segmented and disaggregated ways of communication. For instance, for mass campaigns in rural settings - radios, jingles, chiefs, are most effective means of communication while print media, posters, billboards, live shows may be deployed in urban settings.
14. The NRB needs to build a very robust image building campaign and the NRB communication strategy needs to consider that introduction of fees may need be explained as part of NRIS Phase II, this may impact on those who have already registered under the impression that documents would be issued free of charge.

# 1.0 Introduction and Background

This report is for the Mid-Term Evaluation (MTE) for the project titled “The National Registration and Identification System Project” (Malawi NRIS Project) (Project ID: 00100113) implemented by the UNDP and the National Registration Bureau (NRB) under the Ministry of Homeland Security. The evaluation report covers the background to the evaluation, its purpose, overall and specific objectives, methodological approach, findings-results, and assessments. Also included in the MTE are chapters on challenges, lessons learnt and best practice; and conclusions and recommendations.

# Structure of the evaluation report

The structure of the midterm evaluation report follows the outline as prescribed in the Terms of Reference of the assignment as provided by UNDP Malawi Country Office. The executive summary above summarizes salient information contained in the report, including evaluation ratings, synopsis of findings, conclusions, recommendations, and lessons learnt. The section 1 presents the introduction and project descriptions provide the background information to the assignment follow. Section 2 presents the discussion of findings in terms of the project design/formulation, implementation, and the assessment of results achieved, including the project’s M&E activities. The findings are based on factual evidence obtained by the evaluators through document reviews, interviews and consultations with stakeholders and project beneficiaries. The last section 3 contains the conclusions, recommendations and lessons learnt based on the balanced opinion and factual evidence as deduced from the literature reviewed, interviews conducted, and consultations held with stakeholders and beneficiaries. The annexes conclude the report. The length of the MTE report is 49 pages.

# Project Description

Malawi developed a NRIS Project in October 2016 following a successful proof of concept phase. The purpose of the National Registration and Identification System (NRIS) Project was to establish a permanent and continuous national registration and identification system in Malawi. The project is contributing to Government’s efforts to guarantee the fundamental right to identity, entitlement, and enjoyment of full citizenship in Malawi. Malawi developed a National Registration and Identification System Project in October 2016 following a successful proof of concept phase. The project has been implemented with financial and technical assistance from GoM, DFID, EU, USAID, Norway, Irish Aid and UNDP from 1 November 2016 through basket fund arrangement with UNDP as the managing agent. The initial budget for the project was $50,868,742 of which $20,858,400 was government contribution and the rest was provided by the development partners.

The NRIS project is aligned to the UNDP Strategic Plan (2018–2021) Outcome 2, which places an emphasis on achieving the following: “Accelerate structural transformations for sustainable development” and in particular output 2.2.1 “Use of digital technologies and big data enabled for improved public services and other government functions”. The Project also sought to actualize the Right to Identity, ensuring that all Malawians 16 years and older are uniquely registered in a permanent and continuous system that provides proof of their identity, and to be issued with an identity card that is evidence of that identity.

The goal of the project is to establish a permanent and continuous national registration and identification system in Malawi. The project had the following outputs:

a) Up to 9 million Malawians are registered and issued with a National Identity card in 2017.

b) NRIS is transitioned to a permanent and continuous registration system.

c) Government MDAs are assisted to adopt the use of the NRIS.

d) Project is efficiently managed, staffed, and coordinated, and is implemented with national ownership.

The project implemented a pilot registration exercise between 01 November 2016 to Feb 2017 and registered 40,000 Malawians, mostly civil servants. The mass registration exercise started in May 2017 to 31 December 2017, during which period about 9 million Malawians were registered and subsequently 8.94 million Malawians were issued with national identification cards. To date, over 9.3 million Malawians have been issued with national identification cards. National Registration Bureau under the Ministry of Home Affairs is the main implementing agency for the project with technical support from UNDP.

The project is in its 5th year of implementation. The original project was proposed to end in December 2018 and to transition the NRIS to the National Registration Bureau. However, while this transition was in progress, changes in management at NRB and delays in recruitment of staff in 2018 meant that additional support was essential until December 2019. The NRIS cost extension had two result areas; Capacity building of the National Registration Bureau and Creation of demand and establishment of linkages on multiple use of the ID card.

In accordance with UNDP M&E policies and procedures, UNDP supported and financed projects are required to undergo a Mid-Term Evaluation (MTE) before completion of implementation. This Mid-Term Evaluation therefore assesses the period up to December 2019.

# Background and Context

Since independence in 1965, Malawi experienced a structural development challenge in the absence of a comprehensive and accurate system of national identification, undermining citizens’ right to identity. The negative consequences of the absence of a robust population registry were felt multi-sectorally, depriving citizens’ access and entitlement to services. For instance, the lack of an effective civil registration system in the past prevented individuals to access essential services which also slowed down the speed in generating the demand of IDs and the registration of vital events. Equally, the absence of a centralized and up-to-date national population registry led to a fragile capacity for evidence-based planning, beneficiary and service targeting, and accountable administrative systems. Efforts in various arenas led to fragmented initiatives, creating costly or unsustainable silos of information, while also imposing institutional and technical obstacles to interlink information across MDAs and various sectors.

In the absence of National ID, the de facto national proof of identity document was the free voter’s card that was available to persons 18 years of age or older, shortly before general elections every five years. However, this registration system was unable to fill the gap in fulfilling the role of a national identity document: the amount of information collected was legally limited to only establish voter eligibility; registration was voluntary and was therefore not comprehensive; it excluded eligible registrants between elections, in particular, the youth turning 18 years between polls; the quality of the voter card produced is of a short life span of a few years and has limited security features that can leave it vulnerable to forgery; and, each registration is undertaken afresh and a new voter ID number is issued, thereby breaking the continuity of linking an individual to one persistent identity number.

For the public and private sector, the risks of weak identity also translate into constraints on the services they can accountably deliver to the population and incur disproportionately high transaction costs to mitigate the risks caused by weak proof of identity. For the Government, this situation creates an adverse political economy that offers little relief against allegations of misdirecting resources and high levels of theft and wastage. In the private sector, bank lending rates sit above 40% driven in large part by the risk premium of bad credit that is generated by the inability to identify and hold individuals to account for repayment. This high cost of credit then curbs the capacity of Small and Medium Enterprises (SMEs) to diversify or expand their services, and narrows the opportunity for financial inclusion, which is estimated at only 12%.

Focused efforts within the public (e.g., social protection programs) and private (e.g., tobacco farmer management system) sectors have sought to introduce systems of identity for their target participants, but without a unique national identifier for everyone, these efforts are expensive and result in isolated silos of information that can only offer limited degrees of coverage and accuracy. Critically, without a universal and central point of identity reference there is minimal, if any, capacity to link an individual’s records across these silos. Illustratively, Malawi has no functional credit bureau facility by which an individual’s credit history can be reliably constructed. As well, challenges abound in the accuracy of data collection and data entry in Malawi: whether by accident or intent, errors during the process of data collection and subsequent data entry often lead to individuals being recorded multiple times with different details in the same system, and across different systems. In the absence of a central and universal point of identity reference the integrity, accuracy and sustainability of these systems is unattainable. The implications of this challenge are far-reaching for most Malawians, but is exacerbated for women, youth, children, and marginal groups that are disproportionately affected by constraints on the ability to access limited services.

The multi-sectoral negative effects of a poor population registry are pervasive and the impact illustrative, including: non-Malawians abusing the free national health care system; concerns with payroll systems for ghost workers and pensioners, and public sector reform; deterring corruption by linking criminal’s assets to the proceeds of crime; the non-repayment of loans in the education sector; the lack of real-time data to assist disaster response management; and the high and recurring costs associated with beneficiary targeting and service delivery under social protection programs. Across this spectrum, the inability of Government to measure, assess and redress these inefficiencies is intrinsically linked to the lack of an individual identity system and a corresponding central national register that would enable evidence-based decision making. The Government therefore sought to invigorate the mandate of the National Registration Bureau (NRB) to deliver on a promised National Identity and Registration System (NRIS) that would register every Malawian 16 years of age and older in a central national register and to issue them with a national identity card.

# UNDP response to the challenges

In 2017, after a proof of concept in 2016, through the NRIS project, the Government of Malawi (GoM) established a robust ID system - which started linking with MDAs from 2018 onwards for specific purposes including accessing essential services. Through the NRIS project, today Malawi is among the very few countries in the Southern African Development Community (SADC) or Common Market for Southern and Eastern Africa (COMESA) that has recently introduced a functional national registry and identification system. Additionally, Malawi is working on strengthening its civil registration and vital statistics (CRVS) system to comprehensively register births, deaths, and marriages, thereby increasing individual’s ability to claim their citizen’s rights and services, as well as Government’s ability to fulfill its obligations to provide inclusive social services, and to foster evidence-based policy formulation and decision-making.

To build a robust population registry, the National Registration Act (No. 13 of 2010) entered into force in August 2015 requiring all Malawians 16 years of age and older to be registered in a National Registry and to be issued with an identity card. Other components of the national registration system include death registration and issuance of death certificate, marriage certificates. National Registration Bureau (NRB) Act mandates the National Registration Bureau (NRB) to fulfill these tasks.

To support government efforts in improving the national system of registration, the NRIS Project designed, established, and managed the necessary systems, infrastructure and equipment for the National Registration and Identity system. Consequently that assisted the NRB to produce biometrically secure Smartcards; to supervise the mass national ID registration for all eligible Malawians (an estimated 9 million) within the country in 2017; transition the system to a continuous registration model to develop the capacity and systems of NRB to maintain and operate the system; provide an interface to other public and private sector systems that allow for appropriate data sharing within a legal framework that complies with international principles and standards for the right to privacy and data protection; and to ensure the effective management of the Project. Ongoing discussions between NRIS, MoF, the Reserve Bank of Malawi for adopting an e-payment system leveraging on the biometric NRB database. A MoU is being drafted and will be submitted to MoF and the Secretary of the Treasury.

# Development objectives of the project

The National Registration and Identification System (NRIS) project was developed to contribute to Government’s efforts to guarantee the fundamental right to identity, entitlement, and enjoyment of full citizenship in Malawi. The development of the NRIS initiative was consistent with SDG 16 to: “promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels”. Specifically, the NRIS addressed SDG Target 16.9 that refers to providing legal identity for all. The NRIS project is also aligned to the UNDP Strategic Plan (2018–2021) Outcome 2, which places an emphasis on achieving the following: “Accelerate structural transformations for sustainable development” and in particular output 2.2.1 “Use of digital technologies and big data enabled for improved public services and other government functions” . The Project sought to actualize the Right to Identity in partnership with the NRB systems. Correspondingly, the system established the management information systems that allows Government and stakeholders to access and use that information in aggregate for planning, and as a central reference point for individual identity to be linked across multiple systems. Simultaneously, the management information systems and identity cards enable the strengthening of accountability and verification processes within both the public and private sector domains that enhances services for Malawi’s citizens.

The results expected from Output1 (up to 9 million Malawians are registered for issuance of a National Identity card in 2017) addressed the necessary requirements to successfully register the eligible population and issue them with identity cards during mass registration. Interventions includes the review of the legal framework to ensure that it is consistent with the technology being employed. It addresses the necessary ICT systems to operate the National Register, and the operational requirements for the conduct of five phases of field work, including the procurement of BRKs; recruitment, training, and deployment of registration staff; the conduct of a national awareness campaign and by-phase information sensitization to registrants; the consolidation and processing of data; an exhibition and correction phase; and the mass production of national ID cards and their distribution. By the end of 2017, over 9 million Malawians were registered in the central National Registry database, out of which, an estimated 8.5million Malawians have been issued a National ID card.

The results expected from Output 2 (NRIS is transitioned to a permanent and continuous registration system) addressed the necessary support to NRB and key partners to sustain the NRIS. Interventions included formulation of NRB regulations and policies, the preparation of offices and data communication facilities, the training of staff that have been recruited by Government, maintenance of public awareness efforts, and the development of a Strategic Plan over 2019 to 2024. The expected result was that with ongoing technical assistance and limited financial support from the Project, the NRB would be able to register up to 0.5 million new registrants and provide update services to existing registrants at permanent registration sites established at Post Offices and District Registration Offices at District Councils.

The results from Output 3 (Government MDAs and private institutions are assisted to adopt the use of the NRIS) are oriented toward facilitating Government’s Ministries, Departments and Agencies (MDAs), and other private institutions to adopt and use the NRIS. Policy advisory services, analytical support and inter-institutional agreements are foreseen to assist MDAs and private institutions in developing interfaces for the use of the NRIS. This approach would assist MDAs and private institutions in assessing the benefits and most suitable method for their specific needs. The expected result was that the whole-of-Government adoption of the system will be facilitated through this Output and allow for expert advice and custom solutions to be developed for MDAs and private institutions where necessary. (*Not included in this evaluation*).

The results from Output 4 (Project is efficiently managed, staffed, and coordinated, and is implemented with national ownership) is to ensure that the Project progress is monitored and guided by an appropriate Governance structure and engenders national ownership, that the Project is properly managed, staffed and capacitated to fulfil the Outputs, and that it is evaluated and audited in accordance with UNDP’s rules and regulations.

The essentials of the project summary evaluated are as follows:

**Table 1: Project Summary Table**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Project Title: | National Registration and Identification System Project (NRIS) | | | | | | | |
|  | **Implementing Partners**: United Nations Development Programme | | | | | | | |
| Project ID:  UNDP | | Project ID: 00100113 | |  | | *at endorsement (Million US$)* | | *at completion (Million US$)* |
| **Contributing Outcome:**  Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance. | | | Total Resources Required | | | | **$ 55,138,181** | |
| Total Resources Allocated | | | | $ **55,138,181** | |
|  | | Government | | $ 20.747,497 | |
| DFID | | $ 12,869,305 | |
| **Indicative Output(s):**  a. Up to 9 million Malawians are registered and issued with a National Identity card in 2017.  b. NRIS is transitioned to a permanent and continuous registration system.  c. Government MDAs are assisted to adopt the use of the NRIS.  d. Project is efficiently managed, staffed, and coordinated, and is implemented with national ownership | | | EU | | $ 10,167,688 | |
| Ireland | | $ 3,015,079 | |
| Norway | | $ 3,205,155 | |
| US | | $ 2,000,000 | |
| UNDP | | $ 2,850,000 | |
| UNICEF | | $ 44,366 | |
| Unfunded | | $ 284,091 | |
|  | |  | |
| Project implementation Start date: Oct 2016 | | | Mid Term Evaluation end date: December 2020 | | | | | |

# Project stakeholders

The project developed a comprehensive linkages and stakeholder map whose institutions are currently actively participating in the implementation of the population registry activities. The evaluation assessed the nature and depth of participation by each partner and reasons for any deviations if any, to the original mapped partners.

The midterm evaluation assessed that this unique linkage initiative succeeded in providing a powerful opportunity to link and authenticate different databases of public and private institutions against the biometric ID system, entirely own by the National Registration Bureau. The linkages roadmap started in 2017, through 2018 with public and private service providers to create an effective interaction of different systems. The integrated system effectively ensures that vital events are recorded, and individuals provided with legal documents certifying their rights to be recognized before the law. It has achieved notable results as articulated in the tale below.

The table below presents the various stakeholders and their roles – including the linkages program which works towards building an effective civil registration system integrated with the identity management system.

The table below presents the various stakeholders and their roles.

|  |  |
| --- | --- |
| **Stakeholder Group** | **Key Role and Responsibility in Project** |
| National Registration Bureau | Key Drivers, Implementing and Policy Institution |
| UNDP NRIS project team |
| Ministry of Finance |
| Ministry of Homeland Security |
| UNICEF |
| EU Delegation | Development Partners |
| UKAID/FCDO (former DFID) |
| Norwegian Embassy |
| Irish Embassy |
| USAID |
| Malawi Electoral Commission (MEC) | Voter Identification and Human Rights Stakeholders |
| UNDP Elections Project |
| National Institute for Civic Education (NICE) |
| Malawi Human Rights Commission |
| **Linkages** |  |
| Malawi Electoral Commission: | The use of the National ID card for the 2019 Tripartite elections resulted in a smoother voter registration with cost seven times less as compared to the 2014 Tripartite elections. More importantly, the biometric voters list hugely improved its accuracy because of the absence of duplications and demonstrably no case of multiple voting was recorded in the last 2019 election. |
| Malawi Revenue Authority: | MRA and NRIS developed the interface software with the NRB’s database, and its testing was completed in December 2018. The MRA database was crosschecked with NRB which resulted in the positive identification of 8148 records out of the 11085 sent by MRA for verification.  The new electronic system (“Msonkho online) with the ID integration is now live . |
| Immigration department: | Linking passport services with national ID has proved to boost the revenue of the Immigration Department so a recent agreement will continue this cooperation to include foreign residents. |
| DHRMD: | Approximately 3000 ghost workers were removed from payroll in 2020 (data on the cost savings is yet to be submitted by DHRMD) |
| Ministry of Agriculture | 4,000,000 records were authenticated before the farming season with the NRIS database. The NRIS team worked closely with MoA to generate an improved list of AIP beneficiaries and the program itself with huge cost savings for Government ( approximately US$13,000,000, data on the coupons yet to be submitted by AIP coordinator) |
| Ministry of Finance/Pension System | 4,024 pensioners failed verification with NRB which will save GoM approximately MKW 388 million per month. |
| MACRA | A mandatory mass sim cards registration was conducted using the National IDs at the end of 2018 by mobile operators, which are licensed by MACRA, to provide SIM cards in accordance with Section 92 of the Communications Act (2016).  For TNM, the total number of subscribers is 3,734,566 and those who registered using national IDs is 3,276,636. For Airtel, the total registered customers are 5,540,968 and using National ID 5,317,330. |
| Ministry of Health: | MoH agreed to support the adoption of the ID system as patient identifier as well as the harmonization of different systems/software. |
| Credit Reference Bureau | A MoU was signed on 27th September 2018 between NRB and Credit Data. Another API will allow Credit Data to authenticate the identity of people who are applying for financial services and to exchange with their clients, mostly banks and insurance companies, information on repayment history and current debt profiles of an applicant; |
| Financial Intelligence Authority | A MoU was signed for enhancing the investigations of financial crimes. FIA is responsible for overall supervision of financial institutions and all reporting entities for compliance with the Financial Crimes Act (FCA) including identification and verification of customers. |
| Banks and insurance companies for KYC purpose | FDH, FCB, New Bucks, Old Mutual |

# Evaluation Purpose

The principal objectives of this mid-term evaluation were to assess the relevance[[9]](#endnote-7), coherence[[10]](#endnote-8), effectiveness[[11]](#endnote-9), efficiency[[12]](#endnote-10), sustainability[[13]](#endnote-11) and impact[[14]](#endnote-12) of the Malawi NRIS Project - hereafter called Project. The evaluation assessed the achievement of Project results and drew lessons that can both improve the sustainability of benefits from this Project and aid in the overall enhancement of UNDP programming in future projects. The evaluation objectives also enabled evaluators to proffer conclusions, recommendations and lessons learned and facilitate course correction before the end of the project.

# Scope and Objectives

The evaluation assessed the performance of the project using OECD/UNEG standard evaluation criteria of relevance, effectiveness, efficiency, coherence, impact, and sustainability. The evaluation also assessed the implementation strategy including the implementation modalities and extent to which the design, implementation and monitoring of the project incorporated a gender equality perspective and human rights-based approach and environmental considerations. Project evaluators re-produced a theory of change for the project to provide a conceptual framework for the analysis of its key elements.

The evaluation exercise covered the period 1st November 2016 to 31, December 2019. The evaluation covered all districts of the country. A relatively long period of time was provided to ensure thorough data collection and interviews in the wake of COVID-19.

More specifically, the objectives of the evaluation were:

* To assess progress made towards the achievement of the expected results;
* To assess effectiveness of the project in achieving the specific expected results and analyze any factors contributing and which hindered progress ;
* To what extent was gender equality and human rights issues were incorporated in project design, implementation, monitoring and reporting;
* To what extent are district post offices ready to provide registration services after the development phase;
* To analyze the appropriateness of post offices as centers for registration and issuance of national identity cards;
* To review factors aiding and impeding use of ID cards by public sector, private sector, and civil society organizations;
* To make recommendations, if any, to improve the design, efficiency, effectiveness, sustainability and strategies and directions of similar projects in future;
* To document lessons learnt to inform future national identification and registration projects.

# Evaluation Approach and Methodology

An overall approach and method[[15]](#footnote-3) for conducting project mid-term evaluations of UNDP managed and financed projects has developed over time. The evaluators, using the same approach framed the evaluation effort using the evaluation criteria of relevance, effectiveness, efficiency, coherence, impact, and sustainability.

The mid-term evaluation provides evidence‐based information that is credible, reliable, and useful. The evaluators followed a participatory and consultative approach ensuring close engagement with government counterparts, Project Management Unit (PMU), Project Steering Committee (PSC), the key partners operational focal points, UNDP Country Office and Project Team, UNDP Chief Technical Adviser, rights holders, and key stakeholders. Once the inception report was approved evaluators conducted a field mission to sampled regions and project sites as follows: South (Thyolo, Zomba); North (Mzimba, Nkhatabay); Centre (Kasungu, Dedza ) regions – interviewing the following key informants: District Commissioners; Principal Registration Officers and District Registration Officers; Malawi Post Offices; Tradition Leaders comprising Senior Chief/TA/GVH, Village Heads; and ordinary citizens/beneficiaries at registration centres.

**Data Collection Methods**

The midterm evaluation team collected data from the following data collection methods and data sources:

1. **Key Informants at National Level:**

National level key informant interviews were held with the following organizations and individuals at a minimum: **Key Drivers, Implementing and Policy Institutions** (National Registration Bureau, UNDP NRIS project team, UNDP Elections Project-Ministry of Finance, Ministry of Homeland Security); **Development Partners** (UKAID/FCDO (former DFID), Norwegian Embassy, Irish Embassy, USAID); **Voter Identification Stakeholders** (Malawi Electoral Commission (MEC), NICE); **Linkages** (Malawi Revenue Authority (MRA), Immigration, FDH,FCB, New Bucks, Old Mutual, Malawi Communications regulatory authority (MACRA), Department of Human Resources and Development (DHRMD); **Other stakeholders** (Ministry of Agriculture and Water Development, Ministry of Finance/Pensions Fund, Financial Intelligence Authority.

1. **Key Informants at District Level**

At District level key informant interviews were held in 6 sampled districts in all the three regions as follows: **South** (Thyolo, Zomba); **North** (Mzimba, Nkhata Bay ); **Centre** (Kasungu, Dedza)regions – interviewing the following key informants: District Commissioners; Principal Registration Officers and District Registration Officers; Malawi Post Offices; Tradition Leaders comprising Senior Chief/TA/GVH, Village Heads;

1. **Focus Group Discussions and Citizens Perception Surveys**

At community level, the evaluation team engaged the ordinary citizens and registrants around registration centres through focus group discussions and a semi structured citizen perception surveys in the 6 districts. Overall, a total number of 36 Focus Group Discussions (FGDs) were held with different groups of women, men, and youths. A total number of 420 respondents were interviewed in the citizen’s perception survey.

As an ongoing process, evaluators reviewed all relevant sources of information, such as the project document, project reports – including Annual progress reports (APR)/Project Implementation Report (PIR), project budget revisions, Steering Committee minutes, project files, national strategic and legal documents, and any other materials that the evaluators considered useful for this evidence-based assessment. The Project Team provided the reports, documents and information required to conduct a credible evaluation. A list of documents reviewed is included in [Annex B](#_TOR_Annex_B:) of this report.

To enhance data management, throughout the conduct of the evaluation, there was some degree of data analysis (e.g., during document review, interaction with stakeholders, collection, and consolidation of survey data). Evaluation literature suggests that ‘iterative’ testing and analysis is advisable, particularly human rights and gender analysis, as early analyses will show, for example, where data is missing and what the most interesting questions are[[16]](#endnote-13). Allied to this principle of iterative data testing and analysis is gender mainstreaming. The 1997 ECOSOC Resolution on gender mainstreaming notes: “Gender analysis should be applied at all levels, including planning, programming, budgeting, monitoring and evaluation.”[[17]](#endnote-14) In practice, during this evaluation it means:

* Identifying contextual constraints and opportunities in relation to gender equality, e.g., laws, attitudes, or cultural practices;
* Reviewing the capacities of duty bearers to reach out equally to women (and men), and to promote gender equality;
* Collecting and analysing sex-disaggregated data;
* Understanding that women and men are not homogenous groups, and the different ways men and women experience problems;
* Understanding the ways in which gender intersects with other social dividing lines such as ethnicity, race, age, and disability;
* Identifying gender roles and gender relations and differentials at work and in life, in terms of the division of labour, and access to and control over resources and benefits;

Whilst undertaking the survey data analysis the evaluators ensured that an adequate understanding and description of the context, relationships and power dynamics inform the analysis of data collected in interviews. When processing survey data, the evaluators ensured human rights (HR) and gender equality (GE) responsive assessments. That means identifying trends, common responses, and differences between groups of stakeholders (including duty bearers and rights holders). The evaluation kept key informants disaggregated in different ways, such as sex, age, place of residence, and gender identity. Furthermore, cause and effect in the context of a specific theory of change, e.g., sex as an explanatory variable for levels of poverty or ethnicity as a variable for levels of participation were analysed[[18]](#endnote-15).

The evaluation ensured that gender perspectives and attention to the goal of gender equality are central to all activities – policy development, research, advocacy/dialogue, legislation, resource allocation, and planning, implementation and monitoring of programmes and projects.”[[19]](#endnote-16). Mainstreaming is used as a ‘twin-track strategy’[[20]](#endnote-17) that involves (1) integrating women, girls and men’s needs and interests into all development policies, programmes, and projects and; (2) developing interventions oriented at empowering women. Gender equality and women’s empowerment (GEWE) objectives are an integral part of the human rights-based approach (HRBA) since the elimination of discrimination against women and women’s rights has a central place in international human rights law[[21]](#endnote-18). That is why HRBA and gender equality mainstreaming strategies are “complementary and mutually reinforcing and can be undertaken without conflict or duplication”[[22]](#endnote-19). This evaluation ensured such high levels of iteration of qualitative and quantitative data, integration of HRBA concepts, and mainstreaming of gender throughout the evaluation process.

Regarding rights holders, evaluators identified and ensured that vulnerable sub-populations were included in the data gathering process with the least constraints and challenges to their participation. These included women, girls, the aged, the disabled and those who were generally least included in public and community political and economic processes and events. Evaluators were cognizant of potential biases that could arise in the selection of methods and avoided that through the inclusion of the full range of appropriate stakeholder groups and a variety of data collection tools. The various segregated data collection tools are attached as annexes. Various stakeholder groups were specified in the sampling design below. Potential biases for this evaluation could involve gender, power, status, and class - or distance (favouring the more accessible). Also, the choice of location, timing and language used by the evaluators could have a bearing on the capacity of some respondents to participate. For example, some groups might not be able to express themselves freely because of social or political pressure or they might not be allowed to speak or be represented in public meetings or community consultations. To facilitate more transparent and participatory processes, enabling more equitable gender-balanced contributions by all stakeholders, and to facilitate capacity building of all stakeholders to contribute freely - evaluators sought to address transparency, privacy, and confidentiality issues, including sensitivity to language use. Relevant critical measures during data collection included gathering appropriate stakeholder groups in sessions they could express themselves freely. Evaluators also visited stakeholders in their localities, used most appropriate cultural approaches and local languages to facilitate easy access and increase participation. Between them, the evaluators possessed the cultural, language and ethical competencies to address these considerations.

The table provides a summary of 420 rights holders who were consulted sub-nationally throughout the country. The table is also self explanatory in the disaggregated numbers of women, youth and men who provided data to this report during FGDs.

|  |  |  |
| --- | --- | --- |
| **Location** | **Male** | **Female** |
| Dedza District | 10 | 13 |
| Thyolo District | 5 | 5 |
| Zomba District | 8 | 8 |
| Salima District | 10 | 5 |
| Nkhata-Bay District | 8 | 8 |
| Mzimba District | 10 | 5 |
| Disaggregated Totals | 51 | 44 |
| Beneficiary Surveys | 220 | 200 |

The evaluation team was composed of two evaluators: one international evaluator and team leader and another was the national consultant. The consultants had prior experience in evaluating similar projects. They had deep experience with UNDP sponsored and financed projects. The International Consultant was the designated team leader and responsible for finalizing the report. The evaluators did not participate in the project preparation and/or implementation and did not have conflict of interest with project-related activities. The national consultant brought vast experience of local knowledge, language, and cultural skills to collect and analyse data from sub-national levels.

On a day-to-day basis, evaluators reported to the Evaluation Manager. The Evaluation Manager worked through the Evaluation Management Team, which in-turn received overall guidance from the Project Steering Committee.

# Evaluation Findings

This section presents a discussion of results of the midterm evaluation, including opinions obtained from key informant interviews, focus group discussions (FGDs), citizens interviewed, and evidence from the desk review. The views of the sampled stakeholders sometimes confirm, sometimes contradict conventional wisdom. These perspectives enriched the analysis leading to key messages that will inform future programming.

**Evaluation Criteria and Ratings**: An assessment of project performance was carried out, based on expectations set out in the Project Logical Framework/Results Framework (see  [Annex A](#_TOR_Annex_A:)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The mid-term evaluation covered at a minimum, the criteria of: **relevance, coherence, effectiveness, efficiency, impact, and sustainability.** Complete set of ratings are provided on the table included in the evaluation results section under annexes

## Project Results

Overall, the MTE findings confirmed that over 9 million Malawians were successfully registered and issued with a National Identity card in 2017; the NRIS was successfully transitioned to a permanent and continuous registration system. Over the project implementation period Government MDAs have been assisted to adopt the use of the NRIS. Finally, it is the MTE finding that the Project was efficiently managed, staffed, and coordinated, and was implemented with national ownership. Below is a comprehensive discussion on the MTE findings.

The evaluation assessed that the Project met its results of designing, establishing, and managing the necessary systems, infrastructure and equipment for the National Registration and Identity system, employing biometrically secure smartcards; supervising the mass registration for all eligible Malawians (an estimated 9 million) within the country in 2017; transitioning the system to a continuous registration model by 2018. The project also succeeded in developing the capacity and systems of NRB to maintain and operate the system. It successfully provided an interface to other public and private sector systems that is allowing for appropriate data sharing within a legal framework that complies with international principles and standards for the right to privacy and data protection; and ensuring the effective management of the Project. Below the MTE assesses the findings through the criteria of relevance, effectiveness, efficiency, coherence, impact, and sustainability.

## Findings Relevance and Design

At Project design, the project had 4 outcomes and several outputs as indicated in the outcomes’ matrix in Annex. This evaluation assessed to what extent project implementation followed its programme logic based on the design and implementation of its activities, outputs, and indicators of success. The findings are that the project directly contributed to Government’s efforts to guarantee the fundamental right to identity, entitlement, and enjoyment of full citizenship in Malawi. The development of the NRIS initiative was also consistent with SDG 16 to: “promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels”. Specifically, the NRIS addressed SDG Target 16.9 that refers to providing legal identity for all. The whole of Government impact of the system will offer improvements in planning, service delivery, and operation of administrative systems supported by a functional NRIS.

The NRIS project was also aligned to the UNDP Strategic Plan (2018–2021) Outcome 2, which places an emphasis on achieving the following: “Accelerate structural transformations for sustainable development” and in particular output 2.2.1 “Use of digital technologies and big data enabled for improved public services and other government functions” The NRIS project directly contributed to the strengthening of national institutions to effectively discharge their mandate to deliver legal rights and services to the citizenry. An outputs evidential discussion is apt in both cases.

Commensurate with the above background, qualitative evaluation findings from both national and district level supported the argument of the relevance of the project. According to views from various stakeholders and citizens, the NRIS project is highly relevant and appropriate. The respondents stated that the NID made a commendable contribution towards an integrated system of identity that has enhanced an enabling environment and strengthened an integrated system of improved accountability and service delivery across various developmental sectors and needs of the population using the National Identity. The National Identity is one of the key public sector reform areas that has ultimately led to improved accountability and efficiency in service delivery.

National level key informants reported that the project was highly relevant and appropriate. One key informant from development partners argued that the relevance of the NRIS to the Agenda 2030 target 16.9 on legal identity is the basis for achieving all SDGs. The NRIS project demonstrated that it provided the necessary data for implementation of activities that are complimentary to the achievement of other SDGs.

District officials also pointed to the relevance of the NRIS in improvements in the areas of governance and service delivery for the population a community level. Overall, they intimated that the NRIS has contributed towards transparency in the allocation of public resources and that translated into increased accountability in service delivery.

*“…As a council we feel the National Registration System has led to improved governance, because we are now able to know the needs of our population in the district and are able to easily reach out to the marginalised population now that they have a legal identity, many used to be left behind in accessing public resources. i.e. the NID has improved targeting of social support programmes and distribution of humanitarian items” ….* ***KII District Council.***

Another district key informant noted that the NRIS was highly relevant and that should be the reason the National Identity is currently on very high demand as it is linked to accessing critical government services including humanitarian support.

*“…We have seen that the NID is attached to access critical government services, Dedza being a border district for example our neighbours had IDs and for a long time they were utilising our public services, but since the introduction of the NID we find that we can efficiently plan and manage our council resources than before” ….* ***KII District Council.***

At community level, there was consensus among citizens that the NRIS project was relevant for various reasons and reiterated that the NID has given them a sense of belonging and enhanced their rights as Malawian citizen. They elaborated that with the introduction of the NID they now have access to various services that include increased financial inclusion through use of mobile money, opening bank accounts and mobile money transfers, democratic participation through ability to vote, access government aid services such as fertilizer coupons and other safety nets.

*“…The National ID has brought a lot of benefits and improvements in our day to day lives, especially for us women we are happy to have become ID card holders in the past we used to borrow our husbands or other peoples IDs in order to receive money at the bank****”. One-woman FGD participant***

In summary, the evaluation findings resoundingly conclude that the NRIS project design and its implementation was highly relevant and appropriate for Malawi development needs as it responded to the global, regional, and national development goals and achievements of global commitments. The project aimed to contribute to Government’s efforts to guarantee the fundamental right to identity, entitlement, and enjoyment of full citizenship in Malawi. Evidential and alignment discussion with national and international laws can also help illuminate these evaluative conclusions made by this midterm evaluation. The evaluation rating for relevance and design is **[Highly Satisfactory**].

## Findings on Effectiveness

The Project outcome was determined through a thorough assessment of the outcome indicators. Through activity reports and minutes of project implementation, evaluators concluded that the project implementation plan, and measurement of outcome indicators were followed and achieved. The evaluation findings on outcomes indicate that the project met and exceeded some of the targets. For example, the number of private institutions using NRIS is over 10 MDAs at mid-term 2019. The percentage of eligible resident Malawians registered and issued with identity cards was 94% - exceeding the set target of 90%. The findings also show that there is good capacity developed at NRB to operate and maintain the NRIS, mostly at head-office. However, individual competencies and institutional capacities were inadequate in some technical areas at district level. Programmatically, the effectiveness of the Project was demonstrated in the high precision of operations, and impressive measurable numbers of citizens reached in both mass registration and issuance of National Identity Cards.

**Output 1: Up to 9 million Malawians are registered for issuance of a National Identity card**

Output 1 addressed the necessary requirements to successfully register the eligible population and issue them with identity cards during mass registration. Interventions included the review of the legal framework to ensure that it is consistent with the technology being employed. It addressed the necessary ICT systems to operate the National Register, and the operational requirements for the conduct of five phases of field work, including the procurement of BRKs; recruitment, training, and deployment of registration staff; the conduct of a national awareness campaign and information sensitization to registrants; the consolidation and processing of data; an exhibition and correction phase; and the mass production of national ID cards and their distribution. By the end of 2017, over 9 million Malawians were registered in the central National Registry database, out of which, an estimated 8.5million Malawians have been issued a National ID card.

The mass registration in 2017 was conducted using approximately 2,200 registration teams, each deployed with a mobile Biometric Registration Kit (BRK) that digitally collects a person’s information and biometric features (all fingerprints, photograph, and signature) at the time and place of registration. The mass registration for over 9 million registrants was done over five phases in areas of approximately 2 million registrants each, using approximately 4,500 locations across the country that are usually used for voter registration and polling, which ensures reasonable and equitable access for citizens to the process. Remarkably, mass registration was effectively done in only 180 days.

The analysis of evaluation findings illustrated in figure 1 below shows that 94% of adult population is registered against a target of 90%. Evaluation findings indicators as shown in the results framework table shows that the project was highly effective in achieving the intended results as the project targets were exceeded. This is largely explained from the evaluation analysis of registrants, which shows that at the completion of the mass registration exercise by 24 November 2017, a total of 9,168,689 (54% female and 46% Male) Malawians who were 16 years and above were registered. In addition, 3,699,275 children aged below 16 years were also registered for birth certificate issuance. By December 2018, a total number of 9,990,830 Malawian citizens who are 16 years and above were registered in the NRIS database exceeding the project target of 9,000,000 Malawians. The figure should only be treated as illustrative as the NRIS has no features for discounting other factors such as deaths.

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| **Figure 1:** | **Percentage of eligible Malawians registered as a share of (adult population (16+ years), Malawi 2019** |

*:*

***Source : NRB, NSO Population Projections, 2020***

## *Gender and inclusiveness during registration*

The National Registration and Identification System project shows an all-inclusive gender balance. The national register shows that of the total registered adult population, there are more females than males. The analysis shows that **5,309,107** (53%) Malawian females were registered compared to **4,681,723** (47%) males. This is in tandem with the normal gender distribution of the population that represents 51% females and 49% males (Population Census NSO, 2018). Gender balance and inclusiveness was also adequately achieved in the recruitment of registration staff. Gender distribution for registration staff was 53% female and 47% male staff during mass registration in line with the population distribution.

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| **Figure 2:** | **Gender distribution of registered (adult population (16+ years) (%), Malawi 2019** |

***Source : NRB, NSO Population Projections, 2020***

Furthermore, mechanisms were put in place for inclusion of vulnerable groups including the elderly, pregnant women, persons with disabilities. Registration centers had dedicated liaison officials who were trained on how to assist persons with vulnerabilities. This included triage methods that included sending them in front of the queue to be assisted quickly. The MTE also assessed that most registrants registered in rural areas at 61% whilst only 39 % registered in urban areas. This implies that registration centers were universally accessible to rural masses during mass registration phase.

Regarding gender disaggregated security standards, the MTE found out that relevant gender standards were not fully met. Triangulation of literature and primary data confirmed that Project activities and field conditions left female Registration Officers(ROs) more vulnerable to physical and psychological harm, including through measures that increased vulnerability to sexual harassment and assault. Identified operational risks included those related to: (1) the very short timeframe within which project activities needed to be completed; (2) securing adequate number of vehicles to transport ROs; (3) charging the solar kits used for registration; and (4) the budget – also implied risks for RO wellbeing that could have been identified and addressed, to the extent possible, during project development and screening[[23]](#footnote-4). The MTE assessed that moving forward, UNDP Malawi and any other relevant units should assess the extent to which assault may occur to ROs in the field, particularly sexual assault.

***Sub output 1.3: Proposed amendment of National Registration Act submitted to Ministry of Justice****.* The MTE assessed that there was an amendment to the National Registration Act and Regulation (UNDP Legal Note). The Amendment of section 2 of the NRA “Interpretation and definitions” provided for a legal framework for civil registration as fundamental to make NRB operations coherent, coordinated and technically sound. In the absence of a clear definition of the responsible institution for the civil registration and its functions, the following recommendations should be taken into consideration; A definition of a central institution denominated “National Registration Bureau” (NRB) the sole department responsible for registration of vital events within the Ministry of Homeland Security; The organic functions of NRB and principles of the registration system, should be clearly spelled out. It must be emphasized that confidentiality and integrity are essential preconditions for managing a civil register. Duties and responsibilities such as registration, recording, reporting, collection, compilation, analysis, evaluation, presentation, and dissemination of data should be also introduced in the amended Act; The continuity and permanence of the registration method requires the existence of an agency of sufficient administrative stability whose operation is not limited by the factor of time nor finance. Consideration should be given to the financial self-sustainability of NRB for it ensure continuous registration into the future.

The system ensures that vital events are recorded, and individuals provided with legal documents certifying their rights to be recognized before the law. This unique initiative aims at providing a powerful opportunity to link and authenticate different databases of public and private institutions against the biometric ID system, entirely own by the National Registration Bureau.

***Sub Output 1.4: Number of paid information campaign products aired on radio.*** An efficient, effective, and comprehensive public information campaign was designed and implemented. It helped to inform the population of the benefits and obligations to register for birth and ID, as well as where, when, and how they would be able to register. The information campaign operated at two levels. The first was a general national awareness and persuasion campaign. The second was an operational information campaigns focused on each of the phase locations, in the weeks preceding and during the mass registration.

According to project progress reports, this project had a public awareness and civic education programme operationalizing the NRB Communication Strategy (2015). The NRB has a Public Relations Unit that proved capable of managing a successful campaign to encourage village registration ahead of provision of birth certificates and ID cards, which appeared to have had impact across the nation.

A Memorandum of Understanding (MOU) was entered between the NRB and National Initiative for Civic Education (NICE) Public Trust signed in May 2017. The MOU established their co-operation in undertaking joint civic education and mobilization initiatives for citizens to avail themselves and participate in the registration process as required by the law. The civic education aimed at engaging and motivating the citizens to be well informed of their rights and appreciate the uses of the ID. The campaign worked efficiently because NICE has a network of volunteers in all districts of the country and reaching out to the targeted population using the 360 degrees’ civic education approach proved effective. Among many factors, the strength of NICE lies in its elaborate structure which brings NICE interventions to the grassroots. Based at Ward level there are 462 area civic education coordinators (ACEC) throughout the country. The wards are further subdivided in zones represented by zone coordinators. In total there are 945 subdivisions of wards which imply 945 zone coordinators (ZC); the zones are subdivided into clusters of villages where para-civic educators (PCE) are based. In total there are 8,000 PCEs. During the mass registration, the project had mapped the catchment population around the 5,002 national registration centers.

Among some of the achievements of the communications and community engagement was work achieved through traditional and religious leaders. During the mass registration NRB conducted Orientation of 255 Paramount Chiefs, Traditional Leaders, Senior Chiefs, Traditional Authorities (TAs), Sub Traditional Authorities (STAs). The NRB also conducted orientation and training of more than 22, 500 Group Village Headmen (GVHs) and Village Headmen (VHs) throughout the country on how to carry out registration of births, children, adults, and deaths in the Hardcopy Village Registers at village level. They were also oriented on the National Registration and Identification System and related legal frameworks.

## *Perceptions on Public Awareness and Civic engagement*

The effectiveness of community engagement activities is corroborated by the public perceptions survey findings. The analysis shows that across the country during the mass registration there was a vibrant engagement through traditional leaders on raising demand and uses of the NID. Despite the misconceptions about registration due to beliefs about the biblical “666” misconceptions - that myth was effectively diffused by traditional and religious leaders. Interviews with citizens showed that the civic engagement approaches were highly effective. Almost 93% of citizens interviewed reported that they were aware of the mass registration campaign.

Figure 3 below presents some of the major channels of information that NRB used for disseminating messages pertaining to citizen’s awareness on the national ID. The analysis shows that radio talk shows, jingles and opera were the most widely used channel of information sharing towards motivating the citizenry to register (78%), followed by village and community meetings by chiefs (53%) NICE road shows (43%) friends and religious gatherings (33% and 31%) respectively.

The MTE learned that traditional communication media approaches such as village meetings, religious and funerals form the main communication channels. This is a lesson that for any misconceptions that will be encountered in the future, [e.g., biblical “666” misconceptions] the best channel is through chiefs and village meetings to dispel any misgivings that may be misconstrued or mis-propagated about the national identify registration.

Coupled with the low local community ownership, there was limited use of radios especially in rural areas and there was limited access to radio by women. It is imperative that future programmes should intensify the use of traditional and community-based mechanisms of communication awareness and behaviour change promotion to reach out to the marginalized populations.

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| **Figure 3:** | **Percentage of population reached by different medium of civic education used during mass registration (%) n=420** |

Assessment from both key informant interviews and FGDs suggest that the civic engagement approaches employed during the mass registration were successful. This is illustrated from the citizens’ perception survey that almost 94% of the citizens reported to have been satisfied with the way the messages were delivered and they confirmed that such messages served their purpose because everyone understood the importance of having the National ID card and the uses they can be put to. The MTE assessed the civic engagement approaches as **highly satisfactory.**

**Output 2 (NRIS is transitioned to a permanent and continuous registration system)**

This output addressed the necessary support to NRB and key partners to sustain the NRIS. Interventions included formulation of NRB regulations and policies, the preparation of offices and data communication facilities, the training of staff that have been recruited by Government, maintenance of public awareness campaigns, and the development of a Strategic Plan for 2019-2024. The result was that with ongoing technical assistance and limited financial support from the Project, the NRB was able to register up to 0.5 million new registrants and provided services to existing registrants at permanent registration sites established at Post Offices and District Commissioners Offices.

Key strategies that effectively contributed to the achievement of output 2 included the following:

1. Continuous registration was conducted and progressed well in all the 28 District Registration Offices (DROs) and 37 of 65 selected post offices.
2. The 2019 – 2024 NRB Strategic Plan was developed collaboratively with NRB, Department of Human Resource Management and Development (DHRMD) and UNDP. The Costing/Budgeting and Sustainability Plan has also been developed and is being implemented.
3. As part of continuous efforts to capacitate NRB staff, the Malawi Institute of Management successfully delivered customized professional management training program comprised of 9 courses based on the capacity building needs as per assessment report. Six out of the nine selected short courses were completed by the end of 2019.
4. The prefabricated Card Production Facility (CPF) was assembled, furnished, and power connectivity established. National ID card personalization and printing has started in the CPF at the National Registration Bureau (NRB) Headquarters. NRB’s technical capacity to personalize (chip encoding with citizen’s biometric data) smart cards in the CPF has been enhanced.
5. Refurbishment of 55 out of 65 selected post offices was completed. Refurbishment in all 65 post offices were set to be completed in January 2020[[24]](#footnote-5).
6. The refurbishment of the model registration office at Blantyre DRO was completed. The network and ESCOM connection were in progress at the time of evaluation.
7. The Last Mile Connectivity activity was completed, connecting all the 28 District Registration Offices and 65 Post Offices. This enhanced NRB’s capacity to register citizens quickly, allowing for real time registration data transmission and synchronization.
8. A Network Monitoring System was installed at NRB headquarters in Lilongwe. The system enhanced NRB’s capacity to remotely monitor the status of connectivity of all District Registration Offices and Post Offices.

***Output 3 was modified to read “Government MDAs and private institutions are assisted to adopt the use of the NRIS (unique ID)”.*** Government Ministries, Departments, Agencies (MDAs) and private institutions such as Ministry of Education and Ministry of Health were assisted to integrate national ID number on birth certificate with their system (schools, scholarship, student loan, minor bank account, health system vaccination to improve service delivery and insure child protection were oriented toward facilitating MDAs, and other private institutions to adopt and use the NRIS. Policy advisory services, analytical support and inter-institutional agreements were foreseen to assist MDAs and private institutions in developing interfaces with the NRIS. This approach assisted MDAs and private institutions in assessing the benefits and most suitable methods for their specific needs. The result was that the whole-of-Government adoption of the system was facilitated through Output 3 and allowed for expert advice and customized solutions to be developed for MDAs and private institutions where necessary.

The MTE assessed that the NRIS linkages stakeholder map is the best exemplification of the local partnership implementation, coordination, and operational framework in identity management business. The linkages roadmap started in 2017 and by 2018 public and private service providers had been able to create an effective interaction of different systems.

At the time of the midterm evaluation, some of the linkages amongst stakeholders that had been effected, and integrated into the NRIS through memorandum of understanding included the following:

1. The complex linkages and integration of the foundational National ID system (NRIS) in functional systems such as Payroll, Affordable Inputs Programme (**AIP**) (formerly Farmer Input Subsidy Program -FISP-), Tax System (Malawi Revenue Authority) has yielded healthy debates and positive controversies such as elimination of ghost workers, combatting corruption and fraud, handling tax evasion by 2019. For instance, 8079 civil servants were temporarily removed from the payroll until they produced a valid ID or they risk being deleted from the DHRMD system;
2. The Reserve Bank of Malawi (RBM) issued a directive to financial institutions (banks, credit reference bureaus and insurance companies) requiring that the National ID be adopted as the primary identification tool for individuals in the country by 30th September 2019. This is in line with the Malawi Government Gazette notice no. 67 of 10th August 2018;
3. The National Registration Bureau signed a Memorandum of Understanding with First Capital Bank (FCB), Ecobank and MyBucks to use National ID and NRIS for KYC compliance. These financial institutions will utilize the National ID as their primary form of identification and compliance with “Know-Your-Customer” (KYC) requirements;
4. Design of the Resident Foreigner Identity Card with all the necessary security features was completed and was approved by the Minister of Homeland Security. The NRIS system software has been updated and is ready to print foreigner cards. Verification is in progress and printing shall commence once the exercise is complete;

## *Country ownership*

The Government’s expression of ownership is best evaluated by allocating up to 40% contribution to the NRIS project. Government has also indicated that the country is willing to provide more funding should there be need. The Minister of Finance expressed readiness to consider additional funding from the Government of Malawi, should there be gaps in recognition of the commitments of the 40/60 burden sharing. The Linkages Initiative also serves to operationalize the concept of national ownership across critical stakeholder in Malawi.

The MTE assessed that the NRIS is a good governance story for Malawi. It has a lot of visibility in Malawi and beyond. The MTE affirms development partners’ view[[25]](#footnote-6) that Malawi is looked upon as a role model in Africa due to the success of the NRIS project, and that this international attention calls for more to be done. While understanding that ID linkages with MDAs is an ongoing process, the US expressed the importance for people to understand the use of the national ID. The USA appreciated the ID linkage resulting in an error-free and transparent voter’s roll for the 2019 tripartite elections, and further mentioned that there should be a write up on how the card will be used across Government.

Government ownership was further cemented by institutionalizing the NRIS through these actions:

* Five Year NRB strategic plan (2019-2024) has been developed and finalized. Budget for the activities to implement the plan has been shared with development partners, and resources have already allocated for implementing the strategic plan.

## *Partnership arrangements (with relevant stakeholders involved in the country)*

UNDP – with financial and technical support from key Development Partners - and in partnership with the National Registration Bureau implemented a multi-Donor Basket funded National Registration and Identification System (NRIS) Project. Cost-Sharing Agreements were signed between UNDP and the Government of Malawi (US$20,347,497), DFID (9,685,000 pounds), Irish Aid (2,700,000 Euros), USAID (US$2,000,000), Norway (NOK 22,225,000) and the EU (8,700,000 Euros). UNDP allocated US$2,000,000 from UNDP core resources to the project. In addition, UNDP signed an Inter-Agency Agreement with UNICEF (US$44,366). The entire project budget is USD $52,125,965. The main Project stakeholders are the NRB, Government of Malawi and Development Partners. The Project is implemented under UNDP’s Direct Implementation Modality (DIM).

The table below documents partnerships that were built or strengthened to implement the project.

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| **Project outputs** | **Partnerships built to implement the Project** |
| Output 1: Up to 9 million Malawians are registered and issued with a National Identity card in 2017 | UNDP Malawi and NRB participated in the evaluation of bids for the supply of 2,000 Biometric Registration Kits (BRKs) and supply of Smart Cards. |
| UNDP and the National Initiative for Civic Education (NICE) Public Trust signed a Micro Grant Facility for the latter to provide public awareness and civic education to Malawians and mobilise them to register during the mass registration for the National Identity Card |
| Output 2: NRIS is transitioned to a permanent and continuous registration system. | NRB, E-Government and Post Office did an assessment of the status of potential Post Offices and District Offices for use during continuous registration. |
| As part of the preparations for continuous registration and in view of the efficient cooperation between NRB and Malawi Posts Corporation (MPC) during the distribution of National IDs, an MoU to support continuous registration was signed between the two parties on 20th December 2017. |
| Output 3: Government MDAs are assisted to adopt the use of the National Registration and Identification system (NRIS). | MEC and NRB signed an MOU which formalised and recorded the agreement between MEC and NRB concerning their co-operation in implementing the operational aspects of the voters’ registration and their identification on polling day.  NICE and NRB entered an agreement through this MOU with the aim of contributing to the promotion of democracy by building good citizenship and enhancing the National Registration and Identification System (NRIS) in Malawi. |
| NRIS technical (UNDP and NRB) and MRA partnered on optimal use of the ID Card and NRIS integration with MRA’s Integrated Tax Administration System (ITAS) which culminated in the finalisation of a Memorandum of understanding between NRB and MRA. |
| NRIS and Immigration department technical cooperated regarding incorporation of ID Card with the Immigration System. |
| NRIS technical team, the Reserve Bank of Malawi agreed to send a directive to all commercial banks to use the ID as the only primary form of identification  MACRA, agreed that moving forward, the National ID card should be integrated as a requirement to issue Subscriber Identity Module (SIM) cards.  The Ministry of Health also approved the need for an eHealth Passport. |
| Output 4: Project is efficiently managed, staffed, and coordinated, and is implemented with national ownership | Monthly Technical Committee meetings were held to review project performance achieved against the milestones. |
| Steering Committee meetings were held to provide high level oversight and strategic guidance to the project including staffing of the Project. |

The MTE assessed that partnership arrangements among donors, Government and national stakeholders was commendably strong at midterm. UNDP along with development partners considered capacity development as the process through which the National Registration Bureau and its staff obtained, strengthened, and maintained the capabilities to own and sustain the operations of National Registration and Identification System (NRIS) and provide identity services to its citizens. In addition to providing technical advisory services to the NRB to sustain systems and operations, UNDP completed key milestones of providing connectivity to all registration centers. In total, 28 District Registration Offices (DROs) and 65 Post Offices were successfully connected to transmit citizen’s data in real-time, thus enabling NRB to process citizen’s ID in less time.

UNDP commissioned a full capacity assessment of NRB by an independent capacity development consultant. The consultant submitted the capacity assessment report and based on its recommendations, UNDP contracted Malawi Institute of Management (MIM) to develop nine customized training courses for the officers of NRB to address the gaps in policy and planning, leadership and management, service delivery, human resource management, financial management, procurement management and office administration. The management of NRB also attended these courses. Thirteen technical trainings were given to technical staff, followed by transfer of source code of NRIS to NRB. A total of 140 additional staff members were recruited in NRB, which enhanced the capacity of the institution to improve service delivery. With technical and financial assistance of the NRIS project, NRB conducted the orientation and training of the new staff to be deployed.

The EU highlighted that the system must be sustainable in terms of finance, capacity, and maintenance of technical operations. Additionally, the EU highlighted that to maximize the benefit of ID system, establishing more linkages including with Ministry of Health, and Social Cash Transfer were fundamental. Further, the EU reflected on the need to consolidate the success of NRIS, to provide a strong basis for which to start the mass registration of children.

The UK expressed satisfaction with the recruitment and deployment of the Registration and Assistant Registration Officers by NRB. On Government’s 40% contribution to the NRIS project the UK indicated that they would expect significant Government contributions to the mass children registration exercise as well. While appreciating the success of the project, Norway emphasised the need for a long-term sustainability plan that ensures revenue generation for the NRB.

The Project effectively engaged the Malawi Posts Corporation on their development of post offices toward becoming One Stop Service Centers for Citizen-to-Government transactions. The Project also continued to work closely across Malawi’s MDAs to assist in the development of systems to make use of the cards and National Registry, in alignment with Output 3.

## *Assessment of NRIS Monitoring and evaluation*

The MTE assessed that the NRIS monitoring, and evaluation was conducted in accordance with established UNDP procedures. The NRIS project developed compliant, effective integrated framework to monitor, evaluate and share lessons from project implementation with key stakeholders within and outside the project to facilitate evidence-based decision making. The project’s M&E Analyst was based at Lilongwe and developed formats and identified appropriate methods for data collection and data compilation, analysis, and dissemination. The evaluators found out that at national level the monitoring mechanism in NRIS is robust and functions effectively in real-time. In a bid to ensure an efficient mass registration process, the National Registration and Identification Project set up a robust monitoring mechanism to handle all issues and complaints in the mass registration exercise. Output 1 and 2 of the Project dedicated activities toward engaging the populace in awareness of the NRIS throughout mass National ID registration and the first year of continuous registration in 2018. The project relevantly used different user friendly and self-explanatory formats for collection and reporting of data from the field. Project, field, and secondary data collected by different teams was submitted electronically to the M&E Analyst and duly recorded.

The NRIS developed a robust Registration Grievance Redress Mechanism. A complaint format was available with the registration officer and people can use a form to fill in if they have any complaint regarding the registration process or the registration officer. After receiving the complaints, the ROs sends the same to the call center.

Findings from the M&E system assessment show that the NRB did not have a robust M&E system. There is no established position for M&E. The M&E function were domiciled at the UNDP project technical assistance level and had not been cascaded to the NRB. At the time of the midterm evaluation visits to the district registration offices, it was observed that there are no M&E activities both at district level and NRB head office. To make matters worse, the relevant position at head office is still vacant.

On a positive note, at technical level the NRIS M&E functions effectively designed evidence-based activities. Staff used data to monitor progress and, more importantly, to tailor program activities to create a more efficient and thereby continuous registration system. Evaluators also found out that the NRIS project collaborated effectively with National Registration Bureau (NRB) and District Registration Offices (DRO) to set up active quality assurance to ensure that data are systematically tracked and used and documented to monitor changes in data usage patterns. Creatively, the NRIS opened a Phase wise DRO level WhatsApp group of all registration officers and supervisors to continuously monitor the registration process. All the problems were immediately solved by the DRO and some of them were referred to the technical and management team based on Lilongwe.

Overall, the MTE assessed that the NRIS monitoring, and evaluation framework was functional and able to provide regular progress reporting on whether the registration process was progressing according to planned activities or not in their real environment; assessed whether the civic awareness campaign was generating the expected awareness among Malawi people or not; determined whether the progress to registration process showed any areas of concern, thus enabling the NRIS monitoring team to propose corrective actions which ensured the proper implementation of NRIS; established and applied the necessary measures, when applicable, to prevent fraud or other irregularities to protect the interest of Malawians; determined if there were any risks or issues that could affect the project implementation; and ensured regular feedback to the NRIS Management team.

The MTE also assessed the internal monitoring mechanisms of the NRIS and rated them as adequate as it was able to provide the necessary feedback on progress through quarterly and annual progress reports to the existing accountability structures; weekly project status meetings - Technical Committee meetings, Technical Working Group meetings, and Quarterly Steering Committee Meetings. Impressively, during the project life span, 21 Quarterly Progress reports were produced and disseminated.

In view of the foregoing analysis on effectiveness, the MTE concluded that the nationwide mass registration drive was adequately implemented. Despite various teething challenges highlighted below, the MTE rated Project effectiveness is **Satisfactory**.

## *Barriers to Effectiveness and Implementation*

Despite the high levels of effectiveness and positive impact ratings in the implementation of the NRIS, this project still faced challenges presented below during its implementation from 2016 to 2019. Some of the challenges and bottlenecks require urgent attention to ensure success of any future programming. Some of the challenges reported at institutional level include;

**During Mass registration**

1. ***District registration offices experienced difficulties with internet connectivity and ICT infrastructure challenges*** including non-functional and poorly functioning kits. The intermittent availability of electricity in the registration centers also compounded this problem. This affected the timeliness of registration resulting in delays in the issuance of registration cards and thereby demotivating registrants.
2. ***The civic education and awareness campaign also faced some challenges in phase I.*** In phase one there was absence of leaflets and flyers for public distribution. These were only done in the second phase. Procurement delays were cited. The other issue was that most of the English posters were not useful to rural communities. For the blind there were no Braille materials. There was also a lot of misconceptions on some beliefs and myths and misconceptions, which led/misled sections of some communities like the biblical 666 myths and rumours of vote rigging. These created fear amongst registrants. Religious and traditional leaders were used to dispel these fears.
3. ***Availability of access by vulnerable populations is available in district registration centers and the post offices have disability wheelchair access ramps access ramps.*** However, during the mass registration, the temporary registration centers - mainly schools, did not have disability friendly access ramps. Similarly, the equipment such as the photo capturing cubicles presented some difficulties for persons with disability to access and sit properly. The BRKs are also not flexible to adjustments as some persons with physical disabilities found it difficult to reach the finger pad and or the camera has limited height adjustment. This should call for a review of the flexibility of the registration kits to allow for adjustments for persons with disability.
4. ***Low card collection:*** People registered but many did not collect their cards. During the districts primary data collection visits the MTE found so many uncollected cards in the districts. One example is at one district where over 3,000 ID cards which remained uncollected. This poses security risk as the cards could land into wrong hands***.***

**During continuous registration**

1. ***Inefficiency of services at the registration centre. Some of the problems observed at registration centres are systemic failures;*** There were also issues of delays in the deployment of registration staff and non-availability of registration staff in some centres. Citizens highlighted that the registration offices take too long a time to process the registration - in some instances up to two weeks just to complete the application process alone for most of the people. Then it would take months before the ID is collected. This is compounded by the inefficient arrangement that all the printing of IDs is conducted in Lilongwe. This indirectly brings a huge indirect cost burden on citizens who travel long distances to the registration offices for several times before the ID to be issued. This defeats the Project intent and citizen expectations.

*“…. I paid more of other costs than the cost of national ID registration renewal as the registration center said they have a shortage of forms on the first day, and I had to go back and forth for 3 days before the forms were available. On average it took people between 3-5 days to complete the registration process” ....* ***Woman FGD participant***

*“…. Why doesn’t NRB decentralize their printing of IDs, it would make the process go faster like that of the birth certificates” ….* ***Man FDG Participant***

1. ***Distance to registration centers provide a major barrier to coverage of the NID.*** Citizens elaborated that during mass registration NRB setup registration centers in selected primary schools throughout the districts. The inadequate registration centers burdened the marginalized population that had to travel long distances and incurring high costs associated with registration and obtaining supporting documents and waiting for long hours before being assisted. These challenges compound the exclusion of poor and marginalized groups from identification services. Advocacy efforts from District Councils continue to lobby government of Malawi to invest in developing new registration infrastructure in the country.

*“…. People are spending between K700 and K2,500 on transportation per visit to the registration centre. Some people have already visited NRB offices over 7 times just to complete the registration process and follow up on progress of their ID card only to be told the cards have not arrived from Lilongwe. What about the Vulnerable community, how do you expect they will get to the NRB offices?”* ***Male FGD Participant.***

1. ***Expiry date of the NID:*** According participants in FGDs and other stakeholders’ interviews, there is a general impression that the short expiry date has led to several challenges both at individual and operational challenges. At district level, the registration offices are overwhelmed by renewals and the system does not allow renewal of cards before the expiry date, leading to registrants to wait until the date of expiry passes. Most citizens expressed concern that their IDs are expiring within 5 years. Some felt the expiry date should be uniform for everyone or be only for those under a certain age group but the elderly over 60 years+ the expiry date should be eliminated permanently.

*A man FGD participant had this to say “Why should I pay for my right” and another “does it mean I’m no longer a citizen now that my NID expired. This right should expire the day I die, that’s when I’m no longer a citizen.”*

Figure 4 below summarises some of the key challenges reported by citizens.

Figure 4: Key Challenges reported by Citizens (n=420)

## 

## Findings on Efficiency

Through a basket fund arrangement with UNDP as the managing agent, the initial budget for the project was $50,868,742 of which $20,858,400 was government contribution and the rest was provided by the development partners [DFID, EU, USAID, Norway, Irish Aid and UNDP]. It is the finding of this MTE that the NRIS Project efficiently deployed and utilized the allocated budget for training and deploying of people, building up infrastructure, paying running costs, and meeting all set targets in developing a permanent and continuous national registration and identification system.

* Refurbishment of 55 out of 65 selected post offices was completed in a timely fashion. The ongoing refurbishment in all 65 post offices were set to be completed in January 2020.
* The refurbishment of the 28 DROs and model registration office at Blantyre DRO was completed. The network and ESCOM connection were in progress at the time of evaluation.

The MTE assessed that the Project efficiently institutionalized the ID for all digital biometric registrations. The integration or connections between different identification systems using the NRIS is testimony to the efficient operation of the system. It provided potential for an interoperability platform, online query systems, or the dependency of one system on another. This has enabled and improved the efficiency of identity-related transactions that rely on multiple sources of information (e.g., verifying eligibility). It has also reduced the need for duplicative data collection exercises or credentials. Consequently, the integration of a unique ID into other databases such as voters roll has already helped de-duplicate records, while interoperability platforms and other interfaces can enable fee-charging models for identity verification and authentication services.

The Evaluation assessed that key project financial aspects, including the extent of co-financing, were realized as planned. Project costs and funding data were reviewed and analysed, including annual expenditures. Variances between planned and actual expenditures were assessed and found satisfactorily reported. They are all compliant to budgetary allocations. Results from recent financial audits, as available, have been taken into consideration.

The evaluation found out that there was direct positive relationship between financial investment in capacity building of staff and infrastructure. For instance, staff reported that after training they were well oriented on risk management that ended up with a risk register describing each of the systems governing budgeting, utilisation, expenditure, and cost control. Commendably, there was an internal audit team that provided oversight over the project funds and no transfers were made without a liquidation report of previous funds. The evaluation findings also note that the systems were appropriate for the size of the project and the nature of operations, and there are no significant matters of financial mismanagement to report. The MTE was also informed that the Auditors report had no material adverse comments pertaining to Project operational systems. Evaluators tracked and ascertained that Cost-Sharing Agreements signed between UNDP and the Government of Malawi (USD $20.747,497), DFID (GBP 15,485,000), Irish Aid (EUR2,978,944), USAID (USD $2,000,000), Norway (NOK 26,825,000) and the EU (EUR 10,800,000) were honoured. The MTE learned that UNDP allocated USD$4,350,000 from its core resources to the project. The entire project budget is now estimated at USD $55,138,181. The table below presents a cumulative expenditure summary.

**Table 2: Cumulative Expenditure (Q4 2016, 2017, 2018, 2019) Summary Report:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Cumulative Budget Variance Analysis** | | | | |
| **OUTPUTS NAME** | **Cumulative**  **budget (US Dollar)** | **Cumulative**  **expenditures**  **(US Dollar)** | **Cumulative**  **Variance(US Dollar)** | **Comments on principal reason for Variances** |
| **Output 1:** Up to 9 million Malawians are registered and issued with a National Identity card in 2017 | 37,411,697 | 37,968,834 | (557,137) | -Purchase of additional cards;  -BRK warranty has been extended for 1 year |
| **Output 2**: NRIS is transitioned to a  permanent and continuous registration system | 3,716,001 | 2,979,924 | 736,077 | Savings have been made on the GWAN  activity |
| **Output 3**: Government MDAs are assisted to adopt the use of the NRIS. | 100,000 | 163,771 | (63,771) | Underestimated budget |
| **Output 4**: Project is efficiently  managed, staffed and coordinated, and is implemented with national ownership | 7,592,031 | 7,519,075 | 72,956 | -Monitoring and support of GWAN activities |
| **SUB-TOTAL OUTPUTS** | 48,819,729 | 48,631,603 | 188,125 |  |
| Technical Support for Unforeseen  Capacity Gaps (5%) | 2,295,373 | - | 2,295,373 |  |
| UNDP Procurement Support Office  (PSO) (4.5%) | 1,204,676 | 929,516 | 275,160 |  |
| General Management Service Fees  (GMS) (variable) | 2,863,405 | 2,676,905 | 186,501 | GMS for Q4 need to be updated in consultation with basket fund manager |
| **TOTAL** | **55,183,183** | **52,238,024** | **2,945,160** |  |

## Findings on Coherence

It is the MTE finding that the project was coherent with other UNDP interventions in Malawi and compatible with other interventions providing civil registration services in the country. The NRIS project is aligned to the UNDP Strategic Plan (2018–2021) Outcome 2, which places an emphasis on achieving the following: “Accelerate structural transformations for sustainable development” and in particular output 2.2.1 “Use of digital technologies and big data enabled for improved public services and other government functions” . The Project sought to actualize the Right to Identity in partnership with the NRB systems. Correspondingly, the system established the management information systems that allows Government and stakeholders to access and use that information in aggregate for planning, and as a central reference point for individual identity to be linked across multiple systems. Simultaneously, the management information systems and identity cards enable the strengthening of accountability and verification processes within both the public and private sector domains that enhances services for Malawi’s citizens.

To buttress UNDP development goal, the NRIS project was developed to contribute to Government’s efforts to guarantee the fundamental right to identity, entitlement, and enjoyment of full citizenship in Malawi. The development of the NRIS initiative was consistent with SDG 16 to: “promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels”. Specifically, the NRIS addressed SDG Target 16.9 that refers to providing legal identity for all.

The NRIS project was implemented as a direct response to Malawi’s structural development challenge in the absence of a comprehensive and accurate system of national identification, undermining citizens’ right to identity and depriving citizens’ access and entitlement to services. The MTE assessed that the NRIS project fits well as a UNDP supported/financed project, which forms part of UNDP country programming, as well as regional and global programming. The mid term evaluation assessed the extent to which the Project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters and gender. The MTE confirms that the Project was well aligned to achieve the *UNDAF Outcome:* National institutions foster democratic governance and human. rights to promote transparency, accountability, participation, and access to justice for all, especially women and children. It is also aligned to the *Contributing Outcome*: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance. For instance, the NID made a commendable contribution towards an integrated system of identity that has enhanced an enabling environment and strengthened well an integrated system of improved accountability and service delivery across various developmental sectors and needs of the population using the national identity card. The NID is one of the key public sector reform areas that has ultimately led to improved accountability and efficiency in service delivery. Additionally, the Government of Malawi is currently strengthening the civil registration and vital statistics (CRVS) system to comprehensively register births, deaths, and marriages, thereby increasing individual’s ability to claim their citizen’s rights and services, as well as Government’s ability to fulfill its obligations to provide inclusive social services, and to foster evidence-based policy formulation and decision-making.

However, as for alignment with other allied systems, except for the voter registration, the NID register is not yet fully integrated with other functional identity registers. To resolve this, the Government is currently in the process of updating other key registers to enable service delivery. At the national level coherence is being achieved by interlinking functional registries through digital and financial inclusion, Voter registers, Payroll registries, Business registration registry, Beneficiary registries, among others. The MTE also confirmed that there are benefits accrued to citizens in their daily livelihoods. A very convincing institutional strengthening framework and an effective identity management framework has been established in Malawi.

The MTE learned that further linkages are still required and are in progress. According to the NRB there are two type of linkages - the manual linkages and the automated linkages. In manual linkages institutions give the information to the NRB to be verified and validated. This includes the DHRMD, Ministry of Agriculture (AIP) and other government departments. The automated linkages enable access using QR code for the Immigration, Banks, Insurance, and mobile phone operators. Why some registries are not synced to the NRB database is a legal issue that borders on data protection laws.

The NID has now become the nationally accepted ID for all digital biometric registrations and appear to be linked to more types of services that any ID. The integration or connections between different identification systems using the NRIS has provided potential for an interoperability platform, online query systems, or the dependency of one system on another. This has enabled or improve the efficiency of identity-related transactions that rely on multiple sources of information (e.g., verifying eligibility) and has reduced the need for duplicative data collection exercises or credentials. Integration of a unique ID into other databases such as Passport, and voters roll has already helped de-duplicate records, while interoperability platforms and other interfaces can enable fee-charging models for identity verification and authentication services. The MTE rates coherence as **highly satisfactory**.

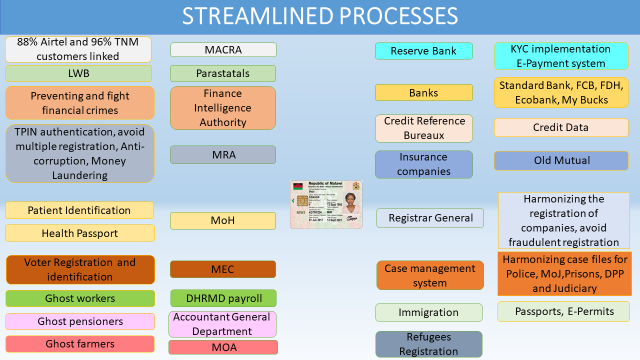
## Findings on Impact

1. ***Impacts of NID on the Public and Private Sectors***

The MTE assessed the extent to which the Malawi NRIS Project achieved impacts or progressing towards the achievement of impacts[[26]](#footnote-7). The Government is in the process of integrating the national identity register with other functional identity registers to best provide citizens with relevant services. The evaluation learned of important functional identity registers within the NID ecosystem that are in use or have potential for linkages. According to the NRB there are two type of linkages - the manual linkages and the automated linkages which have lasting impacts.

In manual linkages institutions give the information to the NRB to be verified and validated. This includes the DHRMD, Ministry of Agriculture (AIP) and other government departments. The automated linkages enable access using QR code for the Immigration, Banks, Insurance, and mobile phone operators. The figure immediately below demonstrates the progress made towards linkages to different functional registries. Figure 5 below shows potential and linked impact of NID across stakeholder’s linkages map for the National ID ecosystem.

|  |  |
| --- | --- |
| **Figure 5:** | **Streamlined Processes for the National ID Ecosystem, Malawi 2019** |



*Source: NRIS UNDP Malawi ,2021*

The MTE learned that except for the voter registration, the NID register is not yet fully integrated with other functional identity registers. However, the Government is currently in the process of updating other key registers to enable service delivery. At the national level, the MTE examined the impact in several functional registries that includes the digital and financial inclusion, Voter registers, Payroll registries, Business registration registry, Beneficiary registries, among others. The MTE also examined benefits accrued to citizens in their daily livelihoods. A very convincing institutional strengthening framework and an effective identity management framework has been established in Malawi. The figure 5 immediately above is illustrative of the National ID Ecosystem that can transform Malawi’s development agenda if sustained.

1. ***Impact on Digital and Financial Inclusion***

According to World Bank’s latest Global Findex survey, applying for mobile SIM card or mobile services is the most prevalent use of identification across all countries for both men and women. [World Bank Group, 2018)] The studies suggest that an inclusive and robust digital ID ecosystem can offer significant benefits to private and public sector entities by enabling strong, remote verification of individuals’ identification credentials which then unlocks access to a host of relevant services. impact of proof of identity requirements for the registration of SIM cards to access mobile services.

**All SIM cards in Malawi need to be registered on a central database**: According to the Malawi Communications Regulatory Authority (MACRA), SIM registration and enforcement of ‘Know Your Customer’(KYC) processes in Malawi were made mandatory according to the Communications Act (2016) in line with anti-money laundering and counter-terrorism laws. KYC processes required that all SIM cards be registered and verified against the NID providing a means of identify in person.

In 2016 all mobile subscribers were required to re-register their SIM cards with their networks by early 2018 and extended to September 2018. For TNM, the total number of subscribers is 3,734,566 and those who registered using national IDs is 3,276,636. For Airtel, the total registered customers are 5,540,968 and using National ID 5,317,330 (88 %), (MACRA).

The Malawi Access to ICT Use survey report of 2019 reports that about 37 percent of households in Malawi in 2019 owned a mobile telephone which was accessible to every household member, 40 percent in male headed households and 27 percent in female headed households. The report also shows that 32 percent of the population had access to digital financial services with 30 percent of individuals having mobile money account (NSO, MACRA, 2019). Access to mobile technology is central to participating in the global economy. The NRIS Project is on track to support the national development process in the ICT and digital and financial inclusion.

1. ***Perceived impact on financial inclusion***

The perceptions survey showed that applying for mobile SIM card or mobile services is the most prevalent use of identification for both men and women. Almost 93 percent of citizens used their identity card to apply for a SIM card or mobile services 93 percent for men against 94 percent of women. Opening of bank accounts for 92 percent for both men and women. This shows that financial inclusion has favoured women most compared to the past when they were using other people’s IDs.

|  |  |
| --- | --- |
| **Figure 6:** | **Perceived impact of NID on financial inclusion (%),(n=420) Malawi 2019** |

1. ***Impact on Voter Identification***

One major impact has been felt in the use of the new NID. It arguably solved perennially vexing identification problems surrounding elections and their verification. According to the Malawi Electoral Commission (MEC), following a review of previous elections voter’s register, it was recommended that MEC could benefit from utilising the national ID to validate its voters register, i.e., it would be efficient that there should be another body with a national population register from where the Elections body should be linked. The Malawi Electoral Commission and Government took this into effect in the 2019 Parliamentary and Presidential Elections (PPE) making the NID to serve as the exclusive form of identification for voter registration.

Although the Malawian Electoral Commission remains the responsible agency for the wider election process, registration for the 2019 tripartite elections (combining local government, parliamentary, and presidential elections) utilised the new NIDs. These were swiped to enable the automatic transfer of chip-installed data to the registration system. For those without an NID, registration data is collected at the point of voter registration and a biometric barcode was provided. The MEC used 1,400 BRK kits for voter registration and staff trained by the NRB. Figure 5 shows that the total number of registered voters on the clean voters register in 2020 was 6,859570 registered voters, out of which 3,813, 578 (56%) were female registered voters and 3,045,992 (44%) were male registered voters. This suggested that (69%) of the registered adult population were also registered voters. Women, who previously faced exclusion had a better share of registration and participation in exercising their right to vote.

|  |  |
| --- | --- |
| **Figure 7:** | **Voter Registration by Gender (%) Malawi 2019** |

*Source: Malawi Electoral Commission (MEC)*

**The NID contributed to the credibility of the 2019 PPE and 2020 Fresh Presidential elections:** The use of the National ID card for the 2019 Tripartite elections resulted in a smoother voter registration. Additionally, it cost seven times less as compared to the 2014 Tripartite elections. More importantly, the biometric voters list hugely improved its accuracy because of the absence of duplications and demonstrably no case of multiple voting was recorded in the last 2019 election (UNDP, 2021).

Evidence from the evaluation findings including project reports indicate that the use of the NIDs during the 2019 PPE significantly improved the voter identification and thereby contributing to the credibility of the elections. Among some of the notable improvements compared to previous elections included reduced time taken to register a voter, elimination of duplicate voters, elimination of misspelt names as the names would directly come from the National Database.

According to one key Informant there were many benefits using the NID during the last elections.

*“…. For the first time there was no uproar on the voter register, in previous elections, there would be an uproar and petitions on the quality of the voter register even before voting. This time, we got it right and we got it right because of the National ID. Secondly, in previous years, when we were typing the names ourselves somehow people's names could be misspelt, on verification you would never find them in the voter register, we also did not have issues with duplicate voter’s misspelt names. Third, In the past some voters would register multiple times. With the NID this time it was almost impossible to have duplicates, voters knew that we could trace that they are already registered, those who wanted to cheat using fingerprints, we got confirmation from NRB to remove the duplicates. So we have a very clean voters roll. ‘****’MEC official***

The Key informant further elaborated that another benefit of using the NID was the efficiency in time taken for registering a voter. It would take less than a minute to register a voter when previously it would so long.

*“……For the last election, it's a matter of seconds and somebody is registered as a voter because all we're doing is scanning the QR code on the national ID. So, we're able to register people in less than a minute:”* ***MEC official.***

Table 4 below shows some of the perceived efficiency and impacts on the electoral process using the NID compared to the past.

|  |  |
| --- | --- |
| **Table 3:** | **Perceived Impact of NID on Voter Registration, Malawi 2019** |

|  |  |  |
| --- | --- | --- |
| Dimensions of impact | Current Practice | Before NID (2014) & earlier |
| Biometric data | 1,400 Biometric kits used | No Biometrics taken |
| Total Number Registered Voters | Total number of registered voters in 2019 was **6,859,570** on clean voters’ roll | Total number of registered voters in 2014 was **7,470,806 most likely** including duplicates |
| Average Time taken to register voter | In the 2019 and 2020 elections it took less than 1 minute to register a voter constantly | In 2014 and earlier the quickest time to register was around 5 minutes with an average time of about 15 minutes per registrant |

*Source: Malawi Electoral Commission, 2021*

Similarly, findings from the citizen’s perceptions survey indicate that most citizens (89%) agree that the NID facilitated the credibility of the elections as shown in the Figure 7 below. Women agreed more (91%) compared to men (89%). Women also confirmed that the NID helped increase the number of women who participated in the recent elections.

|  |  |
| --- | --- |
| **Figure 8:** | **Citizens perception on effect of NID on transparency during elections and voting, Malawi 2019 (n=420)** |

Analysis of Figure 7 above implies that the decision to align the voter identification with the national identity registration significantly contributed to motivate citizens to register and provided the immediate utility for the NID. It has also contributed to the improving the democratic participation of women more than men.

1. ***Reduction in Administrative Costs and improvements and efficiency***

It is the MTE finding that the NID has contributed to fiscal savings. The MTE assessed existing reports on government programmes where the NID is used for verification. These include the Agriculture Input Programme, Immigration and the Department of Human Resources and Department personal audit to draw some initial conclusions about the source and range of fiscal benefits to the public sector. These cases illustrate a variety of mechanisms through which the introduction of the NID has decrease expenditures, increase public revenue, or both. There was evidence of (1) reduction of fraud in government transfers, (2) reduction of administrative costs, (3) increase in revenue collection, and (4) opportunities for charging fees for various identity-related services, thereby improving revenue generation.

**\* Case Study 1: The Agricultural Input Program**

The MTE found evidence that during the implementation of the 2019/2020,[[27]](#footnote-8) Agriculture Input Programme (AIP) formerly known as the Farm Input Subsidy Programme (FISP), the Malawi Government adopted the use of the National ID following recommendations from the programme review. The Ministry of Agriculture decided to use the NID. In the previous programs, identification was done through hard covers listing beneficiaries in the villages to collect an inventory of farming households. This was followed by distribution of paper coupons to selected beneficiary farming households.

Information from AIP programme managers and the MTE analysis of the beneficiaries’ data demonstrates that use of the NID led to the reducing fraud on the government transfers in the programme. The reduction was achieved through the following three distinct pathways, each relying on the implementation of different combinations of features: ***a) eliminating multiple and ghost beneficiaries****.* With the use of the NID for receiving the inputs coupons the unique NID credential was linked to the beneficiary database register, and this removed any duplicates a within the list of beneficiaries and eliminate fake or ghost/deceased beneficiaries. **b*). Identifying ineligible/ghost beneficiaries the system***was also good as it was able to identify ineligible household beneficiaries by facilitating verification and ***c.) Prevented impersonation and leakag****e* by ensuring that a person is who they claim to be.

Using the NID in the AIP verification process assisted in flushing out unintended beneficiaries listed as household heads, or ghost farmers who had died and not traced, ineligible persons in border districts etc. This reduced error of inclusion and improved the efficient allocation of the benefits to eligible beneficiaries.

The MTE analysis of the foregoing shows that in the 2020/21 Agriculture Input Programme, the NRIS team worked closely with MoAFS to generate an improved list of AIP beneficiaries. The initial list of households’ heads targeted at 4,279,100 farming households were sent to the NRB for verification. In the final analysis a total of 3,788,105 records were authenticated before the farming season with the NRIS database and the program itself with huge cost savings for Government. A total of 490,995 ghost farmers were identified and this led to a saving of USD27,000,000.

The table below shows some of the perceived efficiency and impacts on the AIP programme using the NID compared to the past. The data analysis presented in the same table below also shows some evidence of **reducing administrative costs**. A second opportunity for decreasing government expenditures comes from the ability of identification systems to reduce operating costs within a country’s identity ecosystem.

|  |  |
| --- | --- |
| **Table 4 :** | **Perceived Impact of NID on Agriculture Input Programme (AIP)** |

|  |  |  |
| --- | --- | --- |
| Dimensions of impact | Current Practice | Before FISP & earlier |
| Number of targeted beneficiary Households in database | 4,279,100 households | 1,000,000 households |
| Budget | **K160 Billion** |  |
| Administration costs |  |  |
| Printing of coupons  Coupon distribution costs  Security  Allowances  Transportation | 0 | FISP administrative costs were estimated at over 30% of the programme costs that included, transport logistics, printing of coupons in Dubai, security of coupons by Police from the airport to district, handover to district police district team also guarded by 2 police officers up to the farmers, coupons |
|  |  |  |
| Identification of Ghost farmers | 490,995 | Mostly abused |
| Efficiency/Cost Saved | $27,000,000 | No savings |

**\* Case Study 2: Efficiency in E-Passport Processing**

The improvements in the issuance and security of the Malawi Passport have evolved from handwritten passports in the past to modern passports. The linking of the Passport application process to the NID has provided some benefits in form of reduced time taken to obtain a passport and efficiency in revenues collected, although there is a general decline in revenues collected due to the declining demand for passports owing to the travel restrictions.

***Reduced transactional costs:*** Previously, the passport application process would start with passport application form at District Commissioner to have forms stamped, citizens would pay a fee for the commissioner of oaths to sign at the district council before sending the forms to the Immigration Office for Payments, then Immigration would send forms for vetting (NIB) verifying and authenticating identities. The introduction of the NID has reduced the cost of many of these transactions. Furthermore, in addition to improving the overall efficiency of identity related transactions, interoperability or integration between identification systems with the NID featureshas created the opportunity to reduce or eliminate some redundant aspects of the identity ecosystem.

***Reduced time of passport processing:*** Key informant interviews with Immigration officials revealed that linking passport services with NRB have proved beneficial to the applicants through reduced time of waiting for issuance of a passport.

*‘’…Since we started the NID, the current passport processing, once we process the application form, we would have already taken care of the applicant background checks, there is no need to go the district commissioner’s office, in addition all the underlying costs like vetting the applicant are not there as we are assured that the applicants are Malawians, and we simply scan the NID to verify the applicant…” Immigration Official*

Nevertheless, there are challenges when there are network failures during an emergency, but with a stable network connection time will come when it will be mandatory that for every application will not be allowed to proceed to the next stage without authenticating with the National Registration Bureau. This has reduced duplicate applications.

* + **Case Study 3: Elimination of Ghost workers & Pensioners from Public Payroll**

According to the DHRMD the national ID was first rolled out among civil servants as a pilot. These have led to easier headcount of the civil service workforce. Although the headcount is still ongoing and the report was not yet out at MTE, the DHRMD has been able to run scripts to show duplicate IDs and reports indicate that approximately 3000 ghost workers were removed from payroll (UNDP, 2021). The actual data on the cost savings was not yet out at MTE.

*“…. Currently there is still a challenge in that the HMRIS and NRIS are not yet interfacing electronically. Without this interface during voluntary retirement or death of an officer, until it is reported by the deceased family during the processing of pension gratuity, they still appear on the pay roll.”. KII DHRMD*

1. ***Impact on Reduction in Financial Crimes and Money Laundering***

The Biometric functionality of the NID has given the Financial Intelligence Authority (FIA) opportunity that they can easily identify persons committing money laundering and financial crimes. Through the Financial Crimes Act Government already authorized for enhancing the investigations of financial crimes. The Financial Intelligence Authority (FIA), formally the (FIU) is responsible for overall supervision of financial institutions and all reporting entities for compliance with the Financial Crimes Act (FCA) including identification and verification of customers (UNDP, 2021).

According to key informants from the FIA, since the NID started, a directive by the Reserve Bank of Malawi in 2018 made it mandatory for all bank customers to have KYC. The FIA is working closely with banks to ensure there is KYC compliance so that banks and authorities know who we are dealing with. Among some of the benefits is the ease of identifying a customer by name and fingerprints. The financial inclusion has also increased since in the past customers would rely on driving license and passport as an ID at the bank thereby leaving many people behind and financially excluded.

*‘’…In the past a person wanted for financial crimes in one jurisdiction would pick another name and change their passports when blacklisted, we are glad that now with the security biometric features on the NID and e-passport it limits one to have more than one passport or NID making it a unique form of identification” …. FIA Official****.***

1. ***Citizens Perceptions on use the NIDs***

The evaluation findings as demonstrated in figure 9 below highlight the major areas and uses where citizens found the National ID very helpful and mandatory.[[28]](#footnote-9) For instance, the evaluation findings show that registering for a mobile service is the most prevalent use of identification among both men and women (81%) followed by opening of Bank Accounts (67%), followed by using the NID to access government support services (AIP, SCTP, CUCI, humanitarian relief distribution and Covid Vaccines etc. (45%.). There were no significant differences between males and female citizens on use of the NID, with males reporting higher uses across all the majors uses. This implies that the national ID has become a national asset for which most services are accessible to most Malawians equitably. The MTE concluded that acquiring the NID is a human right that has facilitated gender equality and women empowerment in Malawi.

|  |  |
| --- | --- |
| **Figure 9:** | **Percentage distribution of how citizens use their NIDs (%),Malawi 2019 (n=420)** |

***Source: Evaluation Citizens Perception Survey, 2021***

1. ***Right of citizens to identification***

Overall, most of the citizens interviewed (95%) reported that they are satisfied having the National Identity and that the ID has positively impacted their identity and business lives in very practical ways. The findings also showed that most of the citizens reported that that they are now satisfied to have the national Identity Card as the right to identification. Views from the citizens’ perception survey indicate that most citizens believe the NID has facilitated their right to identity and easier identification. In the figure below most respondents (94%) agreed that the NID has facilitated easier identification of persons, (93%) citizens agreed that the NID has enhanced their right of identity as Malawian citizens (Nzika) and (81%) agreed that the NID has facilitated easier tracing and identification of law offenders and human traffickers. There are no significant differences between males and females. The figure below serves to demonstrate that fact.

|  |  |
| --- | --- |
| **Figure 10:** | **Perceived impact of NID on identification (%),Malawi 2019 (n=420)** |

***Source: Evaluation Citizens Perception Survey, 2021***

1. ***How the lack of identification impacts people’s lives***

In the evaluation perception survey, those without the NID were asked *‘Have you ever not been able to do any of the following because you did not have the necessary identification documents?’* The results shown below in Figure 12 show that a large proportion of citizens interviewed (46 percent) felt the greatest impact/loss in lacking the necessary identification was when accessing financial and banking services, 43 percent felt the greatest impact/lass was when applying for a SIM card or mobile services, 24 percent felt they were unable to apply for loans including student loans and scholarships, and 21 percent felt the greatest impact/lass was when they were unable to receive government social protection support such as AIP, SCTP and other humanitarian relief due to lack of the NID.

|  |  |
| --- | --- |
| **Figure 11:** | **How the lack of identification impacts people’s lives (%) (n=420), Malawi 2019** |

***Source: Evaluation Citizens Perception Survey, 2021***

Conclusively, the MTE has gathered strong evidence from the foregoing analysis, that NRIS project’s impacts demonstrates that the NRIS was **highly satisfactory** in achieving the intended objectives and the outcomes have demonstrated the positive results both intended and unintended in the process.

## Findings on Sustainability

1. ***Operational Sustainability***

Overall, the MTE assessed that the financial data, information on infrastructure and organizational set-ups and observations on the progress on institutional strengthening for the Project show that the NRB is still at its infancy. Most of its operations are reliant on the development partners. The NID is highly reliant on the financial sustainability of the NRB to keep this NRIS platform going and to keep the platform clean. The Government and development partners are still working with the NRB to develop, a multiple modular CRVS that would be able to register Births, Deaths and Civil registration. This interface would be the goal for the National Register. In the short to medium term the NRB would require professional people in the proper places and positions filled. There are still so many vacancies at the NRB that make its operations inefficient to reach out to most Malawians.

To support the continuous registration, after the mass registration NRB deployed registration personnel in all 28 district registration offices to increase the registration capacity for the national ID. To increase the outreach for the national ID registration and distribution, UNDP refurbished 65 selected Post Offices across the country and equipped them with the registration facilities. Some of the post offices are fully functional, but NRB could not make all of them functional due to the lack of human resources. There is need for qualified and adequate human resources for NRB to run efficiently.

There is an unofficial but lingering perception that NRB is burdened by political interference in its senior management ranks. Interviews with several key informants revealed that there is strong perception that NRB suffers from political interference in staff recruitment, and decision making especially in very critical positions. The lingering perception of political appointments of NRB personnel tainted the public image of the NRB which needs to be repaired in the short run. A foundation of professionalism at the NRB would ensure proper linkages and overflow to other institutions such as MEC, financial institutions, agriculture programmes and health as has been the case.

The sustainability of the NRIS should also be measured through capacities that need to be strengthened at individual and organisational level to ensure sustainability of project results. The evaluation findings in table below show that vacancy rates at the NRB. The table shows that a total of 266 positions are not filled within the NRB operations, thereby contributing to the challenges faced in its operations. Amongst others, the monitoring and Evaluation Unit is not yet functional. Most importantly there are high vacancies on Assistant registration officers who would mainly be deployed to rural post offices that would be ideal for ease of access to services by the rural population are not filled with staff. In total only 23 post offices are equipped and adequately filled with staff.

|  |  |
| --- | --- |
| **Table 5 :** | **Assessment of Human Resources at NRB Malawi** |

|  |  |  |
| --- | --- | --- |
| **Position** | **Grade** | **No of Vacancies** |
| Director | D | 1 |
| Chief Registration Officer | F | 1 |
| Chief Systems Analyst | F | 1 |
| Principal Civic Education Officer | G | 1 |
| Principal Monitoring & Evaluation | G | 1 |
| Principal Registration Officer | G | 6 |
| Registration Officer | I | 5 |
| Monitoring & Evaluation Officer | I | 1 |
| Senior Assistant Registration Officer | J | 18 |
| Assistant Logistical Officer | K | 28 |
| Assistant Registration Officer | K | 140 |
| Motor Vehicle Drivers | N | 16 |
| Messengers | P | 16 |
| Head Messenger | O | 1 |
| Security Guards | P | 30 |
| **Total Vacancies** |  | **266** |

*Source: NRB Human Resources, 2021*

Coupled with the above, views from the MTE key informants confirm that the district NRB offices are inadequately staffed hence people spend long time on queues and a long time for their IDs to be issued. These cause systemic barriers that disproportionately affect marginalized or vulnerable groups, particularly poor people, the rural population, women, and children.

The findings above imply that a functional review needs to be conducted to make the NRB sustainable. Most importantly the government should consider devolving the functions of the NRB to the district councils to improve service delivery the citizens. The national Identification system is only as useful as their level of coverage. To achieve the goal of universal coverage, there is therefore a lot of work to be done to reduce barriers to access, address specific barriers faced by women, and increase incentives for enrollment, this includes increasing the points of contact with citizens. Coverage is likely to be low where people have limited contact with government agents and offices are difficult to reach.

1. ***Financial Sustainability***

The MTE assesses that in the foreseeable future the functions of the NRB will be dependent on development partners. The government commitment of 40% of the NRB annual budget needs to be supported and sustained and be extended to the next stage of mass registration for Births and Deaths. Beyond expression of commitment, there is currently no clear strategy as to how future the functions of the NRB will be sustained I the long term.

|  |  |
| --- | --- |
| **Figure 12:** | **NRIS Financing commitments (%), Malawi** |

*Source: UNDP, NRIS*

The total fiscal allocation of Malawi’s National Registration activities was allocated at K1.3 billion for the last 5 years. An analysis of the NRB funding commitment from the Government of Malawi shows that the Government has mostly been funding the recurrent budget. There were no substantial investments amounts allocated in the capital budget between the periods 2016-2019. The table below shows that the allocated recurrent budget to NRB has been fluctuating with the highest funding received during the mass registration 2017/2018. In 2020/21 fiscal year the NRB received a budget cut to MK0.7 billion. This has led to the NRB to face serious lack of funds for daily civil registration operations and outreach services.

|  |  |
| --- | --- |
| **Figure 13:** | **Malawi Government Budget Allocations to NRB (Recurrent)** |

*Source: Ministry of Finance, Budget Document Vol 3 Various.*

1. ***Financing Requirements***

The MTE assessed that the funding streams are not sustainable considering the high costs of card replacements that are inherent in the production pf NIDs. The table below presents a projected cost of card replacements based on their expected expiry dates. This information shows the indicative financial gap and the minimum required financial resources required to maintain NID cards amongst the population in the coming decade.

|  |  |
| --- | --- |
| **Figure 14:** | **Projection of finance required for replacement of ID (based on expiring ID data).** |

*Source: UNDP, NRIS*

1. ***Revenue Generation***

The MTE examined available data on revenues generated by NRB during the MTE period and found them quite steady compared to most Government departments that are subvented. An analysis of revenues and receipts generated by the National Registration Bureau to the Malawi Government consolidated account, shows that the sources of revenues include renewals, replacement for lost and stolen IDs and charges to the private sector verification charges, change of names, reprints etc.

The MTE could not conduct a more comprehensive sustainability analysis, e.g., breakdown of recurrent costs of salaries, HQ office and CPF support, Post Office rent, depreciation of equipment (BRKs) and replacement costs, software maintenance LTA, hardware and last mile connectivity costs, linkages revenue generated, e.g., KYC services for the Private Sector, card replacement fees. However, such expenditure information was difficult to collect because was not available at NRB and MOF. It is stored at Accountant General’s Office and requires special clearance, which would take much more time that the duration of the MTE. UNDP is better placed to seek clearance for this data access, this MTE recommends that such comprehensive analysis is ideal for a separate costing study than an MTE.

The revenues from NRB are steadily growing. Available data on revenue from the NRB is available from May 2018. During the financial year 2017/2018, MK9.5 million of revenue was generated. In the 2018/19 fiscal year MK140.7 million of revenue was generated, while during the fiscal year 2019/2020 MK160 million of revenue was generated from the NRB. This implies that if everything else remains the same, expected revenues will increase with more linkages and interoperability with the private sector. The question is whether these revenues can be sustained since some rights holders indicated to the evaluators that the cost are too high and cannot be sustained unless their income levels improve in the short to medium term.

|  |  |
| --- | --- |
| **Figure 15:** | **Potential Revenue Generation from NIDs** |

*Source: MoF, Revenue Returns, 2020.*

Table 7 below provides a more detailed financial gap analysis conducted by the NRIS on the financial sustainability model. The model includes the breakdown of recurrent costs of salaries, HQ office and CPF support, Post Office rent, depreciation of equipment (BRKs) and replacement costs, software maintenance LTA, hardware and last mile connectivity costs, linkages revenue generated, e.g., KYC services for the Private Sector, card replacement fees.

|  |  |
| --- | --- |
| **Table 6:** | **Financial Sustainability Projections Model** |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **No.** | **Items** | **2019/2020** | **2020/2021** | **2021/2022** | **2022/2023** | **2023/2024** |
|  |  | Tabulated at 10% annual increase (Million MK) | | | | |
| **1** | **Revenue** | | | | | |
| **1.1** | **General revenue from service delivery** | 220 | 242 | 266 | 293 | 322 |
| 1.11 | Late birth registration |
| 1.12 | Late death registration |
| 1.13 | Late registration for citizen National ID |
| 1.14 | Registration for resident foreigner ID |
| 1.15 | Editing, corrections and changes on IDs and Certificates |
| 1.16 | Replacements for lost IDs, and certificates |
| 1.17 | Renewals | 3,300 | 14,846 | 4,169 | 4,467 | 5,373 |
| 1.18 | Linkages / ID Verifications with stakeholders eg banks & CRB | 30 | 33 | 36 | 40 | 44 |
| 1.19 | Other Revenues (Introduction of special service fees) eg Express service) | 10 | 11 | 12 | 13 | 15 |
| **1.2** | **Revenue from Govt Other Recurrent Transactions (ORT)** | **1,365** | **1,502** | **1,652** | **1,817** | **1,998** |
|  | **Total Revenue** | **4,925** | **16,634** | **6,135** | **6,630** | **7,752** |
|  | | | | | | |
|
| **2** | **Expenses** | | | | | |
| **2.1** | **Administrative services** |  |  |  |  |  |
| 2.1.1 | Wages and Salaries | 634 | 989 | 1,088 | 1,197 | 1,316 |
| 2.1.2 | Goods and Services | 919 | 1,011 | 1,112 | 1,223 | 1,346 |
| 2.1.3 | Routine Maintenance of Assets/Offices | 166 | 183 | 201 | 221 | 243 |
| 2.1.4 | Acquisition of fixed Assets | 280 | 308 | 339 | 373 | 410 |
| 2.1.5 | Payment of Post Offices Rentals | 48 | 60 | 66 | 73 | 80 |
| **2.2** | **Information and Communication Technology** |  |  |  |  |  |
| 2.2.1 | Maintenance of IT equipment | 300 | 350 | 350 | 350 | 350 |
| 2.2.2 | Replacement/Procurement of New IT Equipment |  | 1,000 |  |  |  |
| 2.2.3 | ICT Support Services e.g Procurement of ICT Consumables e.t.c | 50 | 55 | 61 | 61 | 61 |
| 2.2.4 | Connectivity Costs to PO/DROs | 50 | 50 | 50 | 50 | 50 |
| **2.3** | **Population registration (CRVS)** | **100** | **110** | **121** | **121** | **121** |
| **2.4** | **Identification (ID) & purchase of blanks cards** | **450** | **3,685** | **1,035** | **1,109** | **1,334** |
| **2.5** | **Public awareness and Civic Education** | **100** | **110** | **121** | **121** | **121** |
|  | **Total Expenses** | **3,097** | **7,910** | **4,543** | **4,898** | **5,431** |
|  | **DEFICIT/SURPLUS** | **1,828** | **8,723** | **1,592** | **1,732** | **2,321** |

*Source: UNDP NRIS 2021*

The MTE learned that despite the outcry about the high renewal fees most stakeholders agree with the charging model. There is need for the proper payment modalities to be put in place properly such as in post offices and rural areas rather that only at the treasury cashier.

The MTE further learned that citizens who were interviewed indicated that the majority of ***majority*** of the people felt MK2,500 for a renewal fee is high for them. Others thought they could manage but kept on stressing the point on the behalf of their fellow villagers. Both fees attached can or is discouraging people from renewing. There is also mention of MK5,000 to be paid for police report if the ID is stolen or lost.

The current business model is that for all Government departments the NRB does the verification for free of charge. However, revenues are generated from user fees by the private sector such as banks, mobile network operators and utility companies that pay verification fee charges to the NRB. A well-structured business should be designed to help subsidise the cost by the ordinary citizens who are not financial able to access this human right. Anecdotally, the MTE gathered that there is overwhelming evidence that financial institutions and private sector make astronomical profits. Further studies are needed to ascertain that. That should easily make them able to pay for some of these services and that could be a steady stream of income for the NRB. These paying services need also to be extended to other profit-making ventures utilising the NID.

Self-financing resources and relevant legislation are key factors that will require attention to improve prospects of sustainability of project outcome While the revenues from the NRB in Malawi goes to the Government consolidated account, more detailed research is required to make NRB self-financing – including the amendment of legislation. The MTE learned that work has already begun on relevant legislative amendments the would be required for such a self-financing model but did not have adequate time to get further details. The GOM can learn from other countries such as Rwanda where the National Registration Agency is autonomous and self-financing. i.e.,100% of the revenues generated from the Registration Agency are retained for their own operational costs. (World Bank 2009).

1. ***Technical Sustainability***

The MTE confirms that the introduction of the NID has moved Malawi towards the digital revolution. However, the ICT infrastructure is still undeveloped to sustain its use in the long term. Lack of a countrywide ICT infrastructure means that many identification offices remain unconnected. Evaluator found evidence that challenges with IT implementation are widespread and have been one of the causes of substantial delays and barriers to reaching full population. This is a potential waste of resources on a card that is not being used to its full potential, and a missed opportunity for service delivery and driving demand for identification.

The midterm evaluation also found that there is crucial deficit of local or in-house highly skilled programmers required to edit code and manage the NRIS. Since the NRIS (ID) started it has relied heavily on the technical expertise from the NRIS Project with little transfer of high-level skill set that are required to be self-sustaining. During the midterm evaluation visits to district registration centres, it was noted that most of the NRB offices at district level do not have IT personnel to manage the ICT infrastructure such as repairing the BRKs, printers and network connectivity. ICT staff and the printing of IDs is based at NRB head office leading to the inadequate or inconvenient points of contact with the population. For Software Maintenance, the NRB is severely incapacitated with limited capacity to make changes to the NRIS Software.

The MTE concluded that a government sponsored comprehensive sustainability strategy should be put into place to sustain the continuous registration and issuance of NID; funding of the infrastructure, staffing and administration of the operational framework in identity management business. The program is still largely funded by donors and the Government does not have a mid-to-long term sustainability strategy to oversee this programming in the foreseeable future. The opening up of new registration offices and the decentralization of the NRB should be looked at as one of the public reform areas.

## 3.0 Conclusions, Lessons and Recommendations

Conclusions proffered in this section derive from findings and are based on evidence. Recommendations for the midterm evaluation are prioritized, specific, relevant, and targeted, with suggested implementers of the recommendations. Lessons offered have wider applicability to other initiatives across sector interventions, and for the future of Malawi.

The evaluation adhered to the required standards and norms of the United Nations Evaluation Group (UNEG) for research and evaluations. The consultants applied independent judgement and objective application of processes free from bias or prejudice. All processes were conducted with full accountability and reporting to UNDP.

## Overall Conclusions

The MTE concluded that overall, the NRIS Project was relevant, efficient, effective, coherent, impactful but not sustainable. The Project succeeded in delivering on all set outputs and exceeded in some of them. Over 9 million Malawians were registered and issued with a National Identity card in 2017. The NRIS was effectively transitioned to a permanent and continuous registration system. The Government MDAs were effectively assisted to adopt the use of the NRIS. Currently the Project is efficiently being managed, staffed, and coordinated, and is implemented with national ownership.

**Relevance:** The results of this analysis resoundingly found that the NRIS project design and its implementation was highly relevant and appropriate. The MTE assessed the alignment of the objectives and strategies of the NRIS project and found that the project was Satisfactorily relevant as it is aligned with the national development needs to guarantee the fundamental right to identity, entitlement, and enjoyment of full citizenship in Malawi. It has created a foundation for systems improvements and contributed to attainment of SDG target 16.9. Consequently, there are tangible improvements in accountability in planning, improved service delivery, and the operation of administrative systems supported by a functional NRIS. Qualitative evaluation findings from both national and district level supported the notion of the relevance of the project. The respondents state that the NID has made a commendable contribution towards an integrated system of identity that has enhanced an enabling environment and strengthened well an integrated system of improved accountability and service delivery across various developmental sectors and needs of the population using the National Identity. The National Identity is one of the key public sector reform areas that has ultimately led to improved accountability and efficiency in service delivery.

**Effectiveness:** The evaluation found evidence to demonstrate that nationwide mass registration drive was found to be largely successful. Evaluation findings indicate as shown in the results framework table shows that the project was highly effective in achieving the intended results as the project targets were exceeded. Overall, the MTE’s finding is that the effectiveness of the NRIS project Satisfactory. The evaluation findings show that generally, each of the project outcome was achieved and sometimes exceeding the planned targets. For example, the percentage of eligible resident Malawians registered and issued with identity cards was 94% exceeding the set target of 90%. The national register also shows that of the total registered adult population there are more females than males (53%) Malawian females were registered compared to (47%) males.

The MTE concluded that a robust civic education campaign by the Ministry of Civic Education, Culture and Community Development, and the National Initiative for Civic Education (NICE) was mounted throughout the period under review, and that was confirmed by the 3rd Steering Committee meeting. The NRIS Project effectively used roadshows, village community meetings, in religious gatherings, loud mobile vans, market days, sports bonanzas, interactive drama shows, radio jingles to bolster information education and communication to enrol Project beneficiaries. Community Development Assistants at the grassroots level were also engaged to partner with NICE volunteers on community mobilization. On an ongoing basis the NRB effectively interacted with District Commissioners across the country telling them to make sure that all stakeholders at the district level are involved in this operation. Apart from communities being mobilized, the civic education activities also helped to address some misconceptions that were thereabout the national ID card . Going forward to make continuous registration sustainable the civic education campaign should be continued and improved.

**Efficiency:** The MTE has found that in terms of efficiency the project was somewhat satisfactory save for some funds that were not disbursed. On the rating scale evaluators have rated the project Efficient. The evaluation findings note that the systems were appropriate for the size of the project and the nature of operations, and there are no significant matters of financial mismanagement to report. The MTE was also informed that the Auditors report had no material adverse comments pertaining to Project operational systems.

**Coherence:** The MTE concluded that strong partnership engagement was one of the defining markers for the successful implementation of the Project. The NRIS Project meticulously worked in close collaboration with NRB and engaged with other Governmental and non-governmental stakeholders to ensure the alignment of the NRIS with other evolving infrastructure and systems. The MTE rated coherence issues of the NRIS as Satisfactory.

**Impacts:** The MTE found evidence that the NID has contributed positively to the lives of citizens at large, as it has increased financial inclusion amongst women, improved security, improved accountability, and transparency in voter registration leading to the credibility of the 2019 PPE and 2020 Fresh Presidential elections. For the public sector, it has contributed to fiscal savings. i.e., (i) reducing fraud in government transfers in AIP and Social protection programmes (ii) reduced administrative costs, (iii) increased revenue collection, and (iv) generated revenues through charging fees for various identity-related services to the private sector (KYC) etc. The MTE rates impact of the NRIS as Highly Satisfactory.

## Sustainable Partnerships:

The midterm evaluation has assessed and concluded that strong partnership engagement was one of the defining markers for the successful implementation of the Project. The NRIS Project meticulously worked in close collaboration with NRB and engaged with other Governmental and non-governmental stakeholders to ensure the alignment of the NRIS with other evolving infrastructure and systems. The MTE learned that at the outset, the Project worked seamlessly with e-Government that administers the Government Wide Access Network (GWAN) national datacenter and provided related staff that maintained the service. As the GWAN sits at the nexus of the fiber optic network being deployed across Malawi to 24 of its 28 districts, in collaboration with the Government of China and World Bank, this initiative engaged other services providers for data communications, but critically, GWAN services were utilized for the operation of the continuous registration from 2018 onward.

The MTE assessed and concluded that strong partnerships were also forged with local service providers that efficiently expanded on key functions, such as, the National Initiative for Civic Education (NICE) to support public information and civic education campaigns. Similarly, building acceptance for the system by engaging key ministries (Ministry of Information) and entities like the Center for Multiparty Democracy (CMD, political parties) and the Public Affairs Committee (PAC, faith-based organizations) and CDC was seamlessly undertaken. Equally, partnerships across the UN family were leveraged and engaged specific expertise on key areas, such as, UN Women to enhance messaging and activities to engage women, UNICEF and UNFPA to engage youth platforms, UNHCR on refugees and the United Nations Capital Development Fund (CDF) to engage with the private sector, and the financial and telecommunications sectors to enhance financial inclusion.

## Gender equality and women empowerment:

The MTE concluded that gender equality and human rights issues were incorporated in project design, implementation, monitoring and reporting of the NRIS Project. The single act of registering and issuing the NID to all Malawi above 16 years of age proved to be one of the best human rights actions the GoM made for all citizens, especially women. Gender equality and women’s empowerment (GEWE) objectives were met because women in Malawi now have equal right to access as men. Elimination of discrimination against women and women’s rights has a central place in international human rights. Today women, just like men are now able to open Bank Accounts, access government support services (AIP, SCTP, CUCI, humanitarian relief distribution and Covid Vaccines, apply for loans, passports and more.

The NRIS project suffered human rights shortcomings which have since been resolved. On 9 October 2017, the Social and Environmental Compliance Unit (SECU) at the Office of Audit and Investigation (OAI) of the United Nations Development Programme (UNDP) registered a complaint from confidential labour-related issues complainants concerning the project. UNDP Social and Environmental Compliance Unit moved in and conducted investigation on allegations of non-compliance with UNDP social and environmental commitments relating to the NRIS Project. The investigation concluded that although UNDP Malawi applied UNDP’s Social and Environmental Screening Procedure (SESP) to the NRIS project, and, through this application, identified key opportunities to advance human rights, the effort failed to identify opportunities to assess and manage key social risks associated with the project[[29]](#footnote-10). This includes grievance redress systems that are easily accessible to and trusted by those potentially impacted, and that accurately document complaints and adequately respond to concerns.

The MTE learned that the SESP document identified, for example, that opportunities to employ women and handicapped individuals could advance gender rights and labour rights. However, UNDP did not identify key risks to the health and safety of Registration Officers (ROs) and Supervisors[[30]](#footnote-11). According to the Grievance Mechanism Standards, the UNDP Malawi did not ensure that the established grievance mechanisms adequately identified and responded to concerns of workers as required by the SES standards[[31]](#footnote-12). Moving forward the UNDP Malawi should take adequate measures to avoid risks and project-related impacts to the health and safety of workers, as required by SES Standard 3 as well as international and regional human rights treaties to which Malawi is a party. Such measures include providing an adequate daily field allowance to support fundamental worker needs in the field, e.g., access to basic, safe housing, water, food, and medical support, and to secure and provide supplemental non-financial support, as necessary[[32]](#footnote-13).

Regarding Gender Standards, the MTE recommends that the UNDP Malawi ensures that in this and future projects, relevant gender standards are met. Triangulation of literature and primary data confirmed that Project activities and conditions left female Registration Officers(ROs) more vulnerable to physical and psychological harm, including through measures that increased vulnerability to sexual harassment and assault. Identified operational risks included those related to: (1) the very short timeframe within which project activities needed to be completed; (2) securing an adequate number of vehicles to transport ROs; (3) charging the solar kits used for registration; and (4) the budget – also implied risks for RO wellbeing that could have been identified and addressed, to the extent possible, during project development and screening[[33]](#footnote-14). This MTR, (just like the OAI/SECU investigation) recommends that the UNDP Administrator request UNDP Malawi and any other relevant units to assess the extent to which assault may occur to ROs in the field, particularly sexual assault.

This MTE concurs with Office of Audit and Investigations on the recommendation that for future projects in Malawi, appropriate steps should be taken to ensure that UNDP Malawi and other relevant units adequately screen for key social and environmental risks in future UNDP projects. The MTE also concurs with the OAI/SECU and recommends that the UNDP Administrator takes appropriate steps to ensure that future projects of UNDP Malawi and any other relevant units include grievance redress systems that are easily accessible to and trusted by those potentially impacted, and that accurately document complaints and adequately respond to concerns.

## Sustainability Strategy:

The MTE concluded that to ensure sustainability of the NRB, continuous registration, issuing of the NID and availing all services to citizens, the following sustainability strategies should be considered:

1. A functional review needs to be conducted to make the NRB sustainable.
2. Most importantly, Government should consider devolving the functions of the NRB to the district councils to improve service delivery the citizens.
3. The national identification system is only as useful as their level of coverage. To achieve the goal of universal coverage, there is therefore a lot of work to be done to reduce barriers to access, address specific barriers faced by women, and increase incentives for enrollment, this includes increasing the points of contact with citizens. Coverage is likely to be low where people have limited contact with government agents and offices are difficult to reach. there are alternative ways that the government can give citizens more opportunities to enroll e.g., strengthening of mobile vans and use of motorbikes as these could facilitate the rolling out of registration to Traditional Authority(TA) or ward level.
4. There is need to have a web portal where people can download application forms and upload completed forms for ID application from wherever they are just like it is done in Tanzania. This would reduce congestions in the various application points as well COVID-19 infections.
5. The MTE concluded that the sustainability strategy should be developed - including NRB functional analysis, NRB self-financing plan and a countrywide ICT infrastructure plan to ensure that continuous registration can be continued.

## Lessons and Best Practices

The lessons learnt and the best practices from the NRIS project present valuable opportunities for improving the design and implementation of the next generation National Registration projects in Malawi. These will also enhance replicability and scalability of the project in the country. From the lessons learnt and best practices the country can easily leverage these and apply in other sectors and portfolios as follows:

***Coordination and collaboration*** amongst government MDAs has been the key to the successful implementation of the NRIS. The process started with a lot of resistance in having a single database each sector had its own. The cost of maintenance for such databases have been high and using a single integrated database has leads to a lot of operational savings. MDAs should move away from the tendency of having their own systems.

During mass registration there is need for the NRB to work with the Department of Immigration to heal screening questions on non-Malawian residents attempting to register as Malawians. The mass registration was mostly handled by temporary NRB staff, and this opportunity was not utilized to avoid the NID landing into wrong hands.

*Birth registration*is an important element that would contribute to ease of accessing the NID, but they are not valued by most stakeholders including parents and health workers. With birth registration the system would not have challenges with age cheating and adjustments. The absence of Birth registration would avoid the conspiracy by others to register minors during the elections.

***Partnerships, coordination, and Leadership*:** Through a coordinated approach of working with the Government of Malawi and Development partners helped to build the capacity of the Government and helped mobilize local support for National Registration with the potential of scaling up the intervention and for sustainability. It is imperative that NRB can develop strategy on delivery of coordination responsibilities and mobilize resources to scale up these engagements across the next phase of Mass Birth and Death registrations.

***Public awareness and civic education;*** The evaluation results suggests that a) for mass campaigns in rural settings radios, jingles, chiefs, roadshows etc. are most effective means of communication while print media, posters, billboards, etc. are least effective.

***Gender Inclusiveness***: The findings have consistently shown that the project had strong gender inclusiveness. This was demonstrated in the recruitment of registration staff with gender balance. This may have ultimately contributed to the reason that more female registered than male’s contrary to the stereotyped views that women are discriminated during such registrations. It has also been confirmed that more women feel to have benefited from financial inclusion compared to periods before the mass registration. This is a good lesson for the Malawi Registration System. This could be a result of a good civic education and public awareness campaign.

***Access by vulnerable population;*** The findings demonstrate that for future registrations some materials need to be developed for the vulnerable populations. It was noted throughout the mass registration there were no Braille material for the blind and there was limited aavailability of access by the disabled in mass registration centres. However, district registration centers and the post offices have disability wheelchair access ramps access ramps.

**The *project results framework*** had very clear outcomes, targets and indicators on critical project activities that makes it easier to tracking progress on the performance of interventions that can contributed to registration outcomes and impacts.

Civic education materials and registration forms were not available in Braille; in addition, the registration kits were not fully disability friendly.

**Best Practices:** The approach of using mass registration teams reaching out to the population in need was beneficial to many Malawians living in hard-to-reach areas.

* The establishment of the Project steering Committee chaired by the Minister of Finance and Co-chaired by the Minster of Homeland security was instrumental in checking and reinforcing the government commitment and political will to finance registration.
* Use of the National Registration District Task forces was instrumental to garner support at the council level and to have local ownership. This calls for the activities of the national registration to be fully nationalized and devolved to the councils.
* The phased mass registration approach was effective for retrofitting lessons learnt in one phase for recollections in the subsequent phases. i.e., It emerged that during the phase 1, the NR1 form had wrong translations in local language on relationships and other biodata which led to challenges in interpretation to most citizens, the forms had to be redesigned and re-translated in the subsequent phases.
* Consideration for vulnerable populations during registration was a best practice, where each registration centre had a trained staff marshal responsible to assist vulnerable persons such as the elderly, pregnant women and the disabled to have priority during registration.
* The NID has contributed positively to the lives of citizens at large, as it has increased financial inclusion amongst women, improved security, improved accountability, and transparency in voter registration leading to the credibility of the 2019 PPE and 2020 fresh Presidential elections. For the public sector, it has contributed to fiscal savings. i.e., (i) reducing fraud in government transfers in AIP and Social protection programmes (ii) reduced administrative costs, (iii) increased revenue collection, (iv) generated revenues through charging fees for various identity-related services to the private sector (KYC). (iv) efficiencies in civil service payroll and pensions and cost reduction in voter registration.

## Recommendations

The following recommendations are addressed to the Government of Malawi, development partners and the stakeholders to the NRIS Project.

1. ***NRB should be freed from political interference and become one of the major public reform areas:*** The MTE recommends that the NRB must be able to run their part of this operation without political interference. The political appointments of NRB personnel tainted the public image of the NRB that needs to be repaired. A foundation of professionalism at the NRB would ensure proper linkages and overflow to other institutions such as MEC, financial institutions, agriculture programmes and health as has been the case.
2. ***Financial Sustainability*:** NRB should continue engaging the government through the Honorable Members of Parliament committees to play an advocacy role to ensure that Government through the Ministry of Finance should allocate adequate funding in NRB’s Annual Budgets to ensure that implementation of Phase II of the National Registration and Identification System (NRIS) for Malawi is done urgently and speedily.

This MTE concluded that a government sponsored comprehensive sustainability strategy should be put into place to sustain the continuous registration and issuance of NID; funding of the infrastructure, staffing and administration of the operational framework in identity management business. The program is still largely funded by donors and the Government does not have a mid-to-long term sustainability strategy to oversee this programming in the foreseeable future. The Ministries of Finance, Homeland Security, the NRB and financing partners should collaborate to ensure that the sustainability strategy is in place.

1. ***Registration at birth would serve as a more sustainable registration approach*** and it is pleasing to note that this is part of the NRIS Project extension which goes up to 31st December 2021. There is need to integrate the birth and death registers under NRIS to create a single CRVS. The unified CRVS-ID system being worked on is one way to improve on the seamless linkages and avoid age cheating. However, this can only be achieved if the mass child registration takes place. The NRB should draw a roadmap for the integration of CRVS and National ID System for Malawi.
2. ***There is need for decentralizing all the registration system functions:*** There is need to reform the functions of the NRB to devolve its functions to the councils so that services will be easily accessible to the general population by having registration centres closer to the people. While the District Registration Offices in all 28 districts are doing registration for the National ID, the printing of National ID card is centralised leading to unnecessary delays in ID collection. Decentralization of printing will ease the delays in printing of cards and improve the use of council funds for maintenance of the NRIS system and benefiting from locally council generated revenues and budget. However, it should be noted that devolution of the NRB to the district councils has its risks and this would need careful consideration based on lessons from other countries such as Tanzania and the decision of the Steering Committee. The Birth and Death registration are already decentralized and are functioning efficiently. The Death registration is mandatory in 13 pilot districts. The Ministry of Local Government should develop a devolution function plan for the NRB supported by the Ministry of Homeland Security, learning from other countries.
3. ***Uncollected Cards:***People registered but many did not collect their cards, during the districts visits the MTE found so many uncollected cards in the districts.one example is at one district where over 3,000 ID cards remained uncollected. This possesses security risk as the cards could land into unintended hands. Currently, there is no distribution plan by the NRB due to lack of funds. Rolling out registration and distribution to TA and Ward kevel would ensure that most of the uncollected cards distributed through village headmen. The Ministry of Homeland Security and the NRB should collaborate to fix these unresolved issues.
4. ***Technical investments at decentralized levels***: There is need to decentralize the printing of Identity cards to regional centres like the case of passports and birth certificates. However, security of the NID requires that the regional printing centres are under closed-circuit Security. There is need for more IT personnel trained and located in district registration centres currently all IT troubleshooting is conducted by IT team based in Lilongwe. The Ministry of Homeland Security, the NRB and financing partners should collaborate to fix this.
5. ***Replacement of Equipment***: In terms of the equipment, the Government and the NRB should consider looking at replacement of the equipment, because the equipment may have outlived its lifespan of more than 5 years by now and it has done many cycles in the field and our physical terrain leading the wear on tear of the equipment quicker than envisaged.
6. ***NRB communication strategy:*** The involvement of traditional leaders and religious leaders in community mobilisation and in community leadership influences community participation in registration and should be promoted in a continued fashion by the Government and the NRB since registration is a continuous process.There is need for a very rigorous civic education as a majority of citizens have a misconception that the NID is only required during the voter registration and not regular times, similarly losing citizenship is a common misconception when a card expires. The Ministry responsible for Civic Education, Homeland Security and the NRB should collaborate in fixing these lingering issues .
7. ***Data Protection Law-*** In the absence of the Bill, there is a challenge of data sharing between NRB and other MDAs, this has led to non interoperability of the NRIS with most MDAs as part of data protection. The current laws include overlapping mandates for identity providers, inadequate privacy and data protection laws, and out-of-date regulations that do not sufficiently cover digital identity. In the development of the data protection bill MDAs and NRB need to coordinate to support and regulate modern identity management systems for the quality and coverage of the legal identification systems. The Ministry of Justice and Constitutional Affairs, Homeland Security and the NRB should attend to this moving forward.
8. **Gender empowerment, vulnerable populations, and cross-cutting recommendations:** While the project had strong gender inclusiveness, demonstrated in the recruitment of registration staff with gender balance, the next phase of the project should consider and design better security measures of women workers. The MTE recommends that the NRB substantially improves project activities and field conditions for female Registration Officers(ROs) to reduce their vulnerability to physical and psychological harm, including sexual harassment and assault. Consideration should be given reduce risks – including those related to: (1) the very short timeframe within which some project activities are to be completed; (2) securing adequate number of vehicles to transport ROs; (3) charging the solar kits used for registration; and (4) the budget. In the same regard, UNDP Malawi and any other relevant Government units should determine and forestall the extent to which assault may occur to ROs in the field, particularly sexual assault to female staff.
9. The next phase of the project should develop more appropriate civic education materials and registration forms. For example, registration forms should be available in Braille. Additionally, registration kits should be fully disability friendly.
10. In the next phase of the project, the IEC strategy should deploy more segmented and disaggregated ways of communication. For instance, for mass campaigns in rural settings - radios, jingles, chiefs, are most effective means of communication while print media, posters, billboards, live shows may be deployed in urban settings.
11. The NRB needs to build a very robust image building campaign and the NRB communication strategy needs to consider that introduction of fees may need be explained as part of NRIS Phase II, this may impact on those who have already registered under the impression that documents would be issued free of charge.

**END OF MID - TERM EVALUATION REPORT**

# 

# Annexes

## Terms of Reference: The Evaluation of the

National Registration & Identification System Project

**INDIVIDUAL CONSULTANTS’ PROCUREMENT NOTICE**

**CONSULTANCY SERVICES FOR THE EVALUATION OF THE NATIONAL REGISTRATION AND IDENTIFICATION SYSTEM PROJECT**

**Type of contract: Individual contract**

**Post level: International consultant –**

**Team Leader**

**National Consultant**

**Languages required: English.**

**Duration of contract: 33 person days Team Leader**

**40 person days National Consultant**

**Duty station: Home-based/In-country**

**Country: Malawi (Lilongwe)**

1. **BACKGROUND**
2. BACKGROUND AND CONTEXT

Malawi developed a National Registration and Identification System Project in October 2016 following a successful proof of concept phase. The goal of the project is to establish a permanent and continuous national registration and identification system in Malawi. The project has the following outputs:

1. Up to 9 million Malawians are registered and issued with a National Identity card in 2017
2. NRIS is transitioned to a permanent and continuous registration system
3. Government MDAs are assisted to adopt the use of the NRIS.
4. Project is efficiently managed, staffed and coordinated, and is implemented with national ownership.

The project has been implemented with financial and technical assistance from DFID, EU, USAID, Norway, Irish Aid and UNDP from 1 November 2016 through basket fund arrangement with UNDP as the managing agent. The initial budget for the project was $50,868,742 of which $20,858,400 was government contribution and the rest was provided by the development partners.

The project implemented a mass registration exercise between 01 November 2016 and 31 December 2018 during which period 8.94 Million Malawians were registered and issued with national identification cards. To date 9.3 million Malawians have been issued with national identification cards. UNDP and the National Registration Bureau under the Ministry of Home Affairs are the main implementing partners for the project.

During the mass registration phase the project engaged over 4200 Registration personnel who were deployed in centres throughout the country. Given the complexity of the exercise PricewaterhouseCoopers were engaged to provide human resource services. Card production was outsourced to a firm in France. Subsequently, the project has deployed registration personnel in all 28 district councils and selected Post Offices across the country in registration and card distribution exercises.

The project was designed to be completed by December 2018 but was extended to 31 December 2019 to strengthen the capacity of NRB and sustainability while providing time for refurbishing of some Post Office buildings to host registration services and support use of national identification cards by service providers in the public and private sectors.

The project has been further extended and revised to incorporate outputs on child registration, issuance of birth certificate and use of birth certificates. This component is being implemented with technical support from UNICEF. The current phase of the project has been extended to 31 December 2021.

The project has not been evaluated since its inception. According to UNDP policies it is mandatory to evaluate projects of its resource size twice: at mid-term and at the end of its life. While some elements of the project which started in 2016 are continuing, most components were completed by December 2019. It is important to evaluate the project now while would-be key informants to evaluators and project personnel are still around and still remember important details of the project.

The evaluation is going to take place during a Covid-19 pandemic which has affected almost all countries in the world. As of 28 September, 2020 Malawi had 5,770 confirmed cases of which ……….. have recovered and 179 have died. Among the measures taken to prevent the spread of the virus, Government has ordered use of masks in all public places, in government offices and public transport. Regular flights in and out of the country were suspended from March 2020. However, government has announced the opening of its airports from 1st October 2020. Schools which were closed in March are opening in a phased manner from 7 September 2020. All classes will be open from 12 October 2020.

Due the uncertainty of the Covid 19 prevalence and measures, the Country Office will establish home-based contract with the international consultant.

1. **PURPOSE, OBJECTIVES, SCOPE OF WORK AND IMPLEMENTATION ARRANGEMENTS.**

**3.1. Purpose of the Evaluation**

The main purpose of the evaluation is to provide an independent assessment of the progress made towards the achievement of the expected results, impact of the National ID vis-à-vis its linkages, and identify challenges to improve project implementation and make necessary course corrections. In addition, to fulfilling UNDP’s accountability requirements, the evaluation will also document lessons for improving project design, efficiency effectiveness and impact of similar projects in future.

The evaluation findings, lessons learned, and recommendations will be shared with key government stakeholder including financing and technical partners, namely: DFID, EU, Government of Ireland, Norway, USAID, UNICEF and GoM.

**3.2 Scope**

The evaluation will assess the performance of the project using OECD/UNEG standard evaluation criteria of relevance, coherence, effectiveness, efficiency, impact and sustainability. The evaluation will also assess the implementation strategy including the implementation modalities and extent to which the design, implementation and monitoring of the project incorporates a gender equality perspective and human rights-based approach and environmental considerations. Project evaluators will be required to re-produce a theory of change for the project to provide a conceptual framework for the analysis of its key elements.

The exercise will cover the period 1st November, 2016 to 31, December, 2019 but only addressing outputs and parameters which were included in the project document developed in October, 2016. The evaluation will cover all districts of the country be executed within 40 working days from26 October to 31 December, 2020. A relatively long period of time is being provided to ensure thorough interviews in the wake of Covid 19.

**3.3 Objectives**

More specifically, the objectives of the evaluation will be:

* To assess progress made towards the achievement of the expected results;
* To assess effectiveness of the project in achieving the specific expected results and analyze any factors contributing and which hindered progress ;
* To what extent was gender equality and human rights issues were incorporated in project design, implementation, monitoring and reporting;
* To what extent are district post offices ready to provide registration services after the development phase?;
* To analyse the appropriateness of post offices as centres for registration and issuance of national identify cards;
* To what extent have the established registration centers offered services to citizens, and prospects of sustainability once the project is phased out?
* To review factors aiding and impeding use of ID cards by public sector, private sector and civil society organizations;
* To make recommendations, if any, to improve the design, efficiency, effectiveness, sustainability and strategies and directions of similar projects in future;
* To document lessons learnt to inform future national identification and registration projects.

1. **EVALUATION QUESTIONS**
2. **Relevance**

* How relevant is the project to the global, regional and national development goals?
* How relevant is the project to the development needs of the people/beneficiaries, in particular women and vulnerable groups including persons with disability and albinism.?
* Whether the outcome and outputs of the project were stated explicitly and precisely in verifiable terms with SMART indicators disaggregated by sex, age and location;
* Whether the relationship between outcome, outputs, activities and inputs of the projects are logically articulated.

1. **Effectiveness**

* How effective are the project strategies in delivering expected/planned outputs and outcomes?
* Are the project strategies effective in responding to the needs of the beneficiaries especially the vulnerable population including those with disabilities and albinism, what results are being observed?
* Is there a suitable Monitoring and Evaluation Framework? How often is the framework used to monitor expected project outcomes?
* To what extent are human rights, gender and disability issues mainstreamed in the project strategies and implementation?
* Regarding the project output on capacity building, how effective are the projects’ capacity building interventions.

1. **Gender equality**

* To what extent have gender equality and the empowerment of women been addressed in the design, implementation and monitoring of the project?
* Is the gender marker data assigned to this project representative of reality?
* To what extent has the project promoted positive changes in gender equality and the empowerment of women? Were there any unintended effects?

1. **Efficiency**

* Are the processes of achieving results efficient? Do the actual results justify the costs incurred and were the resources effectively utilized?
* What project strategies or factors are contributing to project implementation efficiency?
* Do the project interventions duplicate existing similar interventions and were there any collaborations with similar interventions?
* How did the project financial management processes and procedures affect the performance of the project implementation?
* Are there more efficient ways and means of delivering results?

1. **Implementation:**

* How did project management arrangements and procedures affect the performance of project implementation? What partnerships were built or strengthened to improve performance of project implementation?
* How effective was the delivery of inputs specified in the project documents, including selection of responsible institutions, institutional arrangements, identification of beneficiaries, scheduling of activities and actual implementation;
* The fulfillment of the success criteria as outlined in the project document;
* The responsiveness of the project management to significant changes in the environment in which the project functions (both facilitating or impeding project implementation);
* Determine whether or not lessons learnt from other relevant programmes/projects were incorporated into the project.
* The role of UNDP CO and its impact (positive and negative) on project delivery.

1. **Coherence**

* Is the project compatible with other interventions providing civil registration services in the country?
* To what extent is the project coherent with other UNDP interventions in Malawi?

1. **Sustainability**

* To what extent are the project positive results likely to be sustained after the completion of the project?
* What strategies does the project have to ensure continuation and sustainability of the project outcomes after completion of the project?
* What are the key factors that will require attention to improve prospects of sustainability of project outcome?
* How are the capacities strengthened at individual and organisational level to ensure sustainability of project results?
* What are recommendations for similar intervention in future to ensure sustainability?

**5. METHODOLOGY**

**5.1. Preparatory phase**

The Consultant will be given key documents of the project to prepare and submit inception report in consultation with the project management team considering limitations dictated by COVID 19 prevention measures. She/he will prepare a work plan and finalize methodology of the evaluation.

**5.2. Project theory of change validation**

The Consultant will be required to re-construct a theory of change for the project to provide a conceptual framework to assess various elements of the project.

**5.3 Desk Review**

The evaluator will be expected to review key programme documents (e.g. project documents, progress reports, monitoring visits reports, disbursement report/financial report etc.) to respond to some of the evaluation questions.

**5.4 Field data collection**

Evaluators will make arrangements to collect both qualitative and quantitative data from selected project sites across the country taking into account limitations paused by the COVID 19. Current local restrictions do not allow an international evaluator to visit Malawi to take part in field data collection. The evaluator will be expected to conduct virtual discussions and interviews with focus groups, key informants, some beneficiaries, project staff and stakeholders to understand their perception of the project and validate some of the project interventions and results. A national evaluator will be part of the evaluation team and will undertake field visits where it is possible under the guidance of the international evaluator and will undertake field visits where it is possible under the guidance of the international evaluator.

1. **IMPLEMENTATION ARRANGEMENTS**
2. The UNDP Deputy Resident Representative, with the support of an evaluation manager, will provide the overall oversight to the project evaluation and ensure timely delivery and satisfactory final product.
3. A reference group will be established to assist in key aspects of the evaluation process including reviewing evaluation Terms of Reference, providing documents, providing detailed comments on the inception and draft evaluation reports and dissemination of evaluation findings, lessons learnt and recommendations.
4. The evaluation team leader will have the overall responsibility for the conduct of the evaluation exercise as well as quality and timely submission of reports (inception, draft, final).
5. Evaluators will be expected to be fully self-sufficient in terms of office equipment and supplies, communication, accommodation and transport. Furthermore, the evaluators will be expected to familiarize themselves with the United Nations Evaluation Group’s standards and norms for conducting project evaluations.
6. **EVALUATION DELIVERABLES**

* **Inception reports** – will be expected to be formulated within 5 days of the start of the assignment. The reports will include a detailed approach and methodology including validation of project theory of change, schedule, division of labour, draft data collection protocols and an evaluation matrix. The evaluators will **propose a performance rating scheme** to be carried out for the five evaluation criteria: relevance, coherence, effectiveness, efficiency and sustainability.
* **Draft evaluation report** – The Evaluators will present a Draft Report within 5 weeks after presentation of the inception report.
* **Evaluation audit trail** form will be submitted together with the final evaluation report.
* **Final Evaluation Report**. The evaluators will present a Final Evaluation Report 5 days after receiving feedback and comments on the draft report from key stake holders.

1. **REQUIREMENTS: QUALIFICATIONS AND EXPERIENCE**

The evaluation requires two evaluators; an international evaluator who will be the principal evaluator or team leader and a local evaluator. The international evaluator should have the following expertise and qualifications.

* 1. **International Evaluator: qualifications and experience**
* The consultant must be a holder of a minimum of a Masters Degree in Social Science, management sciences or related field.
* Extensive expertise, knowledge and a minimum of 7 years’ experience in institutional development and programming in civil registration or related fields.
* Profound evaluation experience with a minimum of 3 evaluation assignments carried out in a leading position.
* Experience in development programming in sub-Saharan African countries.
* Experience in gender mainstreaming.

**8.2 Evaluator’s competencies:**

* Organizational Development and Management
* Strategic thinking
* Team work and leadership skills
* Strong analytical, reporting and communication skills

**9. DOCUMENTS TO BE INCLUDED WHEN SUBMITTING THE PROPOSALS.**

Interested individual consultants must submit the following documents/information to demonstrate their qualifications by 16th October, 2020, before 5 pm to the following email address: [procurement.mw@undp.org](mailto:procurement.mw@undp.org).

1. Technical Proposal

(i) Explaining why they are the most suitable for the work

(ii) Provide a brief methodology on how they will approach and conduct the work

2. Financial Proposal

3. Personal CV (P11 Form) including past experience in similar projects and at least 3 references

**Proposals must include all three documents. Proposals not meeting this requirement will be rejected.**

**10. FINANCIAL PROPOSAL**

**Contracts based on daily fee**

The financial proposal will specify the daily fee and communication expenses in separate line items, and payments are made to the Individual Contractor based on the number of days worked upon satisfactory completion of the required deliverable.

**11. EVALUATION OF PROPOSAL**

Individual consultants will be evaluated based on the following methodologies:

*1. Cumulative analysis*

*When using this weighted scoring method, the award of the contract should be made to the individual consultant whose offer has been evaluated and determined as:*

*a) responsive/compliant/acceptable, and*

*b) Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.*

*\* Technical Criteria weight; [70]*

*\* Financial Criteria weight; [30]*

|  |  |  |
| --- | --- | --- |
| ***Criteria*** | ***Weight*** | ***Max. Point*** |
| ***Technical*** | ***70*** | ***70*** |
| ***Criteria A****:* The consultant must be a holder of a minimum of a master’s degree in social science, management sciences or related field. |  | *5* |
| ***Criteria B****:* Extensive expertise, knowledge and a minimum of 7 years’ experience in institutional development and programming in civil registration or related fields. |  | *15* |
| ***Criteria C****:* Profound evaluation experience with a minimum of 3 evaluation assignments carried out in a leading position. |  | *20* |
| ***Criteria D:*** Experience in gender mainstreaming. |  | *10* |
| ***Criteria E***: Experience in development programming in sub-Saharan African countries. |  | *5* |
| **Criteria D**: Brief methodology on how they will approach and conduct the work in not more than 2 pages. |  | *15* |
| ***Financial*** | ***30*** | ***30*** |
| ***COMBINED TOTAL SCORE (MAXIMUM)*** |  | ***100*** |

*Only candidates obtaining a minimum of 70 points in the Technical Evaluation would be considered for the Financial Evaluation*

The financial score for the financial proposal will be calculated in the following manner:

Sf = 100 x Fm/F, in which Sf is the financial score, Fm is the lowest price and F the price of the proposal under consideration.

(Total Financial Maximum points = 100 points)

**Total Score**

The technical score attained at by each proposal will be used in determining the Total score as follows:

The weights given to the technical and financial proposals are: T= 0.7, F=0.3

The Total score will be calculated by formula: TS = St x 0.7 + Sf x 0.3

TS - Is the total score of the proposal under consideration?

St - is technical score of the proposal under consideration.

Sf - is financial score of the proposal under consideration.

## Annex A: Project Logical Framework/Project Result framework

To unpack the project delivery logic and original ToC evaluators conducted an initial literature review of the Project Document and all subsequent project implementation reports from UNDP CO. Through the ToC evaluators unpacked how the project strengthened the national registration and identification system for the benefit of the country as well as improvement of service delivery at local level. The analysis provided a solid logic to the ToC and project delivery framework. The various activities carried out by the Project revealed the following objectives and indicators of success. Other Outputs included, a Baseline survey carried out in 2015 under a UNDP supported Malawi Electoral Cycle Support project before the project was implemented and The National ID Proof of Concept Report (2016) validated the efficacy of the project.

| **EXPECTED OUTPUTS** | **OUTPUT INDICATORS** | **BASELINE** | | **TARGETS** | **Midterm Evaluation**  **Assessment (2019)** | **DATA SOURCE** |
| --- | --- | --- | --- | --- | --- | --- |
| **Value** | **Year** | **FINAL** |
|
| **Output 1:** Up to 9 million Malawians are registered for issuance of a National Identity card in 2017 | 1.1 Number of Malawians registered in the National Register as part of mass registration, disaggregated by gender. | 0 | 2016 | More than 9 million | 9,990,830 | National Registry |
| Male | 0 | 2016 |  | 4,681,723 | National Registry |
| Female | 0 | 2016 |  | 5,309,107 | National Registry |
| 1.2 Number of Malawians issued with a National ID card as part of mass registration. | 0 | 2016 | More than 8.5 million | 9,961,057 | National Registry |
| Male | 0 | 2016 |  | 4,677,843 | National Registry |
| Female | 0 | 2016 |  | 5,283,214 | National Registry |
| 1.3 Proposed amendment of National Registration Act submitted to Ministry of Justice. | 0 | 2016 | 1 | 1 | Legal note on proposed amendments to NRA and NRR, October 2019 (UNDP) |
| 1.4 Number of paid information campaign products aired on radio. | 0 | 2016 | 10 | 10 | Project records |
|  |  |  |  |  |  |  |
| **Output 2:** NRIS is transitioned to a permanent and continuous registration system | 2.1 Number of District Registration Offices equipped for continuous registration. | 0 | 2016 | 28 | 28 | NRB Records |
| 2.2 Percentage of registrars trained in rules and procedures. | 0 | 2016 | 100% | 100% | Training records. |
| 2.3 Number of Malawians issued with a National ID card as part of continuous registration. | 0 | 2016 | 1.7m million | 1.2 million | NRB Records |
| **Output 3:** Government MDAs and private institutions are assisted to adopt the use of the NRIS. | 3.1 Number of inter-institutional agreements between NRB and Government Ministries, Departments, Agencies (MDAs) and private institutions on the use of the ID card system.  [**Note:** National Initiative for Civic Education;  Malawi Electoral Commission  Malawi Revenue Authority; Credit Data-CRB;  Malawi Posts Corporation; FDH Bank; First Capital Bank; Financial Intelligence Authority; Department of Immigration & Citizenship Services; Eco Bank; Old Mutual; MoU with Standard Bank finalized awaiting signing | 0 | 2016 | >10 | >10 | NRB records |
| 3.2 Number of Government Ministries, Departments, Agencies (MDAs) and private institutions using Birth Certificate | 0 | 2019 | n/a | n/a | NRB records |
| **Output 5:** Project is efficiently managed, staffed and coordinated, and is implemented with national ownership | 5.1 Agreed M&E planned activities implemented. | 0 | 2016 | Satisfactorily | Unsatisfactory, NRB has no M&E Function | Project records |
| 5.2 Percentage of Project positions filled. | 0 | 2016 | 100% | 100% | UNDP records |
| 5.3 Steering and Technical Committee meetings held per year. | 0 | 2016 | 9/24 | 4/24 | Project records |

## Annex B: Sample list of documents reviewed by evaluators

Evaluators reviewed two sets of literature for this evaluation exercise. The first category has data on the Project; the design, funding, and development of the Project. In this first category the following documents were made available and were reviewed;

1. Project Document: National Registration and Identification System (NRIS) MALAWI, 2016 -2021
2. Malawi Voter Registration Feasibility Assessment Mission, 2015
3. NRB National ID Proof of Concept Report, November 2016
4. National Registration Bureau Strategic Plan 2019 – 2024
5. National Institute of Civic Education (NICE) Civic Education and Public Awareness of National Registration, April 2017
6. Mass Registration Logistics Plan, UNDP 2017
7. Monitoring and Evaluation Plan of National Registration and Identification System, UNDP, Lilongwe, Malawi 2017
8. NRIS Annual Work Plans 2017, 2018 and 2019
9. NRIS Annual Progress Reports 2017, 2018 and 2019
10. NRIS Quarterly Progress reports 2017-2019
11. Monitoring Report-Phase I- ID registration and Distribution & NICE Activities-May-June 2017
12. Monitoring Report-Phase II- ID registration and Distribution & NICE Activities-July-Sept 2017
13. Monitoring Report-Phase III- ID registration and Distribution & NICE Activities-Aug-Sept 2017
14. Monitoring Report-Phase IV- ID registration and Distribution & NICE Activities-Sept-Oct 2017
15. Monitoring Report-Phase V- ID registration and Distribution & NICE Activities-Sept-Nov 2017
16. NRIS Project Steering Committee Meeting Minutes #1-7 (Dec 2016-Dec 2019)
17. NRIS Project Technical Committee Meeting Minutes #1-29 (Dec 2016- Dec 2020)
18. NRIS Linkages and Programme Stakeholders
19. The Integrated Technical and Organisational Capacity Assessment (ITOCA) and the Governance Performance Index (GPI) of the National Registration Bureau (NRB Process Facilitation Guide, 2018
20. The Integrated Technical and Organisational Capacity Assessment (ITOCA) and the Governance Performance Index (GPI) of the National Registration Bureau (NRB) report, 2018
21. NRB GPI Tool
22. NRB Institutional Strengthening Plan
23. NRB Strategic Plan Implementation Analysis
24. Training Needs Assessment
25. Annual Financial Reports 2017, 2018, 2019,
26. National Registration Bureau Strategic Plan (2019-2024)

The second set of documents reviewed were the ones generally referred to in the Terms of Reference and various guidance notes and literature on conducting evaluations in the UN system. Evaluators accessed the following documents from UN websites and used them for developing the Inception Report;

1. [Handbook on Planning, Monitoring and Evaluating for Development Results](http://www.undp.org/evaluation/handbook)
2. A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office:  [ROTI Handbook 2009](http://www.thegef.org/gef/sites/thegef.org/files/documents/M2_ROtI%20Handbook.pdf)
3. [UNEG 'Ethical Guidelines for Evaluations'](http://www.unevaluation.org/ethicalguidelines)
4. [UN Women Evaluation Handbook: “How to manage gender-responsive evaluation”](http://www.unwomen.org/en/digital-library/publications/2015/4/un-women-evaluation-handbook-how-to-manage-gender-responsive-evaluation).
5. [(UNEG) on Integrating Human Rights and Gender Equality in Evaluations](https://na01.safelinks.protection.outlook.com/?url=http%3A%2F%2Fwww.unevaluation.org%2Fdocument%2Fdetail%2F1616&data=02%7C01%7C%7Cc673539298274f0657cc08d6599782db%7C2bcd07449e18487d85c3c9a325220be8%7C0%7C0%7C636794904643991268&sdata=IhA2Uwz77feBBZjE%2FvNOBRNKFUx0GcS56vVukD8aQBU%3D&reserved=0)
6. [UNW Global Accountability and Tracking of Evaluation Use (GATE) website](http://gate.unwomen.org/)
7. UNW GERAAS standards, <http://www.unwomen.org/en/about-us/accountability/evaluation/decentralized-evaluations>.
8. UNEG Norms and Standards <http://uneval.org/papersandpubs/documentdetail.jsp?doc_id=100>
9. UNEG Ethical Guidelines : (<http://www.uneval.org/document/detail/102>)
10. UNEG Code of Conduct for Evaluation in the UN System(<http://www.unevaluation.org/document/detail/100>)
11. UNEG Handbook on Integrating Gender Equality and Human Rights in Evaluation (<http://unevaluation.org/papersandpubs/documentdetail.jsp?doc_id=980>)

## Annex C: Evaluation Questions

This Evaluation Criteria Matrix must be fully completed/amended by the consultants and included in the MTE an Annex to the TE report.

**EVALUATION PLANNING MATRIX**

|  |  |  |  |
| --- | --- | --- | --- |
| **Criteria** | **Evaluations Questions** | **Research Questions** | **Data Sources/Methods** |
| **Relevance** | * How relevant is the project to the global, regional and national development goals? * How relevant is the project to the development needs of the people/beneficiaries, in particular women and vulnerable groups including persons with disability and albinism.? * Whether the outcome and outputs of the project were stated explicitly and precisely in verifiable terms with SMART indicators disaggregated by sex, age and location; * Whether the relationship between outcome, outputs, activities and inputs of the projects were logically articulated. | * Is the project aligned to Malawi Government Policies? * Its relevance and appropriateness to the national development needs? * Is there alignment to the MGDS III, Malawi 2063? * Is there alignment to the Global Development frameworks which ones? * Which UN Frameworks? | * Documents review   + Project Document (UNDP)   + NRB National ID Proof of Concept Report, November 2016   + National Registration Bureau Strategic Plan 2019 – 2024   + Malawi Government policy documents   + Malawi 2063 * KIIs with Implementers (UNDP, NRB, MOJCA, Home Affairs) * KIIs Development Partners * FGDs with beneficiaries |
| **Effectiveness** | * How effective were the project strategies in delivering expected/planned outputs and outcomes? * Were the project strategies effective in responding to the needs of the beneficiaries especially the vulnerable population including those with disabilities and albinism, what results were being observed? * Is there a suitable Monitoring and Evaluation Framework? How often is the framework used to monitor expected project outcomes? * Does the M&E have key performance targets, outcomes, alignment to TOC * To what extent were human rights, gender and disability issues mainstreamed in the project strategies and implementation? * Regarding the project output on capacity building, how effective were the projects’ capacity building interventions. | * Outcomes achieved versus targets * What mechanisms were in place to facilitate registration by vulnerable populations (women, persons with disabilities, albinism etc.), % percentage registered by population groups? * Evidence of the functionality of MIS used by the M&E, how updated is database? * Examine number of Staff trained by positions and estimate capacity gaps against establishment warrant? | * Progress Reports review   + Monitoring and Evaluation Plan of National Registration and Identification System, UNDP, Lilongwe, Malawi 2017   + NRIS Annual Work Plans 2017, 2018 and 2019   + NRIS Annual Progress Reports 2017, 2018 and 2019   + NRIS Quarterly Progress reports 2017-2019   + District reports * KIIs with Implementers (UNDP, NRB, MOJCA, Home Affairs) * KIIs Development Partners * FGDs with beneficiaries (Community Leaders, Women, Men, Youths and Adolescents) |
| **Gender equality** | * To what extent have gender equality and the empowerment of women been addressed in the design, implementation and monitoring of the project? * Is the gender marker data assigned to this project representative of reality? * To what extent has the project promoted positive changes in gender equality and the empowerment of women? Were there any unintended effects? | * Participation of women in design * Can the data be gender disaggregated (age and sex)? * Number of women staff at registration sites. * What were improvements on access to services by women due to registration? | * Document’s review   + Project Document (UNDP)   + NRB National ID Proof of Concept Report, November 2016   + National Registration Bureau Strategic Plan 2019 – 2024 * KIIs with Implementers (UNDP, NRB, Ministry of Justice and Constitutional Affairs, Home Affairs) * KIIs Development Partners * FGDs with beneficiaries (Community Leaders, Women, Men, Youths and Adolescents) |
| **Efficiency** | * Were the processes of achieving results efficient? Do the actual results justify the costs incurred and were the resources effectively utilized? * What project strategies or factors were contributing to project implementation efficiency? * Do the project interventions duplicate existing similar interventions and were there any collaborations with similar interventions? * How did the project financial management processes and procedures affect the performance of the project implementation? * Were there more efficient ways and means of delivering results? | **At Implementers level**   * Budget vs expenditure (% disbursed) * Timeliness of financing * Were there any synergies with other interventions? * Examine the efficiency of the financial management processes and procedures system? * Front and Back office expenditures ratios?   **At functional level**   * Costs saved in key areas of linkages and functional areas * Efficiency in access to services (Agriculture Input Subsidy, Health, Immigration, Judiciary, etc.), estimate of leakages saved? * Births and death registrations * Voter Identification and verification efficiencies? % voter rolls verified? * Efficiency in access to financial and insurance services (Know your customers (KYC), changes in loan default rates, fraud) * Efficiency in security linkages with biometric ID system (Human Trafficking, Biometric identification of crime suspects), changes in Crime detection rates. * Efficiency in KYC for Mobile Network Operators (MNOs), * Linkages with Utilities Operators | Budgets and Financial records   * Annual Financial Reports 2017, 2018, 2019, 2020 * NRIS Annual Work Plans 2017, 2018 and 2019 * NRIS Annual Progress Reports 2017, 2018 and 2019 * Development Partners Financial agreements * KIIs Development Partners * KIIs District Commissioners * KIIs with key functional sectors * Ministry of Agriculture * Ministry of Health * Ministry of Education * Malawi Communications and Regulatory Authority * Ministry of Homeland Security * Ministry of Justice and Constitutional Affairs * Immigration * Malawi Police * Mobile Network Operators (MNOs), * Utilities Companies, (ESCOM, Water) * Malawi bankers Association * Reserve Bank of Malawi * Malawi Insurance Association   FGDs with beneficiaries (Community Leaders, Women, Men, Youths and Adolescents) |
| **Implementation** | * How did project management arrangements and procedures affect the performance of project implementation? What partnerships were built or strengthened to improve performance of project implementation? * How effective was the delivery of inputs specified in the project documents, including selection of responsible institutions, institutional arrangements, identification of beneficiaries, scheduling of activities and actual implementation; * The fulfillment of the success criteria as outlined in the project document; * The responsiveness of the project management to significant changes in the environment in which the project functions (both facilitating or impeding project implementation); * Determine whether or not lessons learnt from other relevant programs/projects were incorporated into the project. * The role of UNDP CO and its impact (positive and negative) on project delivery. | * Did the registering officers receive adequate training to carry out their functions? * How well were the different government agencies and departments responsible for civil registration? And vital statistics systems collaborate? (These include departments of health, civil registration and local government, statistics, and others) | * Project Documents * NRB Institutional Strengthening Plan * NRB Strategic Plan Implementation Analysis * District reports * Development Partners * KIIs Development Partners * KIIs District Commissioners |
| **Coherence** | * Is the project compatible with other interventions providing civil registration services in the country? * To what extent is the project coherent with other UNDP interventions in Malawi? | * Is the project compatible with other interventions providing civil registration services in the country? * To what extent is the project coherent with other UNDP interventions in Malawi? * Does the NRB publish or make available annual numbers of registered citizens, births and deaths disaggregated by sex, age and geographical location, rural urban? * How are data on vital events used for policy and programme purposes? | * Project Documents * Project Document (UNDP) * NRB National ID Proof of Concept Report, November, 2016 * National Registration Bureau Strategic Plan 2019 – 2024 |
| **Sustainability** | * To what extent were the project positive results likely to be sustained after the completion of the project? * What strategies does the project have to ensure continuation and sustainability of the project outcomes after completion of the project? * What were the key factors that will require attention to improve prospects of sustainability of project outcome? * How were the capacities strengthened at individual and Organizational level to ensure sustainability of project results? * What were recommendations for similar intervention in future to ensure sustainability? | * What strategies does the project have to ensure continuation and sustainability of the project outcomes after completion of the project? | * Project Documents * NRB Institutional Strengthening Plan * NRB Strategic Plan Implementation Analysis * Project Document (UNDP) * NRB National ID Proof of Concept Report, November 2016 * National Registration Bureau Strategic Plan 2019 – 2024 * Development Partners reports * KIIs Development Partners * KIIs District Commissioners |

## Annex D: Rating Scales

|  |  |  |
| --- | --- | --- |
| ***Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution*** | ***Sustainability ratings:*** | ***Relevance ratings*** |
| 6: Highly Satisfactory (HS): no shortcomings  5: Satisfactory (S): minor shortcomings  4: Moderately Satisfactory (MS)  3. Moderately Unsatisfactory (MU): significant shortcomings  2. Unsatisfactory (U): major problems  1. Highly Unsatisfactory (HU): severe problems | 4. Likely (L): negligible risks to sustainability | 2. Relevant (R) |
| 3. Moderately Likely (ML): moderate risks | 1. Not relevant (NR) |
| 2. Moderately Unlikely (MU): significant risks  1. Unlikely (U): severe risks | ***Impact Ratings:***  3. Significant (S)  2. Minimal (M)  1. Negligible (N) |
| *Additional ratings where relevant:*  Not Applicable (N/A)  Unable to Assess (U/A | | |

The MTE also assessed the internal monitoring mechanisms of the NRIS and rated them as adequate. In addition to the above monitoring mechanism, NRIS has been holding meetings with the different stakeholders to monitor and track the progress of the registration system as per below details.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Sl. No.** | **Item** | **Issues discussed** | **Frequency** | **Stakeholders** | **Midterm Evaluation Assessment/Rating** |
| 1 | Weekly project status meeting | Action items developed based on discussions and circulated to all key stakeholders for action. All field issues/complaints are also discussed here. | Tuesday | NRB, NICE, PWC, Suppliers, and any other relevant partner in the Project. | **Highly Satisfactory (HS)** |
| 2 | Technical Committee meeting | Strategic direction and decision making | Monthly | External monitor-development partners - DFID, EU, USAID, Norway, Irish Aid and UNDP. | **Satisfactory (S)** |
| 3 | Technical working Group meeting | Strategic direction and decision making | Bi-monthly | For One UN | **Satisfactory (S)** |
| 4 | Quarterly Steering Committee Meeting | Progress update and plan | Quarterly | Chaired by UNDP country representative and MOF | **Highly Satisfactory (HS)** |

Related monitoring mechanism for the NRIS Project assessed

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Monitoring mechanism** | **Description** | **Frequency of collection** | **Responsible person/ entity** | **Midterm Evaluation Assessment/Rating** |
| **COMPLAINT MECHANISM** | | | |  |
| **Registration Complaint mechanism** | The complaint format is available with the registration officer and people can use this form to fill in if they have any complaint regarding the registration process or the registration officer. After receiving the complaints, the ROs sends the same to the call center. | During the entire registration and ID distribution process | NRB, Legal Specialist and M&E Analyst | **Satisfactory (S)** |
| **Call Centre:** | NRIS established a call centre to address the complains of Malawi people who face any kind of problem or discrepancy in the field activities.All the calls will be recorded and the concerned unit of NRIS will address the complains one by one. The call entre number is displayed in the posters.  In addition to this, the Registration Officers can also lodge their grievances in the call centre which is addressed by the relevant stakeholders.  The call centre numbers are given below. These complaints numbers were announced in the radio, printed in the posters and also pasted a sticker with the call centre number in the back side of the Biometric registration kit.  0886074801  0886074802  0886074803  0886074804  0886074805 | Any time between 8AM to 5PM | Call Centre, M&E Analyst and capacity building specialist | **Satisfactory (S)** |
| **CIVIC EDUCATION** | | | |  |
| **NICE Activity monitoring** | The NICE activities include Road shows/ village caravans, Village/ community meetings, Letters to and announcements at religious institutions, Mobile loud-hailing punctuated by whistle-stop shows (some with MoICE), Market-day (and trading centre) awareness rallies, Sports bonanzas, Interactive drama performances, Live local and popular music and dance shows, Radio / TV jingles and Soap opera and Dictation in schools. Nice sends weekly report of their activities to the M&E Analyst.  This monitors the different activities conducted by NICE in different districts. | Monthly/ whenever applicable  Any field visit to monitor NICE activities | **NICE**  UNVs and M&E Analyst | **Highly Satisfactory (HS)** |
| **FIELD INSPECTION** | | | |  |
| **Trip reports by NRIS Team members** | The team member of NRIS whoever visits the field/registration centre need fills this form and submits the soft copy to the M&E analyst. | Field visit during the registration process. All centres were visited at least once during the phase. | UNV’s and M&E Analyst | **Highly Satisfactory (HS)** |
| **CAPACITY DEVELOPMENT** | | | |  |
| **Training Participant Evaluation forms** | A training participant’s evaluation form was developed to analyze the quality of training including the content, skills of the trainer, duration, logistic arrangement, among other factors. | All trainings | Capacity Development Specialist | **Satisfactory (S)** |

## Annex E: Evaluation Consultant Code of Conduct and Agreement Form

**Evaluators:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people’s right not to engage. Evaluators must respect people’s right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders’ dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**Evaluation Consultant Agreement Form[[34]](#footnote-15)**

**Agreement to abide by the Code of Conduct for Evaluation in the UN System**

**Name of Consultant:** \_\_Dr. Godwin Hlatshwayo: International Consultant and Evaluation Team Leader\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Name of Consultant:** \_\_Mr. Willie Kachaka: National Consultant and Evaluator\_\_\_\_\_\_\_\_\_\_\_

**Name of Consultancy Organization** (where relevant)**:** \_Independent Contractors\_\_\_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at Malawion April 5, 2021



Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

## Annex F: Evaluation Report Outline[[35]](#footnote-16)

|  |  |
| --- | --- |
| **i.** | Opening page:   * Title of UNDP supported and Financed Project * UNDP project ID#s. * Evaluation time frame and date of evaluation report * Region and countries included in the project * UNDP Operational Program/Strategic Program * Implementing Partner and other project partners * Evaluation team members * Acknowledgements |
| **ii.** | Executive Summary   * Project Summary Table * Project Description (brief) * Evaluation Rating Table * Summary of conclusions, recommendations and lessons |
| **iii.** | Acronyms and Abbreviations  (See: UNDP Editorial Manual[[36]](#footnote-17)) |
| **1.** | Introduction   * Purpose of the evaluation * Scope & Methodology * Structure of the evaluation report |
| **2.** | Project description and development context   * Project start and duration * Problems that the project sought to address * Immediate and development objectives of the project * Baseline Indicators established * Main stakeholders * Expected Results |
| **3.** | Findings  (In addition to a descriptive assessment, all criteria marked with (\*) must be rated[[37]](#footnote-18)) |
| **3.1** | Project Design / Formulation   * Analysis of LFA/Results Framework (Project logic /strategy; Indicators) * Assumptions and Risks * Lessons from other relevant projects (e.g., same focal area) incorporated into project design * Planned stakeholder participation * Replication approach * UNDP comparative advantage * Linkages between project and other interventions within the sector * Management arrangements |
| **3.2** | Project Implementation   * Adaptive management (changes to the project design and project outputs during implementation) * Partnership arrangements (with relevant stakeholders involved in the country/region) * Feedback from M&E activities used for adaptive management * Project Finance: * Monitoring and evaluation: design at entry and implementation (\*) * UNDP and Implementing Partner implementation / execution (\*) coordination, and operational issues |
| **3.3** | Project Results   * Overall results (attainment of objectives) (\*) * Relevance (\*) * Effectiveness & Efficiency (\*) * Country ownership * Mainstreaming * Sustainability (\*) * Impact |
| **4.** | Conclusions, Recommendations & Lessons   * Corrective actions for the design, implementation, monitoring and evaluation of the project * Actions to follow up or reinforce initial benefits from the project * Proposals for future directions underlining main objectives * Best and worst practices in addressing issues relating to relevance, performance and success |
| **5.** | Annexes   * ToR * Itinerary * List of persons interviewed * Summary of field visits * List of documents reviewed * Evaluation Question Matrix * Questionnaire used and summary of results * Evaluation Consultant Agreement Form |

## Annex G: Evaluation Report Clearance Form

*(to be completed by CO and UNDP Technical Adviser based in the region and included in the final document)*

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

UNDP RTA

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

## Annex H: The Report Audit Trail Template

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

The following is a template for the evaluator to show how the received comments on the draft TE report have (or have not) been incorporated into the final TE report. This audit trail should be included as an annex in the final TE report.

**To the comments received on (*date*) from the Mid term Evaluation of (*project name*) (UNDP *PIMS #*)**

*The following comments were provided in track changes to the draft Mid term Evaluation report; they are referenced by institution (“Author” column) and track change comment number (“#” column):*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Author** | **#** | **Para No./ comment location** | **Comment/Feedback on the draft TE report** | **TE response and action taken** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

* 1. **List of Persons Interviewed**

**NRIS EVALUATION –LIST OF KEY INFORMANT CONSULTATIONS**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of Officer** | **Designation** | **Institution** | **Email Contact** |
| Moses Chiwoni | Deputy Director | National Registration Bureau (NRB) | [moses.chiwoni@nrb.gov.mw](about:blank) |
| Norman Fulatila | Public Relations Officer | National Registration Bureau (NRB | [norman.fulatira@nrb.gov.mw](about:blank) |
| Sam Thyolani | Principal Systems Analyst | National Registration Bureau (NRB | [samson.thyolani@nrb.gov.mw](about:blank) |
| Annie Kaonga | Deputy Commissioner -Passports | Immigration Department | akaonga07@gmail.com |
| Twaib Ali | Deputy Director –Debt &AID | Ministry of Finance | twaibali@gmail.com |
| Justine Kagona | AIP Coordinator | Ministry of Agriculture | justinkagona@gmail.com |
| Elija Nyirenda | Principal Economist-Pensions Fund | Ministry of Finance |  |
| Divason Chinde | Deputy Director Management Services Division | DHRMD |  |
| Darson Simwela | Head of Personal Audit | DHRMD |  |
| Patricia Liabuba | Director | Homeland Security | [patricialiabuba@outlook.com](mailto:patricialiabuba@outlook.com) |
| Ambonishe Mwalwimba | Child Protection Specialist (CRVS) | UNICEF | amwalwimba@unicef.org |
| Ishmael Munthali | Governance Specialist | Irish Embassy | Ishmael.Munthali@dfa.ie |
| Thokozile Chisala | Governance Programme Specialist | USAID | tchisala@usaid.gov |
| Temwa Mganga | Programme Manager | FCDO | temwa.mganga@fcdo.gov.uk |
| Agness Chimbiri |  | UNDP | agnes.chimbiri@undp.org |
| Peter Kulemeka | PME/ Programme Coordination Specialist | UNDP | peter.kulemeka@undp.org |
| Busekese Kilembe | M&E Specialist | UNDP | busekese.kilembe@undp.org |
| Anthony Cameron | Project Manager – Civil Registration | NRIS-UNDP | anthony.cameron@undp.org |
| Filippo Caruso | Legal Manager-NRIS | NRIS-UNDP | filippo.caruso@undp.org |
| Ritu Kumar Mishra | Monitoring and Evaluation Analyst | NRIS-UNDP | ritu.mishra@undp.org |
| Sam Alfandika | Director of Elections | Malawi Electoral Commission | alfandikas@yahoo.co.uk |
| Muhabi Chisi | IT Director | Malawi Electoral Commission | muhabichisi@yahoo.com |
| Chikumbutso Njolomole | IT Manager | MACRA | cnjolomole@macra.org.mw |
| Andrew Nyirenda | Economic Manager | MACRA | anyirenda@macra.org.mw |
| Ollen Mwalubunju | Executive Director | NICE | ollenmw@gmail.com |
| Grey Kalindekafe | Programme Manager | NICE | gkalindekafe@yahoo.com |
| Merium Chithila | Acting Director, Monitoring & Analysis | FIA | [mchithila@fia.gov.mw](mailto:mchithila@fia.gov.mw) |
| Zara Liabunya | Manager Compliance & Prevention | FIA | [zliabunya@fia.gov.mw](mailto:zliabunya@fia.gov.mw) |
| Melissa Gundani | Senior Compliance Analyst | FIA | [mgundani@fia.gov.mw](mailto:mgundani@fia.gov.mw) |
|  |  |  |  |
| George Ngayiyaye | Acting District Commissioner | Dedza District Council | ngaiyayegeorge@yahoo.com |
| Veronica Musaa | Principal Registration Officer | Dedza District Council | mussaveronica@gmail.com |
| Clara Chakanika | District Registration Officer | Dedza District Council |  |
| Dr. Anold Jumbe | Acting District Commissioner | Thyolo District Council | ajumbe@medcol.mw |
| Fred Mphalo | Principal Registration Officer | Thyolo District Council | fredmphaloo@yahoo.com |
| Walter Chikuni | Acting District Commissioner | Zomba District Council | chikuniw@yahoo.com |
| James Phiri | Principal Registration Officer | Zomba District Council | jamesphiri07@gmail.com |
| Dr. Yonasi Chise | Acting District Commissioner | Salima District Council | yonasichise@gmail.com |
| Moses Kaufulu | Principal Registration Officer | Salima District Council | moshkaufulu@gmail.com |
| Robert Kazembe | Registration Officer | Chipoka Post Office (Satellite) |  |
| Beatrice Mbakaya | Acting District Commissioner | Nkhatabay District Council | mbatemwa2@gmail.com |
| Sandress Kamanga | Principal Registration Officer | Nkhatabay District Council | sandresskamanga@gmail.com |
| Steven Chima | Acting District Commissioner | Mzimba District Council | steven.chima@yahoo.com |
| Mbawaka Mwakhwawa | Principal Registration Officer | Mzimba District Council |  |
| **FGDs** |  |  |  |
| **Location** | **Male** | **Female** |  |
| Dedza District | 10 | 13) |  |
| Thyolo District | (5) | (5) |  |
| Zomba District | (8) | (8) |  |
| Salima District | (10) | (5) |  |
| Nkhata-Bay District | (8) | (8) |  |
| Mzimba District | 10 | 5 |  |
| Beneficiary Surveys | 220 | 200 |  |

**Evaluation Question Matrix**

**Annex C: Evaluation Questions**

This Evaluation Criteria Matrix was fully completed/amended by consultants as an Annex to the MTE report.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **EVALUATION QUESTIONS MATRIX** | | | | | |
| **Relevant**  **Evaluation**  **Criteria** | **Key Evaluation**  **Questions** | **Specific Sub-Questions** | **Data Sources, Data collection**  **Methods/Tools** | **Indicators/Success**  **Standard** | **Methods for Data Analysis** |
| **Relevance** | * How relevant is the project to the global, regional and national development goals? * How relevant is the project to the development needs of the people/beneficiaries, in particular women and vulnerable groups including persons with disability and albinism.? * Whether the outcome and outputs of the project were stated explicitly and precisely in verifiable terms with SMART indicators disaggregated by sex, age and location; * Whether the relationship between outcome, outputs, activities and inputs of the projects were logically articulated. | * Is the project aligned to Malawi Government Policies? * Its relevance and appropriateness to the national development needs? * Is there alignment to the MGDS III, Malawi 2063? * Is there alignment to the Global Development frameworks which ones? * Which UN Frameworks? | * Documents review   + Project Document (UNDP)   + NRB National ID Proof of Concept Report, November, 2016   + National Registration Bureau Strategic Plan 2019 – 2024   + Malawi Government policy documents   + Malawi 2063 * KIIs with Implementers (UNDP, NRB, MOJCA, Home Affairs) * KIIs Development Partners * FGDs with beneficiaries (Community Leaders, Women, Men, Youths and Adolescents) | * Qualitative assessment of success standards, i.e. Satisfactory, moderately satisfactory, not satisfactory | Qualitative analysis of Project Documents, KIIs, FGDs using thematic analysis on the appropriateness and alignment of the NRIS project to the national development priorities and policy documents |
| **Effectiveness** | * How effective were the project strategies in delivering expected/planned outputs and outcomes? * Were the project strategies effective in responding to the needs of the beneficiaries especially the vulnerable population including those with disabilities and albinism, what results were being observed? * Is there a suitable Monitoring and Evaluation Framework? How often is the framework used to monitor expected project outcomes? * Does the M&E have key performance targets, outcomes, alignment to TOC * To what extent were human rights, gender and disability issues mainstreamed in the project strategies and implementation? * Regarding the project output on capacity building, how effective were the projects’ capacity building interventions. | * Outcomes achieved versus targets * Were there adequate numbers of civil registration officers or registration points to cover the whole country? % coverage * What mechanisms were in place to facilitate registration by vulnerable populations (women, persons with disabilities, albinism etc.), % percentage registered by population groups? * Evidence of the functionality of MIS used by the M&E, how updated is database? * Examine number of Staff trained by positions and estimate capacity gaps against establishment warrant? | * Progress Reports review   + Monitoring and Evaluation Plan of National Registration and Identification System, UNDP, Lilongwe, Malawi 2017   + NRIS Annual Work Plans 2017, 2018 and 2019   + NRIS Annual Progress Reports 2017, 2018 and 2019   + NRIS Quarterly Progress reports 2017-2019   + National Register, NSO)   + District reports * KIIs with Implementers (UNDP, NRB, MOJCA, Home Affairs) * Organizational Capacity Assessment Tool (OCA) to examine capacity of NRB to operate and maintain the NRIS. * KIIs Development Partners * FGDs with beneficiaries (Community Leaders, Women, Men, Youths and Adolescents) * Citizens Semi Structured Questionnaire Survey | Compare projects achievement of planned activities vs Results Framework targets.   * 1. Number of MDAs and private institutions using NRIS for administrative or operational systems (Baseline 2016): 0; Target (2019): >10; Source: Official records)   2. Percentage of eligible resident Malawians registered and issued with an identity card (Baseline 2016: 0; Target (2019): >90%; Source: National Register, NSO)   3. Assessed capacity of NRB to operate and maintain the NRIS (Baseline 2016): None; Target (2019): Good capacity; Source: Project Evaluation Report)   4. Percentage of children aged 16 years and below registered and issued with a birth certificate (Baseline 2019: <5%; Target (2021): >90%; Source: National Register, NSO)   5. A functional and continuous health facility-based and community-based birth registration system (Baseline 2019: Sub optimal/inefficient; Target (2021): Optimal/efficient; Source: NRB | Comparative Quantitative analysis of achievements of outcomes vs project targets  Qualitative analysis of secondary data, KKIs and FGDs using thematic analysis |
| **Gender equality** | * To what extent have gender equality and the empowerment of women been addressed in the design, implementation and monitoring of the project? * Is the gender marker data assigned to this project representative of reality? * To what extent has the project promoted positive changes in gender equality and the empowerment of women? Were there any unintended effects? | * Participation of women in design * Can the data be gender disaggregated (age and sex)? * Number of women staff at registration sites. * What were improvements on access to services by women due to registration? | * Documents review   + Project Document (UNDP)   + NRB National ID Proof of Concept Report, November, 2016   + National Registration Bureau Strategic Plan 2019 – 2024 * KIIs with Implementers (UNDP, NRB, Ministry of Justice and Constitutional Affairs, Home Affairs) * KIIs Development Partners * FGDs with beneficiaries (Community Leaders, Women, Men, Youths and Adolescents) * Sampled Citizens Semi Structured Questionnaire Survey | Measure gender disaggregated data on all outcome and output indicators | Quantitative analysis of achievements of outcomes vs project targets disaggregated by gender  Qualitative analysis of secondary data, KIIs and FGDs using thematic analysis with a focus of gender approaches |
| **Efficiency** | * Were the processes of achieving results efficient? Do the actual results justify the costs incurred and were the resources effectively utilized? * What project strategies or factors were contributing to project implementation efficiency? * Do the project interventions duplicate existing similar interventions and were there any collaborations with similar interventions? * How did the project financial management processes and procedures affect the performance of the project implementation? * Were there more efficient ways and means of delivering results? | **At Implementers level**   * Budget vs expenditure (% disbursed) * Timeliness of financing * Were there any synergies with other interventions? * Examine the efficiency of the financial management processes and procedures system? * Front and Back office expenditures ratios?   **At functional level**   * Costs saved in key areas of linkages and functional areas * Efficiency in access to services (Agriculture Input Subsidy, Health, Immigration, Judiciary, etc.), estimate of leakages saved? * Births and death registrations * Voter Identification and verification efficiencies? % voter rolls verified? * Efficiency in access to financial and insurance services (Know your customers (KYC), changes in loan default rates, fraud) * Efficiency in security linkages with biometric ID system (Human Trafficking, Biometric identification of crime suspects), changes in Crime detection rates. * Efficiency in KYC for Mobile Network Operators (MNOs), * Linkages with Utilities Operators | Budgets and Financial records   * Annual Financial Reports 2017, 2018, 2019, 2020 * NRIS Annual Work Plans 2017, 2018 and 2019 * NRIS Annual Progress Reports 2017, 2018 and 2019 * Development Partners Financial agreements * KIIs Development Partners * KIIs District Commissioners   **KIIs with key functional sectors**   * Ministry of Agriculture * Ministry of Health * DHRMD * Malawi Communications and Regulatory Authority * Ministry of Homeland Security * Ministry of Justice and Constitutional Affairs * Immigration * Malawi Police * Mobile Network Operators (MNOs), * Utilities Companies, (ESCOM, Water) * Malawi Bankers Association * Reserve Bank of Malawi * Malawi Insurance Association * FGDs with beneficiaries (Community Leaders, Women, Men, Youths and Adolescents) * Citizens Semi Structured Questionnaire Survey | % budget vs expenditure  Frequency and timeliness of disbursements  Percentage districts receiving their full budget allocations (Variance analysis of mean transfer amounts vs allocation (min max, SD mean) reference period one year.  % of recommendation from financial audits implemented.  Analysis of efficiency measures on linkages as a result of use of national IDs  Average time taken to access services i.e. Passports issuance, opening bank account, ease of business registration application etc.  % losses avoided and recovered as a result of ID  % ghost workers identified  Efficiency in tax revenues generated.  Efficiency on passport revenues generated  % voter rolls verified | Quantitative analysis of achievements of outcomes and output indicators from progress reports and show trends and % achieved.  Qualitative analysis of secondary data, KIIs and FGDs using thematic analysis |
| **Implementation** | * How did project management arrangements and procedures affect the performance of project implementation? What partnerships were built or strengthened to improve performance of project implementation? * How effective was the delivery of inputs specified in the project documents, including selection of responsible institutions, institutional arrangements, identification of beneficiaries, scheduling of activities and actual implementation; * The fulfillment of the success criteria as outlined in the project document; * The responsiveness of the project management to significant changes in the environment in which the project functions (both facilitating or impeding project implementation); * Determine whether or not lessons learnt from other relevant programmes/projects were incorporated into the project. * The role of UNDP CO and its impact (positive and negative) on project delivery. | * Did civil registration offices have adequate equipment to carry out their functions (for example, forms, telephones, photocopiers and computers)? * Did the registering officers receive adequate training to carry out their functions? * How well were the different government agencies and departments responsible for civil registration? and vital statistics systems collaborate? (These include departments of health, civil registration and local government, statistics, and others) | Review of Project Documents   * NRB Institutional Strengthening Plan * NRB Strategic Plan Implementation Analysis * District reports * Development Partners * KIIs Development Partners * KIIs District Commissioners * FGDs with beneficiaries (Community Leaders, Women, Men, Youths and Adolescents) * Sampled Citizens Semi Structured Questionnaire Survey | Examine Implementation targets and achievements of planned outputs  1.1 Number of Malawians registered in the National Register as part of mass registration, disaggregated by gender.  1.2 Number of Malawians issued with a National ID card as part of mass registration.  1.3 Proposed amendment of National Registration Act submitted to Ministry of Justice.  1.4 Number of paid information campaign products aired on radio.  2.1 Number of District Registration Offices equipped for continuous registration.  2.2 Percentage of registrars trained in rules and procedures.  2.3 Number of Malawians issued with a National ID card as part of continuous registration.  2.4 Number of District Post Offices equipped for continuous birth registration  3.1 Number of inter-institutional agreements between NRB and Government Ministries, Departments, Agencies (MDAs) and private institutions on the use of the ID card system.  3.2 Number of civic education information campaign products developed and implemented  3.3.# of agreed M&E planned activities implemented.  3.3Percentage of Project positions filled.  3.4. # of Steering and Technical Committee meetings held per year.  % recommendation from previous Steering or technical committees implemented  % feedback reviewed and acted upon | Comparative Quantitative analysis of achievements of outcomes and output indicators from progress reports and show trends and % achieved. Baseline to endline  Qualitative analysis of secondary data, KIIs and FGDs using thematic analysis |
| **Coherence** | * Is the project compatible with other interventions providing civil registration services in the country? * To what extent is the project coherent with other UNDP interventions in Malawi? | * Is the project compatible with other interventions providing civil registration services in the country? * To what extent is the project coherent with other UNDP interventions in Malawi? * Does the NRB publish or make available annual numbers of registered citizens, births and deaths disaggregated by sex, age and geographical location, rural urban? * How are data on vital events used for policy and program purposes? | * Project Documents * Project Document (UNDP) * NRB National ID Proof of Concept Report, November, 2016 * National Registration Bureau Strategic Plan 2019 – 2024 | Examine coordination mechanisms with other interventions   * How well are the different government agencies and departments responsible for civil registration? and vital statistics systems collaborate? (These include UNCT, departments of health, civil registration and local government, statistics, and others) | Comparative Quantitative analysis of achievements of outcomes and output indicators from progress reports and show trends and % achieved. Baseline to endline.  Qualitative analysis of secondary data, KIIs and FGDs using thematic analysis |
| **Sustainability** | * To what extent were the project positive results likely to be sustained after the completion of the project? * What strategies does the project have to ensure continuation and sustainability of the project outcomes after completion of the project? * What were the key factors that will require attention to improve prospects of sustainability of project outcome? * How were the capacities strengthened at individual and Organizational level to ensure sustainability of project results? * What were recommendations for similar intervention in future to ensure sustainability? | * What strategies does the project have to ensure continuation and sustainability of the project outcomes after completion of the project? | * Project Documents * NRB Institutional Strengthening Plan * NRB Strategic Plan Implementation Analysis * Project Document (UNDP) * NRB National ID Proof of Concept Report, November, 2016 * National Registration Bureau Strategic Plan 2019 – 2024 * Development Partners reports * KIIs Development Partners * KIIs District Commissioners | Measure of financial sustainability  Operational Sustainability (%) without project support. | Quantitative analysis of achievements of outcomes and output indicators from progress reports and show trends and % achieved. Baseline to endline  Qualitative analysis of secondary data, KIIs and FGDs using thematic analysis |

**Note on Data Collection in Covid 19 Context:** Outdoor meetings and community FGDs were planned in consideration of the COVID-19 pandemic. Each team will be provided with a box of disposable face masks and Sanitizers as recommended in the Ministry of Labour, Skills and Innovations Guidelines and those from Ministry of Health[[38]](#footnote-19). Single use masks were provided to the participants or respondents with social distancing observed during meetings. Each team member was provided with hand sanitizers for individual use and participants or respondents, before and after the interaction with some participants. Each team member will carry spare bottles of sanitizers for refilling the bottles on daily basis.

**ANNEX V: INTERVIEW GUIDES FOR DATA COLLECTION**

**ANNEX TOOL 1: KEY INFORMANT INTERVIEWS WITH IMPLEMENTERS**

**TARGET GROUP: (UNDP, NRB, HOMELAND SECURITY, DEVELOPMENT PARTNERS)**

**Relevance**

1. How relevant was the National ID registration project to the global, regional and national development goals?
   * Probes which country’s development needs?
   * Was there alignment to the Malawi Growth and Development Strategy (MGDS III), Malawi 2063?
   * Was there alignment to the Global Development frameworks which ones?
   * UN Frameworks which ones?
2. How relevant *was* the National ID registration responsive to the development needs of the people/beneficiaries, in particular women and vulnerable groups including persons with disability and albinism.?
3. Whether the outcome and outputs of the project were stated explicitly and precisely in verifiable terms with SMART indicators disaggregated by sex, age and location;
4. Whether the relationship between outcome, outputs, activities and inputs of the projects were logically articulated.

**Effectiveness**

1. How effective were the project strategies in delivering expected/planned outputs and outcomes?
   * Probe were there adequate numbers of civil registration offices or registration points to cover the whole country?
   * Did civil registration offices have adequate equipment to carry out their functions (for example, forms, telephones, photocopiers and computers)?
2. Were the National ID registration strategies effective in responding to the needs of the beneficiaries especially the vulnerable population including those with disabilities and albinism, what results were being observed? Probe
   * What mechanisms were in place to facilitate registration by vulnerable populations (women, persons with disabilities, albinism etc.), What were the percentage registered? (Statistical data)
   * What procedures were in place to ensure that all district offices report to the central office within agreed times?
3. Is there a suitable Monitoring and Evaluation Framework? How often was the framework used to monitor expected project outcomes?
   * Does the M&E have key performance targets, outcomes, alignment to TOC
   * Evidence of the functionality of MIS used by the M&E
   * Can the NRIS generate both national and subnational statistics on registered population each year? Gender and age distribution, disability and other vulnerabilities.
   * How are the records transmitted from district to a central storage in the capital city?
   * Assessed capacity of NRB to operate and maintain the NRIS, Target (2019): Good capacity;

According to the most recent monitoring reports

* + Number of MDAs and private institutions using NRIS for administrative or operational systems Target (2019): >10;
  + Percentage of eligible resident Malawians registered and issued with an identity card Target (2019): >90%;
  + Does the NRB publish or make available annual Number of Malawians registered in the National Register as part of mass registration, disaggregated by gender, age and geographical location, rural urban?
  + Number of Malawians issued with a National ID card as part of mass registration.
  + Number of Malawians issued with a National ID card as part of continuous registration.

1. How were human rights, gender and disability issues mainstreamed in the project strategies and implementation?
2. Regarding the project output on capacity building, how effective were the projects’ capacity building interventions in line with the NRB Institutional Strengthening Plan
   * Probe-Number of Staff trained by positions and estimate capacity gaps against establishment warrant.
   * Did the registering officers receive adequate training to carry out their functions?
3. **Gender equality**
4. How was gender equality and the empowerment of women addressed during all the stages of the project?
   * Design,
   * Implementation and
   * Monitoring of the project?
5. Was the gender marker data assigned to this project representative of reality?
6. How has the project promoted positive changes in gender equality and the empowerment of women? Were there any unintended effects?
7. **Efficiency**
8. Were the processes of achieving results efficient? Do the actual results justify the costs incurred and were the resources effectively utilized?
9. What project strategies or factors were contributing to project implementation efficiency?
10. Do the project interventions duplicate existing similar interventions and were there any collaborations with similar interventions?
11. How did the project financial management processes and procedures affect the performance of the project implementation?
12. Were there more efficient ways and means of delivering results?
    * What do you think should have been done differently?

1. **Implementation:**
2. How did project management arrangements and procedures affect the performance of project implementation?
   * How would describe your relations with other stakeholders?
   * What partnerships were built or strengthened to improve performance of project implementation, the experience you had with other stakeholders?
3. How effective was the delivery of inputs specified in the project documents, including?
   * How was selection of responsible institutions done?
   * How good was the institutional arrangements?
   * How good was the identification of beneficiaries, and?
   * How good scheduling of activities and actual implementation;
4. The fulfillment of the success criteria as outlined in the project document;
5. The responsiveness of the project management to significant changes in the environment in which the project functions (both facilitating or impeding project implementation);
6. Determine whether or not lessons learnt from other relevant programmes/projects were incorporated into the project.
7. The role of UNDP CO and its impact (positive and negative) on project delivery.

**Challenges**

1. How efficient is the NRIS system, Is the NRIS system fool proof to manipulation?
   * Is this a system that can be manipulated to defeat accountability?
   * Probe Have there been incidences of manipulation of the electoral process I.e. the anecdotal evidence of loopholes and registration of under aged children during 2020 FPE until the supreme court ruling?
   * Were there any complaints recorded in the Registration Complaint mechanism?
     + How effective was the NRIS established call center to address the complains of Malawi people who face any kind of problem or discrepancy in the field activities?
   * Number of complaints recorded?
   * Number of complaints resolved?
   * What have stakeholders done on incidences of use of bribery or extortion to force citizens to surrender their IDs?

**Coherence**

1. Is the project compatible with other interventions providing civil registration services in the country? What linkages exit with other stakeholders?
2. How was the NRIS project coherent with other UNDP interventions in Malawi?

**Sustainability**

1. How are the project positive results likely to be sustained after the completion of the project?
2. What strategies does the project have to ensure continuation and sustainability of the project outcomes after completion of the project?
3. What were the key factors that will require attention to improve prospects of sustainability of project outcome?
4. How were the capacities strengthened at individual and Organizational level to ensure sustainability of project results?
5. What were recommendations for similar intervention in future to ensure sustainability?
6. What financial sustainability mechanisms are in place?

Probe-- Especially NRB’s sustainability and continued funding from Government.

1. What are the technical sustainability mechanisms of local or in-house technical capacity of staff at NRB to provide linkages and maintain the system? i.e. maintenance and reprogramming of BRKs

**Lessons Learnt**

1. What are some of the lessons learnt and suggestions for scaling up into the next stage of civil registration?

**ANNEX TOOL 2: KEY INFORMANT INTERVIEWS WITH STAKEHOLDERS ON LINKAGES AND FUNCTIONAL AREAS**

**A: KII Checklist with Voter Identification and Human Rights Stakeholders**

**Target Group:**

***Malawi Electoral Elections (MEC), National Institute for Civic Education (NICE). Malawi Human Rights Commission,***

**Effectiveness**

1. What were the benefits or challenges of linking the Voter Registration to the National Registration (NRIS) System, Biometric Identification ID)?
2. What National ID registration strategies were put in place in delivering expected/planned outputs and outcomes?
   * Probe were there adequate numbers of civil registration offices or registration points to cover the whole country?
3. Were the National ID registration strategies effective in responding to the needs of the beneficiaries especially the vulnerable population including those with disabilities and albinism, what results were being observed? Probe
   * What mechanisms of voter registration education were in place to facilitate registration by vulnerable populations (women, persons with disabilities, albinism etc.), What were the percentage registered? (Statistical data)
   * How were the persons with disabilities, elderly assisted at registration centres?
   * Were there sufficient female registration officials?
4. How were human rights, gender and disability issues mainstreamed in the KYC strategies and implementation?
   * Human Rights,
   * Gender And
   * Disability Issues
5. Regarding the project output on capacity building, how effective were the projects’ capacity building interventions.
   * Probe-Number of Staff trained by positions and estimate capacity gaps against establishment warrant.

**Efficiency & Impacts**

1. What efficiencies were achieved through the linking of the Voter registration to the NRIS?
2. How much expenses and time were reduced compared to the other electoral cycles before the National ID?
3. How responsive was the NRIS system to the transparency and accountability of the voters roll?
   * Cleaning and verification of voters roll?
4. How has the National ID Registration contributed to the credibility of the electoral process?

**Challenges**

1. What challenges did you encounter with the NRIS system, Is the NRIS system fool proof to manipulation?
   * Is this a system that can be manipulated to defeat accountability?
   * Probe Have there been incidences of manipulation of the electoral process I.e. the anecdotal evidence of loopholes and registration of under aged children during 2020 FPE until the supreme court ruling?

**Sustainability**

1. How will the accountability and transparency gains brought by the national ID be sustained?
2. What financial sustainability mechanisms are in place?

Probe-- Especially NRB’s sustainability and continued funding from Government in future?

1. What are the technical sustainability mechanisms of local or in-house technical capacity of staff at NRB to maintain the system, the IT capacity and the IT capacity in your institution to provide linkages and maintain the system? i.e. maintenance and reprogramming of BRKs.

**Lessons Learnt**

1. What are some of the lessons learnt and suggestions for scaling up into the next stage of civil registration?

**B: KII Checklist with key line ministries and departments on service delivery.**

***Target Group: DHRMD, Ministry of Agriculture (AIP), and Ministry of Gender Social Protection Programmes.***

**Effectiveness**

1. What were the benefits or challenges linking of your registries to the National ID, Biometric Identification)?
   * DHRMD staff returns,
   * AIP (e.g. 603, 000 beneficiaries were removed as ghost) or
   * Social Cash Transfer Programme (SCTP) and other beneficiaries
   * Probe for challenges of linking
2. What National ID registration strategies were put in place in delivering expected/planned outputs and outcomes?
   * Probe were there adequate numbers of registration points to cover the whole country?
3. Were the National ID registration strategies effective in responding to the needs of your AIP beneficiaries especially the vulnerable population including those with disabilities and albinism, what results were being observed? Probe
   * What mechanisms of staff pay roll, AIP or SCTP beneficiaries are in place to facilitate registration by vulnerable populations (women, persons with disabilities, albinism etc.) during the farming season, what were the percentage received AIP? (Statistical data)
   * How were the persons with disabilities, elderly assisted at during your National ID transition?
4. How were human rights, gender and disability issues mainstreamed in the KYC strategies and implementation?
   * Human Rights,
   * Gender And
   * Disability Issues

**Efficiency & Impacts**

1. What efficiencies were achieved through the linking of the Employees pay roll, AIP, SCTP and other beneficiaries to the National ID, Biometric Identification ID)?
2. How much expenses and time have been reduced compared to before the National ID?
3. How responsive was the National ID system to the transparency and accountability of the services offered?
   * Correct identification of employee and personal information
   * % of ghost workers flushed out of the payroll?
   * % wage bill savings from ghost workers …
   * % estimate of financial losses/leakage recovered?
   * Pensions payments to ghost beneficiaries ---% wastage recovered
   * Are there changes in access to services (salaries, promotions, pensions etc.)?
4. How has the National ID Registration contributed to the accountability and prevention of fraud

**Challenges**

1. What challenges did you encounter with the NRIS system, Is the NRIS system fool proof to manipulation?
   * Is this a system that can be manipulated to defeat accountability?
   * Probe Have there been incidences of manipulation of the electoral process I.e. the anecdotal evidence of loopholes and registration of under aged children during 2020 FPE until the supreme court ruling?

**Sustainability**

1. How will the accountability and transparency gains brought by the national ID be sustained?
2. What financial sustainability mechanisms are in place?

Probe-- Especially NRB’s sustainability and continued funding from Government in future?

1. What are the technical sustainability mechanisms of local or in-house technical capacity of staff at NRB to maintain the system, the IT capacity and the IT capacity in your institution to provide linkages and maintain the system?

**Lessons Learnt**

1. What are some of the lessons learnt and suggestions for scaling up into the next stage of civil registration?

**C: KII Checklist with major private public institutional users (tax, Telecommunications, financial and insurance services) etc.**

**Target Group: *Malawi Communications Regulatory Authority (MACRA), Malawi Revenue Authority (MRA), Credit Reference Bureau, Financial Intelligence Authority***

**Effectiveness**

1. What were the benefits or challenges linking of your customer registries to the National ID, Biometric Identification)?
2. What National ID registration strategies were put in place in delivering expected/planned outputs and outcomes?
   * Probe were there adequate numbers of registration points to cover the whole country?
3. Were the National ID registration strategies effective in responding to the needs of your customers especially the vulnerable population including those with disabilities and albinism, what results were being observed? Probe
   * What mechanisms of Know Your Customer (KYC) were in place to facilitate registration by vulnerable populations (women, persons with disabilities, albinism etc.), What were the percentage registered? (Statistical data)
   * How were the persons with disabilities, elderly assisted at during your KYC transition?
4. How were human rights, gender and disability issues mainstreamed in the KYC strategies and implementation?
   * Human Rights,
   * Gender And
   * Disability Issues

**Efficiency & Impacts**

1. What efficiencies were achieved through the linking of the customer registry to the NRIS?
2. How much expenses and time have been reduced compared to before the National ID?
   * % changes in turn-around time (average number of days taken) to open accounts,
   * Payment for services?
3. How responsive was the National ID system to the transparency and accountability of the services offered?
   * Correct identification of personal information % KYC
   * Are there changes in access to services (financial, insurance, mobile phones, taxes) due to the National ID? % customers on KYC
   * Bank Withdrawals and
   * Receiving of money transfers (% change in money laundering) …
   * Payments of utility bills
4. How has the National ID Registration contributed to the accountability and prevention of fraud (banks, mobile money operators), evasion of taxes (MRA) % fraud avoided?
5. Any changes on default rates over the use of the IDs –all operators?

**Challenges**

1. What challenges did you encounter with the NRIS system, Is the NRIS system fool proof to manipulation?
   * Is this a system that can be manipulated to defeat accountability?

**Sustainability**

1. How will the accountability and transparency gains brought by the national ID be sustained?
2. What financial sustainability mechanisms are in place?

Probe-- Especially NRB’s sustainability and continued funding from Government in future?

1. What are the technical sustainability mechanisms of local or in-house technical capacity of staff at NRB to maintain the system, the IT capacity and the IT capacity in your institution to provide linkages and maintain the system?

**Lessons Learnt**

1. What are some of the lessons learnt and suggestions for scaling up into the next stage of civil registration?

**D: KII Checklist with Immigration and security enforcement agencies**

***Target Group: Immigration, Malawi Police Services, E-Government Department***

**Effectiveness**

1. What were the benefits or challenges linking of your customer registries to the National ID, Biometric Identification)?
2. What mechanisms are in place to facilitate National ID registration by vulnerable populations (women, persons with disabilities, albinism etc.), What were the percentage registered? (Statistical data).
   * How were the persons with disabilities, elderly assisted at during the transition?
3. How were human rights, gender and disability issues mainstreamed in the KYC strategies and implementation?
   * Human Rights,
   * Gender and
   * Disability Issues

**Efficiency & Impacts**

1. What efficiencies were achieved through the linking of your customer registry to the National ID?
2. How much expenses and time have been reduced compared to before the National ID?
   * % changes in passport turn-around time (average number of days taken) for passport application and issuance.
   * Business licensing and registration (average number of days taken)
3. How responsive was the National ID system to the transparency and accountability of the services offered? Probe impacts;
   * Correct identification of personal information,
   * Changes in accountability of revenues at Immigration office
   * % crime offenders detected, % changes in detection rates
   * % changes in identification of perpetrators of GBV
   * Linkages and improvements in forensics, finger print detection using biometric system
   * Are there changes in access to services (efficiency in reporting, prosecuting, justice system) due to the national ID? % recorded
4. How has the National ID Registration contributed to the accountability and prevention of fraud, money laundering, % fraud avoided?
5. Any changes on default rates over the use of the IDs –all operators?

**Challenges**

1. What challenges did you encounter with the NRIS system, Is the NRIS system fool proof to manipulation?
   * Is this a system that can be manipulated to defeat accountability?

**Sustainability**

1. How will the accountability and transparency gains brought by the national ID be sustained?

Probe-- Especially NRB’s sustainability and continued funding from Government in future?

1. What are the technical sustainability mechanisms of capacity of staff at NRB and linkages to staff to your institution to maintain the system?

**Lessons Learnt**

1. What are some of the lessons learnt and suggestions for scaling up into the next stage of civil registration?

**E: KII Checklist with District Councils and Registration Offices**

***Target Group: District Commissioners, DPDs, Council chairpersons, Principal and District Registration Officers***

**General,**

1. We would briefly like to understand the process of mass registration of the national ID, the continuous registration and distribution process of national ID, how did the process go in your district?
2. In your opinion are most of citizens of this district registered on the National ID system, if not why?
3. How has the introduction of the National ID affected service delivery and access to services by the populations needs?
4. Were the community member’s sensitized about the last Mass National ID registration process?
5. What role did the council take in sensitizing community members about the coming of Mass National ID registration?
6. How satisfied were you with the civic education strategy about the mass National ID registration process? Probe, if not satisfied, what are the reasons?

**Effectiveness**

1. How was the council’s experience at the registration centers? probe
   * Were there adequate numbers of civil registration offices or registration points to cover the whole district?
   * Did civil registration offices have adequate equipment to carry out their functions (for example, forms, telephones, photocopiers and computers)?
2. How were the National ID registration strategies effective in responding to the population needs? especially the vulnerable population including those with disabilities and albinism, what results were being observed? Probe
   * What mechanisms were in place to facilitate registration by vulnerable populations (women, persons with disabilities, albinism etc.),
   * How were the persons with disabilities, elderly, pregnant women assisted at during the registration?
   * Were the registration centers within walking distances?
3. How were human rights, gender and disability issues mainstreamed in the KYC strategies and implementation?
   * Human Rights,
   * Gender and
   * Disability Issues

**Efficiency & Impacts**

1. What efficiencies were achieved through the linking some of the council registries to the National ID?
2. How much expenses and time have been reduced compared to before the National ID?
   * Examples of uses of National ID at council?
   * Business licensing and registration (average number of days taken).
3. How responsive was the National ID system to the transparency and accountability of the services offered? Probe impacts;
   * Correct identification of personal information,
   * % crime offenders detected, % changes in detection rates
   * % changes in identification of perpetrators of GBV
   * Linkages and improvements in forensics, finger print detection using biometric system
   * Are there changes in access to services (efficiency in reporting, prosecuting, justice system) due to the national ID? % recorded
4. How has the National ID Registration contributed to the accountability and prevention of fraud?

**Challenges**

1. What challenges did you encounter with the NRIS system, Is the NRIS system fool proof to manipulation?
   * Extortion and bribery of village heads or chiefs during authentication of application forms i.e. signing of forms? what were the problems?
   * Registration of foreigners?
   * During distribution of ID cards?

**Sustainability**

1. How will the accountability and transparency gains brought by the national ID be sustained?
2. What financial sustainability mechanisms are in place?

Probe-- Especially NRB’s sustainability and continued funding from Government, NLGFC in future?

1. What are the technical sustainability mechanisms of capacity of staff at NRB and linkages to staff to your institution to maintain the system?

**Lessons Learnt**

1. What are some of the lessons learnt and suggestions for scaling up into the next stage of civil registration?

**F: Focus group Discussions at community and registration centres**

***Target Group: Community leaders. Women group, Men group, Youths and Adolescents Girls and boys separately (1 in each district).***

**General:**

1. We would briefly like to understand the process of mass registration of the national ID, the continuous registration and distribution process of national ID, how did the process go in your district?
2. In your opinion are most of members of this community registered on the National ID system?
3. How has the introduction of the National ID affected your access to your basic needs?

**Public Awareness and Civic education**

1. Were the community member’s sensitized about the last Mass National ID registration process?
2. How did you hear information about the national ID mass registration?
   * i.e. NICE Road shows, Village/ community meetings, announcements at religious institutions, , Market-day (and trading center) awareness rallies, Sports bonanzas, Interactive drama performances, Live local and popular music and dance shows, Radio / TV jingles and Soap opera etc.
3. How satisfied were you with the civic education strategy about the National ID registration and its uses? Probe, if not satisfied, what are the reasons?

**Effectiveness**

1. How was your experience at the registration centers probe?
   * Were there adequate numbers of civil registration offices or registration points to cover your area?
   * Did civil registration offices have adequate equipment to carry out their functions (for example, forms, telephones, photocopiers and computers)?
   * What was the average time taken for citizens to get registered? How long did it take for them to receive the National ID?
2. How has been the introduction of National IDs contributed to your right of identity?
3. What mechanisms were in place to facilitate registration by vulnerable populations (women, persons with disabilities, albinism etc.),
   * How were the persons with disabilities, elderly, pregnant women assisted at during the registration?
   * Were the registration centers within walking distance?

How were human rights, gender and disability issues mainstreamed in the KYC strategies and implementation?

* + Human Rights,
  + Gender and
  + Disability Issues

**Efficiency**

1. What are the benefits of National ID, Biometric Identification)?
2. Describe, how were these things mentioned done before the introduction of the National IDs?
3. What changes have been observed in accessing services due to the national ID?
4. How responsive was the National ID system to the transparency and accountability of the services offered? Probe
   * Correct identification of personal information,
   * Credibility of elections
   * Changes in detection rates
   * changes in identification of perpetrators of GBV
   * Are there changes in access to services …Financial services, loans, MEDF/NEEF loans, give examples?
   * Any changes on default rates over the use of the IDs

**Challenges**

1. What challenges did you encounter with the NRIS system, Is the NRIS system fool proof to manipulation?
   * Extortion and bribery of village heads or chiefs during authentication of application forms i.e. signing of forms? what were the problems?
   * Registration of foreigners?
   * Were you aware of the Registration Complaint mechanism
   * NRIS established a call center to address complains of Malawi people who face any kind of problem or discrepancy in the field activities.
   * Number of complaints recorded
   * Number of complaints resolved
   * Were there any complaints made during the registration, how were they resolved?
   * During distribution of ID cards?

**Sustainability**

1. How will the accountability and transparency gains brought by the National ID be sustained?

**Lessons Learnt**

What are some of the lessons learnt and suggestions for scaling up into the next stage of civil registration?

**G: Citizens/Beneficiaries Perceptions on**

**National ID Registration Project (NRIS)**

(*This questionnaire to be answered only by those who have registered and have Malawi National ID card (Nzika))*

This questionnaire is part of the Malawi National ID registration (NRIS) supported by Government of Malawi, implemented by the National Registration Bureau (NRB) and other Development partners with UNDP as the managing agent. The evaluation aims to provide the status of the impacts of the National ID registration in Malawi, it also aims to draw on the lessons learnt during the implementation of the national ID registration since its inception in 2016 to December 2020. The results will be used to inform lessons learnt, advocacy and changes for scaling up to the future phases.

|  |  |  |
| --- | --- | --- |
|  | Gender | 1=Male  2=Female |
|  | Age group | 1=18-24 years  2=25-34 years  3=35-44 years  4=55-64 years  5=65+ years |
|  | |  | | --- | | Nationality | | 1=Malawian  2=non-Malawian |
|  | In which month and year did you register? | Month…………………………...  Year ……………………………. |
|  | During which phase of the National ID registration did you register? | 1=Mass ID registration  2=Voter registration  3=Normal ongoing registration |
|  | Where did you register? | 1=Registration centre in city  2=Registration centre in district |
|  | Were you aware about the mass National ID registration campaign? | 1=Yes  2=No |
|  | How did you hear about the mass National ID registration campaign? | 1= Radio talk shows, jingles and soap opera etc.  2=TV program shows  3= NICE Road shows, Market-day (and trading center) awareness rallies,  4=Friends  5= Drama performances, Live local and popular music and dance shows, sports bonanzas,  6= Chiefs. vvillage/community meetings,  7= Religious gatherings  8= Print media, posters, newspapers, stickers, billboards etc.  9=Government officers  10=At funeral  11=Other specify |
|  | How satisfied were you with the civic education strategies of the National ID registration and uses of the National ID? | 1=Very satisfied  2=Satisfied  3=Neutral  4=Not satisfied  5=Very dissatisfied |
|  | If not satisfied , what are the reasons? | -------------------------------------------------- |
|  | In general, how much time did it take you to get registered? | Qty …………….  Units  1=minutes  2=hours  2=days  4=weeks  5=Months |
|  | Where did you collect your National ID? | 1=At DCs office  2=At registration center  3=At the Village headman  4=Post office  5=Other distribution centre (specify) |
|  | In general, how much time did it take between registration to collection of the ID card? | Qty …………….  Units  1=minutes  2=hour  2=day  4=week  5=month |
|  | Since having your National ID, how would you explain your level of satisfaction with your right to identity as a registered citizen? | 1=Very satisfied  2=Satisfied  3=Neutral  4=Not satisfied  5=Very dissatisfied |
|  | If not satisfied, what are the reasons? | ---------------------------------------------------- |
|  | In which circumstances do you usually use your National ID? | 1=Receiving pensions or salaries, AIP, SCTP etc.  2=Banks transactions and receiving of money transfers  3=Receiving of salaries, wages and pensions  4=Post Office, courier services  5=ADMARC  6=Mobile SIM registration and registration of *Airtelmoney, TNM Mpamba, Mukuru, Paissa. ,Mpesa etc*  7=Road traffic transactions  8=To access services (education, health etc.)  8=Joining clubs, associations and cooperatives  10=Other specify |
|  | In your opinion, in which other important circumstances do you feel the National ID should be put into use? | ……………………………  ……………………………  …………………………… |
|  | State whether you agree or disagree with the following statements about the perceived impacts of the National ID?   1. It has enhanced my right of identity as a Malawian citizen (*ndine nzika)* 2. It has made it easy to identify persons 3. It has made it easy to access banks (opening accounts and receiving of money transfers) 4. It has made it easier to make mobile money (*TNM Mpamba, Airtelmoney, Mukuru, Paissa, Mpesa,)* transactions 5. It has ensured transparency on voter identification and registration 6. It has led to transparency and credibility of the voting process It has eased the passport application process 7. It has improved accountability, transparency and elimination of ghost workers receiving salaries 8. It has reduced time for business license registration 9. It has made it easy to trace loan defaulters 10. It has made it easier to trace and identify law offenders or perpetrators 11. Other uses (Specify) | State whether you agree or disagree for each of the statements (*only choose one option*)  1=Strongly agree  2=Agree  3=Neutral  4=Disagree  5=Strongly disagree |
| **Challenges** | | |
|  | Did you encounter any constraints/challenges during the mass national ID registration exercise | 1=Yes  2=No |
|  | What are the different constraints/challenges that you have encountered during registration, distribution and usage of the National ID? | 1=Extortion of money by chiefs requesting payments during signing of application forms  2=Chiefs obtaining money and registering foreigners  3=Shortage of staff & equipment at registration centre  4=Delays in opening centres  5=Distribution centres very far?  6=Some people using bribery or extortion to force citizens to surrender their IDs (e.g. AIP suppliers, political  7=Theft of ID  8=Other specify |
|  | Are you aware that there was a complaints handling and redress mechanism including hotlines for citizens to lodge any complaint they had during the National ID registration exercise? | 1=Yes  2=No |
|  | Did you encounter or lodge any complaint during the National ID registration exercise? | 1=Yes  2=No |
|  | What suggestions do you have for the scaling up of National ID project to reach out to all citizens and any changes in the future? | …………………………..  …………………………. |

The next set of annexes and tables provide details of the evaluation matrix and results framework, literature reviewed, Terms of Reference and various data collection tools.

**Annex 2: The Results Framework and Evaluation Matrix**

The evaluation matrix in Annex 2 summarizes the key aspects of the evaluation exercise by specifying what will be evaluated and how. The matrix includes the evaluation criteria, the main evaluation questions with all the corresponding sub-evaluation questions, indicators for measuring progress, required data, data sources, and data collection methods. The evaluation matrix tracks Project cycle & is a living document and may be subject to modification and amendment as the evaluation progresses. However, any modification to the evaluation matrix will be made in consultation with the Project Evaluation Manager. **The Evaluation Matrix is given further below in in Table 5**

**Project Results Framework**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Outcome Goal: The establishment of a permanent and continuous national registration and identification system in Malawi.** | | | | | | | | | | |
|  | **Outcome Indicators:**   * Number of MDAs and private institutions using NRIS for administrative or operational systems (Baseline 2016): 0; Target (2019): >10; Source: Official records) * Percentage of eligible resident Malawians registered and issued with an identity card (Baseline 2016: 0; Target (2019): >90%; Source: National Register, NSO) * Assessed capacity of NRB to operate and maintain the NRIS (Baseline 2016): None; Target (2019): Good capacity; Source: Project Evaluation Report) | | | | | | | | | | |
|  | **UNDP Strategic Plan (2018–2021) Outcome 2, which places an emphasis on achieving the following: “Accelerate structural transformations for sustainable development” and in particular output 2.2.1 “Use of digital technologies and big data enabled for improved public services and other government functions”** | | | | | | | | | | |
|  |  | | | | | | | | | | |
|  | **Project title and Atlas Project Number: National Registration and Identification System (NRIS). Project Number: 00100113** | | | | | | | | | | |
|  |  | | | | | | | | | | |
| **EXPECTED OUTPUTS** | **OUTPUT INDICATORS** | **DATA SOURCE** | **BASELINE** | | **TARGETS** | | | | | | **Data Collection Methods and Risks** |
| **Value** | **Year** | **2017** | **2018** | **2019** | **FINAL** |  |  |
| **Output 1**  Up to 9 million Malawians are registered for issuance of a National Identity card in 2017 | ***1.1 Number of Malawians registered in the National Register as part of mass registration, disaggregated by gender.*** | *National Registry* | 0 | 2016 | More than 9 million |  |  | More than 9 million |  |  | Data extraction. |
| ***1.2 Number of Malawians issued with a National ID card as part of mass registration.*** | *NRB Records* | 0 | 2016 | More than 4 million | More than 4.5 million | 0 | More than 8.5 million |  |  | Data extraction. |
| ***1.3 Proposed amendment of National Registration Act submitted to Ministry of Justice.*** | *Public Record* | 0 | 2016 | 1 | 0 | 0 | 1 |  |  | Public record |
| ***1.4 Number of paid information campaign products aired on radio.*** | *Project records* | 0 | 2016 | 10 | 0 | 0 | 10 |  |  | Media monitoring reports.  Survey reports |
| **Output 2**  NRIS is transitioned to a permanent and continuous registration system | ***2.1 Number of District Registration Offices equipped for continuous registration.*** | *NRB Records* | 0 | 2016 | 20 | 8 | 0 | 28 |  |  | NRB Records. Spot check. |
| ***2.2 Percentage of registrars trained in rules and procedures.*** | *Training records.* | 0 | 2016 | 70% | 30% | 0 | 100% |  |  | Training participation records. |
| ***2.3 Number of Malawians issued with a National ID card as part of continuous registration.*** | *NRB Records* | 0 | 2016 | 0 | 0.3 million | .47 million | 1.7 million |  |  | Data extraction from NRB |
| ***2.4 Number of District Post Offices equipped for continuous birth registration*** | *NRB Records* | 0 | 2019 |  |  |  |  |  |  |  |
| ***Output 3***  Government MDAs and private institutions are assisted to adopt the use of the NRIS. | ***3.1 Number of inter-institutional agreements between NRB and Government Ministries, Departments, Agencies (MDAs) and private institutions on the use of the ID card system.*** | *NRB records* | 0 | 2016 | 0 | 5 | >5 |  |  |  | Official requests |
| ***Output 5***  Project is efficiently managed, staffed and coordinated, and is implemented with national ownership | ***5.1 Agreed M&E planned activities implemented.*** | *Project records* | 0 | 2016 | No | Satisfactorily | Satisfactorily |  |  |  | *Official records* |
| ***5.2 Percentage of Project positions filled.*** | *UNDP records* | 0 | 2016 | 95% | 5% | 0 |  |  |  | *UNDP records* |
| ***5.3 Steering and Technical Committee meetings held per year.*** | *Project records* | 0 | 2016 | 3/8 | 3/8 | 3/8 |  |  |  | *Project records* |

**Annex: Detailed presentation of findings disaggregated by year.**

|  |  |  |  |
| --- | --- | --- | --- |
| **2016 Milestones** | **2017 Milestones** | **2018 Milestones** | **2019 Milestones** |
| **PROOF OF CONCEPT PHASE**   * Government of Malawi allocated MK1.5 billion in the NRB budget to kick start the National ID project. | * Procurement of 2,000 Biometric Registration Kits(BRKs) for use during registration. | * MoU between the Credit Reference Bureau (CRB) and NRB was signed. | * Continuous registration progressed well in all the 28 District Registration Offices (DROs) and 37 of 65 post offices. For example, the total number of registrants for just during January to December 2019 was 30,824 (18,712 male and 12,112 female). The average registration consistently increased overtime. |
| * The UNDP supported the idea and sourced financing from Irish Aid that enabled UNDP to procure an ICT Specialist, Frik Olivier, to work with NRB in developing the software and other related ICT functionalities. | * Recruitment and training of 4,200 registration staff to enrol eligible Malawian citizens by recording biographic and biometric information in the Biometric Registration Kits (BRKs) including capturing digital photograph during the mass registration campaign phase. | * An approximately three months Source Code training on the actual database, biometric de-duplication, card production facility, and inventory control has started. | * 140 Registration Officers (ROs) and Assistant Registration Officers (AROs) were recruited, and their capacity built on the national ID registration process, rules, and regulations, and were deployed to the district registration offices and post offices. |
| * A total of 5, 000 Malawians were targeted for registration in 27 sites in 11 districts of the country. The Northern region had 8 sites in three districts while the Central region had 9 sites in four districts and the southern region had 10 sites in four districts. Five sites were selected from urban areas of Lilongwe and Blantyre. | * Established warehouses to be used as consolidation centers (to sync data retrieved from BRKs in each phase and consolidate subsequently) and for the storage of BRKs and other equipment used during mass registration were identified. Warehouses were also used to deploy and retrieve teams (4,200 Registration Staff) in field. A lab to troubleshoot BRKs and a mobile Bank office established. | * MoU between Malawi Revenue Authority and NRB has been signed. | * The 2019 – 2024 NRB Strategic Plan was developed collaboratively with NRB, Department of Human Resource Management and Development (DHRMD) and UNDP. The Costing/Budgeting and Sustainability Plan has also been developed and is being implemented. |
| * Nine registration teams, each comprising four officers, were deployed to the registration sites for three days per site to register about 200 citizens. The registration teams were in the field for twelve days to cover all the sites starting from 2nd August 2016. Primary schools and courts were used as registration centres. | * A functional complaint redressal system in the form of Hotline, SMS and USSD system was established. | * ID system linkage with the CVRS system was tested and was successful. | * As part of continuous efforts in capacitating NRB staff, the Malawi Institute of Management delivered customized professional management training program comprised of 9 courses based on the capacity building needs as per assessment report. Six out of the nine selected short courses have been completed. |
| * The Proof of Concept commenced with a week-long training of thirty-one Registration Officers on the following aspects: * Legal mandate on national registration * Proof of citizenship * Biometric registration kit setup * Biometric registration kit basic troubleshooting * Demonstration of BRK packing sequence. * BRK recharging using solar equipment. * National Registration Software overview * Completing NR 1 form * Flow of registration process | * Technical response mechanism through the Incident Response Team was put in place to provide real time technical support to registration centers such as fixing malfunctioning BRKs, supplying power banks, etc. | * Principal Registration Officers (PROs) formerly known as Assistant District Registrars (ADRs) were trained on policies and procedures about registration after the Registration Policy Document was prepared in consultative sessions with NRB and other stakeholders which consisted of Standard Operating Procedures (SoPs) such as ID card replacement and renewal, registration of naturalized citizens and resident foreigners etc. | * The prefabricated Card Production Facility (CPF) has been assembled, furnished, and power connectivity established. National ID card personalization and printing started in the CPF at the National Registration Bureau (NRB) Headquarters. NRB’s technical capacity to personalize (chip encoding with citizens biometric data) smart cards in the CPF has been enhanced. |
| * Prior to the actual registration process, the NRB’s Civic Education and Public Relations section developed a communication strategy and sensitized all district level public awareness teams in the PoC districts. Each team was comprised of a District Information Officer, District Civic Education Officer, Assistant District Registrar and District Elections Officer. | * Total of 9,168,689 (54% female and 46% female) Malawians who are 16 years and above were registered by 24 November 2017 completing the mass registration exercise. * Total of 3,699,275 children aged below 16 years have also been registered for birth certificate issuance. | * 30 Registration Officers and 110 Assistant Registration Officers (AROs) were recruited by the Government of Malawi for the National Registration Bureau to support efforts in continuous registration and other NRB core functions. The offer letters were issued to the successful candidates to report for duties within 90 days. | * Refurbishment of 55 out of 65 selected post offices was completed. Refurbishment in all 65 post offices were set to be completed in January 2020. |
| * A total of 5 273 people were registered as part of the Proof-of-Concept Phase | * A functional 15-member Adjudication Committee was established to review multiple records after de-duplication process. | * Continuous registration is progressing well in all 28 districts and 721,188 (438,733 males and 282,455 females) citizens were registered in 2018. | * The refurbishment of the model registration office at Blantyre DRO has been completed. The network and ESCOM connection were in progress at the time of evaluation. |
| * Project implementation Start date: Oct 2016 | * Orientation of ID Card distribution done for District Commissioners, District Education Managers and Assistant District Registrars (ADRs) for phase I, II, III and IV districts in Malawi. | * Prefabricated Container for the setting up of a Prefabricated Containerized ID Card Production Facility was procured and set up near the NRB headquarters (HQ) in Lilongwe in March 2018. | * The Last Mile Connectivity activity was completed, connecting all the 28 District Registration Offices and 65 Post Offices. This has enhanced NRB’s capacity to register citizens quickly, allowing for real time registration data transmission and synchronization. |
|  | * Commencement of printing and distribution of National ID cards with cards for batches I, II and III received and distributed in the districts of Mchinji, Ntchisi, Kasungu, Dowa, Nkhotakota, Salima, Lilongwe, Dedza, Ntcheu, Likoma, Blantyre, Chiradzulu, Mwanza, Neno and Nsanje. | * A road map was developed with NRB, Department of Human Resource | * A Network Monitoring System was installed at NRB headquarters in Lilongwe. |
|  | * Software development regarding modules of Civil Registration (Birth, Death, Marriage, Divorce, Adoption, Name Changes, Foreigners Registration) within one ID system completed. | Management and Development (DHRMD), UNDP for the preparation of the 2019-2024 NRB Strategic Plan. The plan was published in March 2019. | The system enhanced NRB’s capacity to remotely monitor the status of connectivity of all District Registration Offices and Post Offices. |
|  | * Software Source Code Training completed for 4 NRB ICT and 2 E-Government staff. | * MoU between the Credit Reference Bureau (CRB) and NRB was signed. | * The complex linkages and integration of the foundational National ID system (NRIS) in functional systems such as Payroll, , Affordable Inputs Programme (**AIP**) (FISP-Farmer Input Subsidy Program), Tax System (Malawi Revenue Authority) yielded healthy debates and positive controversies such as elimination of ghost workers, combatting corruption and fraud, handling tax evasion by 2019. For instance, 8079 civil servants were temporarily removed from the payroll until they produced a valid ID or they risk being deleted from the DHRMD system. |
|  | * Advanced Level III Technical training including 6 modules of BRK completed for 13 E- Government Technicians, 5 NRB Technicians, 14 temporary registration supervisors and 35 top performing temporary registration officers. | * Refurbishment of 26 District Registration Offices (DROs) was completed. | * The Reserve Bank of Malawi (RBM) issued a directive to financial institutions (banks, credit reference bureaus and insurance companies) requiring that the National ID be adopted as the primary identification tool for individuals in the country by 30th September 2019. This is in line with the Malawi Government Gazette notice no. 67 of 10th August 2018. |
|  | * An MoU between NRB and National Initiative for Civic Education (NICE) Public Trust was signed on 30 May 2017 signaling their co-operation in undertaking joint civic education and mobilization initiatives for the people of Malawi to avail themselves and participate in the registration process as required by the law. | * Ministry of Justice issued a gazette notification mentioning that National ID will be treated as the “primary official document”. | * The National Registration Bureau signed a Memorandum of Understanding (MoU) with First Capital Bank (FCB), Ecobank and MyBucks to use National ID and NRIS for eKYC compliance. These financial institutions will utilize the National ID as their primary form of identification and compliance with “Know-Your-Customer” (KYC) requirements. |
|  | * An MoU between NRB and the Malawi Electoral Commission was finalized and signed on 30 May 2017 which allowed MEC to draw upon the national ID card to develop a voters’ register without inclusion of errors. | * The Disaster Recovery Server (DRS) has been successfully relocated to Blantyre and is now fully functional. | * Design of the Resident Foreigner Identity Card with all the necessary security features has been completed and was approved by the Minister of Homeland Security. The NRIS system software has been updated and is ready to print foreigner cards. Verification is in progress and printing shall commence once the exercise is complete. |
|  | * Software Source Code Training completed for 4 NRB ICT and 2 E-Government staff. | * Revenue Reconciliation Training for Treasury Cashiers and Principal Registration Officers (PROs) was conducted. |  |
|  | * An MoU between NRB and Malawi Posts Corporation was finalized and signed in relation to provision of space by the latter for continuous registration. | * Procurement of equipment to be used to set 5 Model one-stop registration centers was completed. | * The 7th Steering Committee approved the NRIS project extension for mass registration of children. The Minister of Finance, UNDP and UNICEF Resident Representative signed the extension project document to include mass child registration on 5th December 2019. |
|  | * MoU between NRB and Malawi Revenue Authority on the use of the ID System finalized, pending signature. | * Memorandum of understanding on ID linkage between the NRB and the Department of Human Resource and Development was vetted by the Ministry of Justice and Constitutional Affairs. |  |
|  |  | * Regarding the review of the Citizenship Act, the Malawi Law Commission has produced a draft report with tentative recommendations which forms the basis for consultations and inputs at regional workshops, for a final report to be done. |  |

Evaluation Consultant Agreement Form

**Annex E: Evaluation Consultant Code of Conduct and Agreement Form**

**Evaluators:**

* Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
* Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
* Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people’s right not to engage. Evaluators must respect people’s right to provide information in confidence and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals and must balance an evaluation of management functions with this general principle.
* Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
* Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders’ dignity and self-worth.
* Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
* Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**Annex F: Evaluation Report Outline[[39]](#footnote-20)**

|  |
| --- |
| Opening page:   * Title and type of project * UNDP project ID#s. * Evaluation time frame and date of evaluation report * Region and countries included in the project * Implementing Partner and other project partners * Evaluation team members * Acknowledgements |
| Acronyms and Abbreviations  Executive Summary   * Project Summary Table * Project Description (brief) * Evaluation Rating Table * Summary of conclusions, recommendations and lessons |
|  |
| Introduction   * Purpose of the evaluation * Scope & Methodology * Structure of the evaluation report |
| Project description and development context   * Project start and duration * Problems that the project sought to address * Immediate and development objectives of the project * Baseline Indicators established * Main stakeholders * Expected Results |
| Findings  (In addition to a descriptive assessment, all criteria marked with (\*) are rated[[40]](#footnote-21)) |
| Project Design / Formulation   * Analysis of LFA/Results Framework (Project logic /strategy; Indicators) * Assumptions and Risks * Lessons from other relevant projects (e.g., same focal area) incorporated into project design * Planned stakeholder participation * Replication approach * UNDP comparative advantage * Linkages between project and other interventions within the sector * Management arrangements |
| Project Implementation   * Adaptive management (changes to the project design and project outputs during implementation) * Partnership arrangements (with relevant stakeholders involved in the country/region) * Feedback from M&E activities used for adaptive management * Project Finance: * Monitoring and evaluation: design at entry and implementation (\*) * UNDP and Implementing Partner implementation / execution (\*) coordination, and operational issues |
| Project Results   * Overall results (attainment of objectives) (\*) * Relevance (\*) * Effectiveness & Efficiency (\*) * Country ownership * Mainstreaming * Sustainability (\*) * Impact |
| Conclusions, Recommendations & Lessons   * Corrective actions for the design, implementation, monitoring and evaluation of the project * Actions to follow up or reinforce initial benefits from the project * Proposals for future directions underlining main objectives * Best and worst practices in addressing issues relating to relevance, performance and success |
| Annexes   * ToR * Itinerary * List of persons interviewed * Summary of field visits * List of documents reviewed * Evaluation Question Matrix * Questionnaire used and summary of results * Evaluation Consultant Agreement Form |

* Annexes

Annex II: List of people met or interviewed

Annex III: List of documents reviewed

Annex IV: Interview questionnaire

Annex V: Interview guide, if any

**Annex G: Evaluation Report Clearance Form**

*(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)*

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

UNDP GEF RTA

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Endnotes

**Annex 7:** **The evaluation Management Team and Project Steering Committee**

The key parties in the evaluation are as follows:

1) The oversight of the evaluation will be conducted by the Evaluation Management Team[[41]](#endnote-20) and Evaluation Reference Group[[42]](#endnote-21), which include the following members:

The key parties in the evaluation are as follows:

1) The oversight of the evaluation will be conducted by the Evaluation Management Team[[43]](#endnote-22) and Evaluation Reference Group[[44]](#endnote-23), which include the following members:

1. Evaluation Management Team

|  |  |  |
| --- | --- | --- |
| Name | Title, Organization | e-mail contact |
| Evaluation Management Team | | |
| Peter Kulemeka | Planning, Monitoring, Evaluation and Programme Coordination Specialist, UNDP | [Peter.kulemeka@undp.org](mailto:Peter.kulemeka@undp.org) |
| Ritu, Kumar Mishra | M&E Analyst, NRIS Project, UNDP | [Ritu.mishra@undp.org](mailto:Ritu.mishra@undp.org) |
| Filipo Caruso | Legal Adviser | [Filipo.caruso@undp.org](mailto:Filipo.caruso@undp.org) |

1. Evaluation Reference Group[[45]](#footnote-22)

|  |  |  |
| --- | --- | --- |
| Name | Title, Organisation | e-mail contact |
| **Evaluation Reference Group** | | |
|  | Ministry of Home Affair |  |
|  | National Registration Bureau (NRB), |  |
|  | Malawi Electoral Commission |  |
|  | European Union |  |
|  | UNICEF |  |
|  | UK – Foreign and Commonwealth Development Office (FCDO) |  |
|  | Reserve Bank of Malawi |  |
|  | Malawi Confederation of Chambers of Commerce and Industry (MCCCI) |  |
|  | Lilongwe District Council |  |
|  | Malawi Post Corporation |  |

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| **Project Evaluation Team** | | |
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**9.4. ENDNOTES**

1. The purpose of the Proof of Concept for the National ID was to test procurement procedures, equipment, technology, training, logistics and public awareness processes. The test was expected to yield pertinent lessons in all the aspects of the process. In turn, that would become instrumental and useful towards the smooth implementation of the pilot phase that would target specific cadres of the populace. Additionally, the lessons would also inform the implementation of a nation-wide mass registration exercise scheduled for implementation in 2017. [↑](#footnote-ref-1)
2. Relevance is the extent to which the objectives of a development intervention are consistent with beneficiaries’ requirements, country needs, global priorities and partners’ and donors’ policies. [↑](#endnote-ref-1)
3. Coherence measures how the project compatible with other interventions providing civil registration services in the country. It also measures to what extent the project is coherent with other UNDP interventions in Malawi. [↑](#endnote-ref-2)
4. Effectiveness is the extent to which the development intervention’s objectives were achieved, or are expected to be achieved, considering their relative importance. Effectiveness assesses the outcome level, intended as an uptake or result of an output. [↑](#endnote-ref-3)
5. Efficiency is a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results. It is most commonly applied to the input-output link in the causal chain of an intervention. [↑](#endnote-ref-4)
6. Sustainability denotes a continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time. [↑](#endnote-ref-5)
7. Impact is positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. (UNEG. Integrating Human Rights and Gender Equality in Evaluations. p14) [↑](#endnote-ref-6)
8. These findings were triangulated with and validated by the Project’s Annual Progress Reports 2016-2019. [↑](#footnote-ref-2)
9. Relevance is the extent to which the objectives of a development intervention are consistent with beneficiaries’ requirements, country needs, global priorities and partners’ and donors’ policies. [↑](#endnote-ref-7)
10. Coherence measures how the project compatible with other interventions providing civil registration services in the country. It also measures to what extent the project is coherent with other UNDP interventions in Malawi. [↑](#endnote-ref-8)
11. Effectiveness is the extent to which the development intervention’s objectives were achieved, or are expected to be achieved, considering their relative importance. Effectiveness assesses the outcome level, intended as an uptake or result of an output. [↑](#endnote-ref-9)
12. Efficiency is a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results. It is most commonly applied to the input-output link in the causal chain of an intervention. [↑](#endnote-ref-10)
13. Sustainability denotes a continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time. [↑](#endnote-ref-11)
14. Impact is positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. (UNEG. Integrating Human Rights and Gender Equality in Evaluations. p14) [↑](#endnote-ref-12)
15. Evaluators used additional information on methods, see the Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 7, pg. 163 [↑](#footnote-ref-3)
16. UNEG. Integrating Human Rights and Gender Equality in Evaluations. p105 [↑](#endnote-ref-13)
17. There have been a number of methodological approaches to gender analysis. Information on these frameworks can be found at [<policy-practice.oxfam.org.uk/publications/a-guide-to-gender-analysis-frameworks-115397>](http://policy-practice.oxfam.org.uk/publications/a-guide-to-gender-analysis-frameworks-115397) and [<www.gdrc.org/gender/framework/framework.html>.](http://www.gdrc.org/gender/framework/framework.html) [↑](#endnote-ref-14)
18. UNEG. Integrating Human Rights and Gender Equality in Evaluations. p106 [↑](#endnote-ref-15)
19. [<www.un.org/womenwatch/osagi/gendermainstreaming.htm>](http://www.un.org/womenwatch/osagi/gendermainstreaming.htm) [↑](#endnote-ref-16)
20. Caren Levy, ‘Gender Justice and Development Policy: Is “Gender Mainstreaming” Up To The Challenge?’ UCL Development Planning Unit, [<www.ucl.ac.uk/~ucugw3i/f iles/ISID6/ISID\_Caren Levy\_Gender Justice](http://www.ucl.ac.uk/~ucugw3i/files/ISID6/ISID_Caren%20Levy_Gender%20Justice%20and%20Policy.pdf) [and Policy.pdf>.](http://www.ucl.ac.uk/~ucugw3i/files/ISID6/ISID_Caren%20Levy_Gender%20Justice%20and%20Policy.pdf) [↑](#endnote-ref-17)
21. CEDAW details obligations concerning the measures required in different public and private spheres. In particular, States are obliged:

    • to incorporate the principle of equality of men and women in their legal system, abolish all discriminatory laws and adopt appropriate ones prohibiting discrimination against women;

    • to establish tribunals and other public institutions to ensure the effective protection of women against discrimination; and

    • to ensure elimination of all acts of discrimination against women by persons, organizations or enterprises. [↑](#endnote-ref-18)
22. OHCHR, ‘Frequently Asked Questions on a Human Rights-Based Approach to Development Cooperation’,

    2006, p. 18, [www.ohchr.org/Documents/Publications/FAQen.pdf](http://www.ohchr.org/Documents/Publications/FAQen.pdf) [↑](#endnote-ref-19)
23. UNDP Social and Environmental Standards (SES) [↑](#footnote-ref-4)
24. The work on refurbishment of the 65 post offices is in progress. As on 31st December 2019, the following progress had been made:

    ▪ Southern Region- 80% completed

    ▪ Central Region - 100% completed

    ▪ Northern Region- 100 % work completed [↑](#footnote-ref-5)
25. Sixth Steering Committee Meeting National Registration and Identification System Project Ministry of Finance Conference Room, Lilongwe, 04 April 2019 [↑](#footnote-ref-6)
26. * National ID card personalization and printing has started at the NRB Headquarters in the specially built environment.
    * NRB's technical capacity to personalize (chip encoding with citizen’s biometric data) smart cards in a custom-built card production facility had been enhanced.
    * Network Monitoring System has been installed at NRB.
    * The system enhances NRB's capacity to remotely monitor the status of connectivity of all District Registration Centres and Post Offices

    [↑](#footnote-ref-7)
27. Evaluators understand that the MTE covers up to 2019. However, interviews were held in 2021 and during primary data collection, key informants cited most recent cases for the 2019/2020 agricultural season. Also, it should be noted that the benefits and impacts of the NID are not time bound, these are spillover effects. Unless we disregard crossover benefits, impacts and sustainability of the NID the period just before and just beyond 2019 is difficult to pin down. These are reinforcing the business case for NID. [↑](#footnote-ref-8)
28. Total number of respondents for the MTE was 420 people. [↑](#footnote-ref-9)
29. Investigation report: Investigating allegations of non-compliance with UNDP social and environmental commitments relating to the following UNDP project: Malawi National Registration and Identification System Project. 24 October 2019. [↑](#footnote-ref-10)
30. The African Charter on Human and Peoples’ Rights (African Charter) recognizes the right of everyone to the enjoyment of just and favorable conditions of work, noting that this right ensures, ‘Remuneration which provides all workers, as a minimum, with… A decent living for themselves and their families in accordance with the provisions of the present Covenant…Safe and healthy working conditions…rest, leisure and reasonable limitation of working hours and periodic holidays with pay, as well as remuneration for public holidays [↑](#footnote-ref-11)
31. SES, para. 8. ‘UNDP will ensure adherence to the SES for Project activities implemented using funds channeled through UNDP’s accounts,6 regardless of Implementation Modality. In cases where implementation of the SES is found not to be adequate, UNDP will undertake appropriate measures to address shortcomings.’ [↑](#footnote-ref-12)
32. UNDP Social and Environmental Standards (SES) [↑](#footnote-ref-13)
33. UNDP Social and Environmental Standards (SES) [↑](#footnote-ref-14)
34. www.unevaluation.org/unegcodeofconduct [↑](#footnote-ref-15)
35. The Report length should not exceed *50* pages in total (not including annexes). [↑](#footnote-ref-16)
36. UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008 [↑](#footnote-ref-17)
37. Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations. [↑](#footnote-ref-18)
38. Public Health Act (Cap. 34:01). Public Health (Corona Virus Prevention, Containment and Management) Rules, 2020, Ministry of Health (2019). Guidance on Community/Public Use of Face Masks [↑](#footnote-ref-19)
39. The Report length should not exceed *50* pages in total (not including annexes). [↑](#footnote-ref-20)
40. Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations. [↑](#footnote-ref-21)
41. An evaluation management group was established to oversee the evaluation process and was coordinated by the evaluation manager. The group comprises members from senior management, M & E officers or focal points, and the programme officer responsible for the Project. [↑](#endnote-ref-20)
42. The evaluation reference group is an effective way to engage stakeholders, as it provided for their systematic involvement in the evaluation process including facilitating the participation of key stakeholders in the evaluation design, defining the objectives, the evaluation scope and the different information needs. providing input on the evaluation products: and providing relevant information (i.e., via surveys, interviews) and documentation to the evaluation team, including disseminating evaluation results [↑](#endnote-ref-21)
43. An evaluation management group was established to oversee the evaluation process and was coordinated by the evaluation manager. The group comprises members from senior management, M & E officers or focal points, and the programme officer responsible for the Project. [↑](#endnote-ref-22)
44. The evaluation reference group is an effective way to engage stakeholders, as it provided for their systematic involvement in the evaluation process including facilitating the participation of key stakeholders in the evaluation design, defining the objectives, the evaluation scope and the different information needs. providing input on the evaluation products: and providing relevant information (i.e., via surveys, interviews) and documentation to the evaluation team, including disseminating evaluation results [↑](#endnote-ref-23)
45. Details of names and email addresses are still being collected. [↑](#footnote-ref-22)