**Government of Malawi**

Disaster Risk Management for Resilience Programme Support 2019-2023

December 2018

|  |  |  |  |
| --- | --- | --- | --- |
| **Country:** Malawi | | | |
| **National Priority or Goal:** Malawi actively respond to climate change, prevent disasters, strengthen sustainable natural resources management and environmental protection (CPD, 2019-2023).  **Related Programme Support Impact:** Sustainable social and economic development resulting from reduction in losses and damages from hazards. | | | |
| **MGDS III DRM Goal**: To reduce vulnerability and enhance resilience of population to disasters and socio-economic shocks. | | | |
| **UNDP Strategic Plan Outcome 3:** Strengthening resilience to shocks and crises. | | | |
| **Related CPD/UNDAF Outcome 7:** By 2023, women, youth, vulnerable groups and communities in disaster prone rural and urban areas are more resilient to hazards and benefiting from integrated interventions in risk knowledge, risk governance, risk reduction, and disaster preparedness, response and recovery. | | | |
| **Country Programme Outputs:**  **Output 1**: Scaled-up action, finance and partnerships for climate change adaptation, mitigation and disaster risk management across sectors.  **Output 2:** Adaptive capacity of rural households and reduced exposure to climate risks strengthened  **Output 3:** Scaled-up action to prevent economic losses from natural hazards (e.g. geophysical and climate-induced hazards) as a proportion of GDP. | | | |
| **Implementing Partner:** Department of Disaster Management Affairs (DoDMA). | | **Implementation Modality:** National Implementation (NIM). | |
| **Responsible Parities:**  EAD, DCCMS, DWR, MoLGRD, Councils, NGOs | |  | |
| **Brief Programme Description:** | | | |
| Programme Period: 2019 - 2023  Programme Component: Climate Change and  Disaster Risk Reduction  Atlas Award ID:  Start date: January 2019  End Date December 2023  PAC Meeting Date TBD  Management Arrangements: National Implementation | | Total allocated resources: 31,000,000   * Regular (TRAC) 26,000,000 * Other:   DFID 4,327,105  In-kind Contributions \_\_\_\_\_\_\_\_\_ | |
| **SIGNATURES** | | | |
| Signature:  Name:  Title: | Agreed by Implementing Partner | | Date/Month/Year |
| Signature:  Name:  Title: | Agreed by  UNDP | | Date/Month/Year |

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Acronyms and Abbreviations

CCA Climate Change Adaptation

CSO Civil Society Organization

DCCMS Department of Climate Change and Meteorological Services

DfID Department for International Development

DoDMA Department of Disaster Management Affairs

DoF Department of Fisheries

DoI Department of Irrigation

DPs Development Partners

DRM Disaster Risk Management

DWR Department of Water Resources

EAD Environmental Affairs Department

GoM Government of Malawi

ICT Information and Communications Technology

LPAC Local Project Advisory Committee

MGDS Malawi Growth Development Strategy

MoAIWD Ministry of Agriculture, Irrigation and Water Development

MoEST Ministry of Education, Science and Technology

MoH Ministry of Health

MoLGRD Ministry of Local Government and Rural Development

MoNREM Ministry of Natural Resources, Energy and Mining

MUST Malawi University of Science and Technology

NGO Non-Governmental Organization

PSD Project Support Document

RG Reference Group

SFDRR Sendai Framework for Disaster Risk Reduction

ToC Theory of Change

UNDAF United Nations Development Assistance Framework

UNDP United Nations Development Programme

USAID United States Agency for International Development

WSS Water Supply and Sanitation

# I. SITUATIONAL ANALYSIS

## Risk Profile

1. Malawi is vulnerable to many hazards and socio-economic shocks, which include floods, droughts, stormy rains, strong winds, hailstorms, landslides, earthquakes, pest infestations and disease outbreaks, fire, accidents, and fragile economy[[1]](#footnote-1) that often culminate in disasters. Malawi’s vulnerability is primarily linked to specific geo-climatic factors: (i) the influence of the El Niño and La Niña phenomena on the country’s climate, and the tropical cyclones developing in the Mozambique Channel, resulting in highly erratic rainfall patterns; and (ii) the location of the country along a tectonically active boundary between two major African plates within the great East African Rift System, causing earthquakes and landslides. The intensity and frequency of disasters have been exacerbated by climate change, population growth, urbanization and environmental degradation[[2]](#footnote-2). Weather related shocks continue to affect agricultural production which is the backbone of the country’s economy contributing 28% to GDP in 2017[[3]](#footnote-3). Consequently, Malawi’s food production is variable year to year[[4]](#footnote-4).
2. From 1979 to 2010, disasters cumulatively affected nearly 21.7 million people and killed about 2,596 people[[5]](#footnote-5). Disasters play a significant role in defining household poverty and national economic growth trends through economic losses and shocks to livelihood systems[[6]](#footnote-6). Given the wide range of hazards that Malawi is exposed to, both rural as well as urban households remain vulnerable to these hazards. Earthquake events have caused enormous damage and losses. For example, housing was the largest single sector adversely affected by an earthquake that occurred in Karonga in 2009. In the 2015 floods, 523,347 houses were partially or completely damaged representing the largest single sector affected by size of loss and reconstruction needs as well as total numbers of assets and people affected. Post disaster assessments of both the earthquake and flood disasters have clearly shown that poor design, poor siting, poor construction and poor construction materials are contributing to making houses and other buildings more susceptible to disasters[[7]](#footnote-7).

## Impact of disasters on socio-economic development

1. Disasters have eroded socio-economic development gains achieved by the country. Drought in 2015/2016 and floods in 2015 resulted in economic losses amounting to $366 million[[8]](#footnote-8) and $335 million[[9]](#footnote-9), respectively, which is equivalent to 5% of GDP, limiting the country’s ability to invest in key sectors. Disasters exacerbate poverty of rural and urban households with 50.7% of the population still living under the poverty line of $1 a day[[10]](#footnote-10). Using the international poverty line of US$1.90 per person per day (at 2011 international prices), Malawi’s poverty rate in 2016 was estimated at 69.6%, and was projected to fall further as a result of the 2015 floods and the subsequent drought of 2016 (IMF, 2017)[[11]](#footnote-11).
2. The impacts of disasters are severely felt by poor and socially excluded groups, especially women, children, the disabled and the elderly, whose capacity to prepare for, respond to, and recover from disasters is limited. For example, increasing water stress can dramatically increase the labor burden associated with water collection in rural and poor urban environments; and child malnutrition linked to climate change reducing protein and micronutrient contents of staple foods could have irreversible, negative life-time consequences for affected children[[12]](#footnote-12).
3. In recent years, rapid urbanization estimated at 15%[[13]](#footnote-13) per annum has exerted pressure on urban infrastructure, ecosystems and natural resources. The expansion of settlements particularly in dangerous locations, informal and peri-urban areas with no social and basic services increase the vulnerability of urban population to hazards such as fire and floods[[14]](#footnote-14). It is estimated that almost 67% of the urban population live in informal areas that complicate planning for the provision of basic services, consequently increasing vulnerability of communities living in these settlements to the impact of hazards[[15]](#footnote-15). Some settlements have spread to fragile and high-risk areas such as wetlands, steep slopes and river banks, thereby increasing vulnerability to hazards and threatening lives and property.
4. The terrain for Malawi coupled with environmental degradation and unsustainable land use practices has increased the vulnerability of ecosystems and people. This situation has reduced the vegetative cover to hold water, and areas in the receiving end of catchments are vulnerable to disasters and there is a significant gap in provision of timely early warning information to facilitate timely evacuation and safeguard lives, assets and livelihoods.
5. The PS seeks to address the challenges faced by women and other vulnerable groups by strengthening local government structures and communities in risk knowledge, risk reduction, risk governance, disaster preparedness, response and recovery in rural, urban and peri-urban areas.

## National and Local-level Disaster Risk Governance

1. A robust legal framework fosters good governance as the driving force to ensuring that public institutions and systems protect and benefit all people in line with national constitutional requirements (GoM, 1994). Malawi’s DRM implementation is guided by the National DRM Policy of 2015, and the Disaster Preparedness and Relief Act of 1991, which makes provision for the coordination and implementation of measures to alleviate effects of disasters. The adoption of the NDRM Policy in 2015 was a major step towards ensuring that DRM is integrated in development planning by all sectors in pursuit of sustainable development in the country[[16]](#footnote-16). However, the Act is not well aligned to resilience building notion propagated by the Policy and other international and regional DRR protocols to which Malawi is signatory[[17]](#footnote-17).
2. Addressing this challenge, the country has developed a DRM Bill 2018 which is awaiting presentation, debate and adoption by Parliament to replace the Disaster Preparedness and Relief Act (DPRA) of 1991. The DRM Bill provides for the development of a comprehensive, integrated and coordinated disaster risk management system aimed at preventing or reducing the risk of disasters, mitigating the severity of disasters, fostering emergency preparedness, and providing a rapid and effective response to disasters and post-disaster recovery, among core objectives[[18]](#footnote-18). However, delays in passing of the DRM Bill into an Act of parliament has implications for systematic resource allocation by Government towards DRM, especially with regard to operationalization of decentralized DRM services, which is one of the core features of the proposed law.
3. In terms of institutions and coordination arrangements, the local level institutional framework for DRM in the country is generally weak due to a number of factors. Malawi has 28 districts, over half of which have no dedicated DRM personnel. The positions for DRM personnel are not established (they are temporary). Given that District-based DRM positions are non-established and effected only in 11 districts considered disaster-prone. The rest of the districts and urban authorities only have Desk Officers, who on top of their core duties by appointment, are assigned as DRM focal persons. At the level of Assistant District Disaster Risk Management Officers (ADDRMOs), the positions are relatively junior to most other institutions within the district secretariat, thereby limiting the capacity of the officers in coordination of disaster management functions and level of authority[[19]](#footnote-19). “Non-disaster prone” districts only have desk officers that are not obliged to perform the functions of ADDRMOs, especially when they are overwhelmed by their institutional activities[[20]](#footnote-20).
4. Civil Protection Committees (CPCs) are only functional in a few disaster-prone areas. In most cases, CPCs are constrained by lack of material and operational support such as transport, communication equipment (phones, megaphones, whistles etc.) and protective clothing (AH Consulting, 2017). Most CPCs are functional where there are active NGOs and projects, absence of a sustainable support system is a threat to the sustainability of functionality of CPCs.
5. The PS will advocate expedited passing of the DRM Bill into law as one way of operationalizing DRM structures that will spearhead coordination of DRR stakeholders and actions, resulting in improved mainstreaming and integration of DRR in sector policies, strategies and plans. It will advocate and facilitate establishment of district DRM Offices and local level DRM committees, and training them in essential DRM and coordination techniques. This is envisaged to strengthen the management and coordination of DRM players and interventions in local authorities. The programme in supporting the establishment of Disaster Risk Management Office, will implement recommendations of the Devolution Guidelines for DRM and strengthen the planning and performance of DRM sector to coordinate different players towards a common goal.
6. As an immediate remedy to prevalent personnel challenges in local authorities, UNDP will recruit personnel (UNVs) to support implementation of DRM interventions as an interim measure. Additionally, UNDP will develop partnerships and lead stakeholders towards integrated management of ecosystems, the environment and natural resources for purposes of reducing the root causes of vulnerability. The country has 3 priority catchments: Lufiria and North Rukuru; Linthipe; and Shire river catchments. Within these there are sub catchments that the Programme will target, the determination of which shall be reached through a consultative process with relevant stakeholders. The Ruo River, which causes havoc (floods) in Nsanje district falls under the Shire River Catchment. Lufiria and North Rukuru catchment is responsible for floods in Karonga (northern Malawi).
7. The programme will advocate a systems approach to implementation of DRR interventions, and will partner with key DPs including DfID and other institutions to deliver nature-based solutions to addressing disaster-related vulnerability. Partnerships are envisaged to reduce transaction costs, and expand benefits accruing from diverse but integrated interventions focused on economic opportunities, climate change adaptation and disaster resilience.

## Risk reduction and recovery in disaster prone urban and rural areas

1. The country has recently witnessed disasters of high magnitude and frequency in districts and areas that have not experienced disasters in the past. Floods have occurred in cities and urban areas, which have traditionally not been considered in national disaster risk management efforts. The country experienced devastating floods in the 2014/15 season and continuing dry spells leading to an agricultural drought in the 2015/16 season. Post disaster assessments were conducted in order to estimate the impact and recovery needs of the affected population and sectors, and a number of recovery, rehabilitation and reconstruction interventions have been implemented. Additionally, Multi-Hazard Contingency Plans (MHCPs) have been developed to prepare for, and respond to the country’s cyclic hydro-meteorological hazards at national and district levels.
2. The National DRM symposium held on the 17th and 18th October 2018 noted that despite progress in strengthening national coordination mechanism, there was weak institutional coordination capacity in particular reference to the coordination of recent flood and drought disaster response interventions. It was noted that stakeholders were not effectively coordinated and this compromised the targeting of most vulnerable populations, and prioritization of most urgent needs. It has been noted that the 2015 floods exposed the weak forecasting and early warning systems in Malawi (GoM, 2015). Additionally, limited resource capacity has hampered strategic mobilization and deployment of relief and rescue materials and services. Also, there was weak capacity in search and rescue including early recovery coordination. Capacity building in recovery planning and coordination including the integration of building back better (BBB) principles in recovery will assist to address the identified gaps. The UNDP PS evaluation report recommended the need to support DRM capacity building in developing early recovery plans and coordination during implementation of these plans[[21]](#footnote-21).
3. DRM plans, standard operating guidelines for disaster assessments[[22]](#footnote-22), and for building back better in recovery and reconstruction[[23]](#footnote-23) are either developed or are being developed by various sectors for specific interventions but adoption, institutionalization or implementation is generally low. UNDP has supported all city and municipal councils in the country with the development of DRM plans[[24]](#footnote-24). However, weak technical and resource capacity is threatening implementation of these plans as local authorities have very limited resources for DRM activities because they have no nationally allocated budgets for such interventions. Response and recovery resources are only provided in times of disasters, often with the support from humanitarian development partners.
4. Stakeholders in a recent National DRM Coordinating Committee convened by DoDMA in collaboration with UNDP recommended the implementation of DRM interventions prioritized in the NRS with a particular emphasis on risk reduction and addressing the root causes of vulnerability[[25]](#footnote-25). The NRS has prioritized the following districts: Karonga and Rumphi in the north; Salima in the central; and Machinga, Nsanje, Zomba, Chikwawa, Phalombe in the south. The PS will enhance UN coordinated support to the GoM underpinned in UNDAF which seeks to strengthen disaster risk reduction management, including prevention, preparedness, and early response and recovery, with a focus at community level.
5. There have been commendable national efforts towards promoting the integration of DRR in the education sector. The GoM has been working with education institutions to integrate DRM in primary school teacher and learner’s curricula as a way of building capacity in DRM. These efforts will be scaled-up through supporting implementation of DRR in schools and dissemination of social marketing tools for DRR.
6. In order to address low progress to implement DRM plans in local authorities, the PS seeks to provide technical and catalytic resource support in form of grants to local authorities in all four cities and four municipalities supported through previous interventions to establish functional DRM system thereby contributing towards putting them on a DRM institutionalization trajectory. The PS will strengthen preparedness capacity and adoption of BBB in recovery, rehabilitation and reconstruction through**:**
7. Facilitating development of and operationalization of Multi-Hazard Contingency Plans (MHCPs)[[26]](#footnote-26).
8. Operationalizing DRM plans for all city and municipal councils, which require implementation.
9. Providing performance based investment grants to district councils for actualization of priority risk reduction interventions[[27]](#footnote-27).
10. Facilitating community preparedness drills and enhancing reporting mechanisms[[28]](#footnote-28).
11. Supporting training and equipping DRM committees with essential emergency tools (e.g. search and rescue).
12. Developing and implementing resilient oriented early recovery plans for populations displaced by hazard events.
13. Facilitating construction of evacuation centers to provide safe havens during hazard events.
14. Promoting implementation of DRR in schools (primary, secondary and tertiary) and dissemination of social marketing tools for DRR.

## Planning, monitoring and evaluation of disaster risk management interventions

1. Planning, monitoring and evaluation is key to effective DRM given the multi-disciplinary nature of the sector. Coordination capacity gaps have been noted at both national and district levels. As discussed above, a recent national DRM symposium recommended the need to strengthen DoDMA’s coordination capacity, emphasizing DoDMA’s role in coordination of monitoring, evaluation and reporting functions by all sectors through an integrated M&E system.
2. Part of the challenge to have a robust M&E system for the DRM sector is lack of time series data on key indicators for the DRM sector and lack of an information management system. Innovation of an information management system lies in its ability to serve different stakeholders in different ways that meet their array of needs towards a common vision [[29]](#footnote-29). A good information management system should contribute to making data and information readily available to, and easily accessible by various stakeholders, and facilitate information exchange and learning, among other features. Specific focus will be on standardizing and formalizing DRM data collection, management and reporting techniques and templates. It will support district-based and local level DRM institutions to collect, manage and report reliable and generally acceptable data to inform decision-making. In this regard, UNDP will support the recruitment and deployment Information and Communications Technology (ICT) Officers to selected districts to support the execution of this task (this includes offering on-the-job risk data management training to local level DRM structures).
3. DoDMA maintains a disaster profile that is updated annually. However, this does not allow for a comprehensive analysis of hazards and early action as it is not user-friendly. UNDP PS evaluation report noted a constraint regarding the absence of a robust information management system or database to enhance access to data or information for DRR decision-making in government, private sector, civil society and communities. Various DRR players are using different systems and techniques for collection and management including dissemination of DRR data and information, making it difficult to consolidate or analyze the data for informed decision-making. Additionally, gaps exist in terms of generation and management of sex and age disaggregated data (SADD), which limits the planning for, and management of gender-specific interventions. Furthermore, there is limited risk knowledge downscaled to grassroots level[[30]](#footnote-30), which compromises the adoption of a culture of safety among communities living in disaster-prone areas.
4. With Support from UNDP, DoDMA is upgrading its risk data management systems to address prevalent data management challenges. Presently, these efforts are limited to the national level data management center at DoDMA Headquarters but need to be propagated to local authorities from which most risk data on losses, damages and mitigation actions originate.

## Lessons Learned from Previous DRM and Resilience Interventions

1. DRM interventions implemented in the past 2 decades were predominantly response-focused, aimed at building preparedness and response capacity of DoDMA to coordinate national disaster preparedness and response programmes. Little focus was given to building resilience and reducing the risk to hazards and preventing future disasters.
2. Recent experience with the drought and floods of 2015 and 2016, respectively, has ignited a new perspective on DRM landscape in the country fostering the rethinking of development support in pursuit of the aspiration to break the cycle of humanitarian crises. Propagated through the National Resilience Strategy 2018-2030, this new thinking promulgates uprooting the causes of vulnerability as opposed to focusing on disaster preparedness and response.
3. NGOs have made notable contributions to DRM especially through their direct operations in disaster-prone districts. Most of the past interventions were responding to crises during disaster events, and thus failing short of addressing the root causes of vulnerability. However, recent efforts of NGOs are tending towards building the resilience of communities to abate cyclic crises posed by natural disasters, which are exacerbated by climate variability and change.
4. Building resilience requires the adoption and institutionalization of adaptable systems approaches, targeting multiple sectors at multiple levels. However, the national level framework for DRM has generally been weak, especially at the local level, to harness DRM efforts and approaches towards a common path and goal.

## Linkages between MGDS III, SDGs, SFDRR, NRS and UNDAF Outcomes on DRM

1. Disaster Risk Management (DRM) is a Key Priority Area (KPA) articulated in the Malawi Growth Development Strategy (MGDS III) linked to the country’s aspiration to achieve the Sustainable Development Goals (SDGs) by 2030. In addition, DRM is treated as a separate Key Priority Area (KPA) in addition to being integrated in four KPAs of the MGDS III (Table 1).
2. The coherence between DRM UNDAF Outcome 7, “By 2023, households have increased food and nutrition security, equitable access to healthy ecosystems and resilient livelihoods” and MGDS III goal, “to reduce vulnerability and enhance resilience of population to disasters and socio-economic shocks” (MGDS III, 2017-2022) sets a strong DRM trajectory in the country.

**Table 1: Coherence between MGDS III, SDGs and SFDRR**

| **MGDS KPAs** | | **SDGs** | **SFDRR** |
| --- | --- | --- | --- |
| Agriculture and Climate Change | | Goal 1: Ending poverty in all its forms everywhere | **Target 1.5**: Reduce exposure of the poor to climate relate extreme events and disasters |
|  | Goal 2: Ending hunger, achieving food security and promoting sustainable agriculture | **Target 2.4**: Strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters | |
| Goal 3: Ensure healthy lives and promote well-being for all at all ages | Target 3.6: Develop early warning and reduce risk of national and global health | |
| Goal 11: Make cities and human settlements inclusive, safe, resilient and sustainable | Target 11.5: Significantly reduce the number of deaths, affected and economic losses by disasters | |
| Goal 13: Combating climate change and its impacts | Target 13.1: Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters | |
| Goal 15: Reversing land degradation | Target 15.3: Restore land affected by drought and floods | |
|  | | | |
| Education and Skills Development | Goal 4: Ensuring inclusive and equitable quality education and promote lifelong opportunities for all | Target 4a: Build and upgrade educational facilities that are safe | |
| Goal 9: Building resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation | Target 9.1: Develop quality, reliable, sustainable and resilient infrastructure | |
|  | | | |
| Transport and ICT Infrastructure | Goal 1: Ending poverty in all its forms everywhere | Target 1.5: Reduce exposure of the poor to climate relate extreme events and disasters | |
| Goal 2: Ending hunger, achieving food security and promoting sustainable agriculture | Target 2.4: Strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters | |
| Goal 9: Building resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation | Target 9.1: Develop quality, reliable, sustainable and resilient infrastructure | |
|  | | | |
| Health and Population Management | Goal 1: Ending poverty in all its forms everywhere | Target 1.5: Reduce exposure of the poor to climate relate extreme events and disasters | |
| Goal 3: Ensure healthy lives and promote well-being for all at all ages | Target 3.6: Develop early warning and reduce risk of national and global health | |
| Goal 5: Achieve gender equality and empower all women and girls |  | |
| Goal 6: Ensure availability and sustainable management of water and sanitation for all | Target 11.5: Significantly reduce the number of deaths, affected and economic losses by disasters | |
| Goal 8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all |  | |

Source: Adapted from MGDS III 2017-2022

1. The National Resilience Strategy (NSR) reinforced DRM aspirations embedded in the MGDS III given the development-humanitarian nexus. Pillar 2 of the NRS underscores the need to mainstream DRM across sectors and administrative levels (outcome 2.1); flood prevention and control (outcome 2.2); effective early warning systems (outcome 2.3); and disaster preparedness, response and recovery (outcome 2.4). The NRS is viewed as an instrument of development that must enable, facilitate and promote development and change given the disaster-development nexus.
2. The overall goal of the programme support, “Sustainable social and economic development resulting from reduction in losses and damages from hazards” is aligned to the overall goal of the Country Programme 2019-2023, “Malawi actively respond to climate change, prevent disasters, strengthen sustainable natural resources management and environmental protection (CPD, 2019-2023)”.
3. The United Nations Development Assistance Framework (UNDAF) 2019-2030, aligns itself with the MGDS III and supportive development policy instruments and strategies of Malawi such as the NRS 2018-2030. In tandem with MGDS III and the NSR, UNDAF commits to contribute coordinated UN interventions to the Ministry of Local Government and Rural Development (MLGRD) and other relevant stakeholders to strengthen the sub-national capacity to implement national laws and policies and to strengthen the sub-national government capacity to deliver services to the public. Thus, the programme support will enhance UN coordinated support to the GoM underpinned in UNDAF which seeks to strengthen disaster risk reduction management, including prevention, preparedness, and early response and recovery, with a focus at community level.

### DRM Policy and Implementation linkages

1. A National Disaster Risk Management Policy (NDRMP) was adopted in 2015. The policy was framed according to the Hyogo Framework for Action on Disaster Risk Reduction (HFADRR 2005-2015), a global predecessor instrument of the Sendai Framework for DRR (SFDRR 2015-2030). Both instruments have the same aspirations despite having different number of pillars (Table 2). Primarily, the DRM Policy provides a framework to guide how the country could safeguard its socio-economic development gains given the nexus between disasters and development. DRM Operational Guidelines and Standard Operating Procedures support the implementation of the National Disaster Risk Management Policy. They are considered as part of Malawi government’s policy framework on disaster risk management (DoDMA, 2017)[[31]](#footnote-31). The Malawi Growth and Development Strategy III, 2017-2022 (MGDS III) also provides a policy basis for DRM in Malawi in tandem with the NDRMP. Other policy instruments that are supportive to DRM include the National Climate Change Management Policy (2016) and National Resilience Strategy (NRS) 2018-2030.
2. Implementation of the Programme Support should be aligned with the SFDRR and national development frameworks such as the National Climate Change Management Policy (2016), National Disaster Risk Management Policy (2015), National Resilience Strategy (NRS) 2018-2030, MGDS III 2017-2022 and SDGs 2015-2030. A Draft DRM Bill, 2018 was developed to replace the Disaster Preparedness and Relief Act of 1991. The Bill is awaiting parliamentary presentation, debate and approval. The Bill provides comprehensive legislative framework for DRM in the country. The Programme Support should advocate for the passing of the DRM Bill (2018) into law as this is critical to strategic DRM implementation in the country, including the establishment and operationalization of district and local level DRM structures.
3. The DRM Policy has gaps with regards decentralized institutional arrangements for DRM. It is argued that the Bill once promulgated into law will set the country on a proactive DRM and resilience building trajectory. The Programme Support will support the establishment of fully functional model District DRM systems to provide the impetus for operationalization of effective decentralized DRM systems in the country. Additionally, it will support urban councils to review, develop and implement DRM Plans leading to institutionalization of DRM.

**Table 2: Linking HFA priorities to SFDRR**

|  |  |  |
| --- | --- | --- |
| **HFA** |  | **SFDRR** |
| **Priority for Action 1**  Ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation |  | **Priority for Action 2**  Risk governance:  Strengthening disaster risk governance |
| **Priority for Action 2**  Identify, assess and monitor disaster risks and enhance early warning |  | **Priority for Action 1**  Risk knowledge:  Understanding disaster risk |
| **Priority for Action 3**  Use knowledge, innovation and education to build a culture  of safety and resilience at all levels |
| **Priority for Action 4**  Reduce the underlying risk factors |  | **Priority for Action 3**  Investment in DRR for resilience:  • Reducing existing risk  • Preventing new risk generation |
| **Priority for Action 5**  Strengthen disaster preparedness for  effective response at all levels |  | **Priority for Action 4**  Enhancing preparedness for response and Build Back Better  • Preparedness  • Build back better |

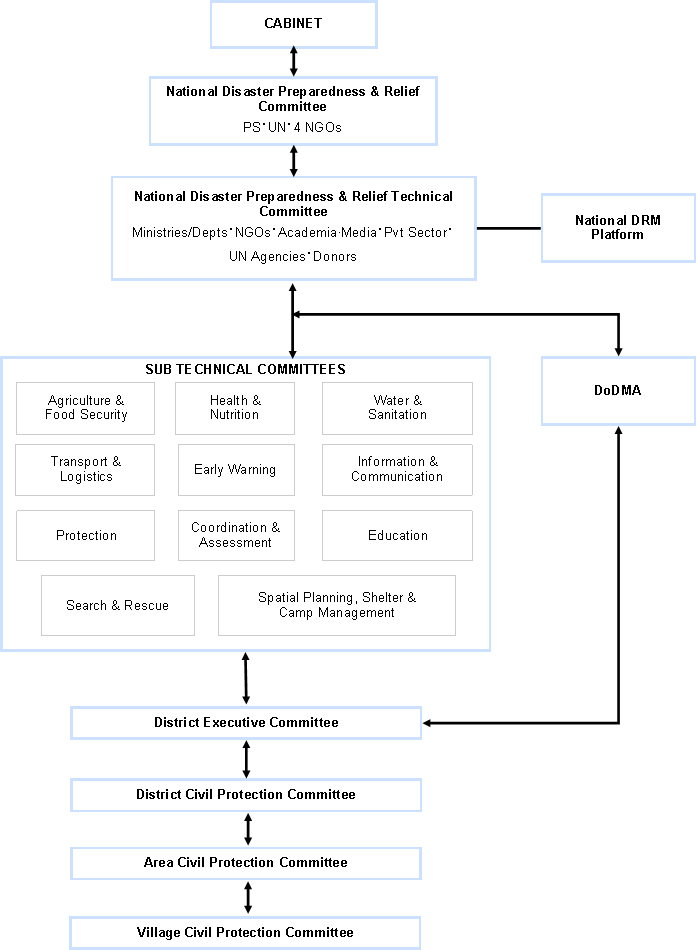
Source: UNISDR, 2015

### National Resilience Strategy

1. The Department of Disaster Management Affairs is forging towards setting Malawi on an integrated resilience trajectory. This aspiration was echoed during the National Disaster Risk Management Platform symposium and Commemoration of the International Day for Disaster Reduction held on the 17-19th October 2018. The cyclical food insecurity posing severe humanitarian crisis prompted the GoM, with the support of the UN and other humanitarian and development partners to seek a durable solution. In line with this aspiration, building resilience was conceived as a “game changer” in breaking the cycle of food insecurity in Malawi. Relatedly, DRM was recognized as a critical tool to setting the country on a resilience trajectory. Pillar 2 of the National Resilience Strategy (NRS) underpins the importance of mainstreaming DRM across Sectors and Administrative levels. The NRS also advocates flood prevention and control; early warning systems; and disaster preparedness, response and recovery. UNDP, through the Programme Support, aligns its support to actions articulated in pillar 2 of the NRS, which is integral to all NRS pillars as all sectors are impacted by cyclical sudden and slow onset climate shocks.

### National DRM Institutional Coordination Mechanism

1. The Disaster Preparedness and Relief Act of 1991 sets forth the National Disaster Preparedness and Relief Committee (NDPRC[[32]](#footnote-32)) as the high-level entity entrusted with the responsibility of coordinating disaster management activities in the country. The NDPRC comprises Principal Secretaries plus a maximum of five members representing national and international NGOs and appointed by the Minister. The committee reports to Cabinet (Figure 1).
2. The National Disaster Preparedness and Relief Technical Committee (NDPRTC[[33]](#footnote-33)) is the technical arm of the NDPRC that serves as the de facto National Disaster Risk Management Platform for Malawi. The NDRMTC comprises technical staff at the level of directors in Government, NGOs, media, academia, private sector, UN and donor agencies. It is chaired by the Principal Secretary of DoDMA it reports to NDPRC. The DRMTC provides co‐ordination and oversight of disaster management technical activities through sub-committees (some of which also operate as humanitarian clusters). Currently, the technical DRM sectors are grouped into 11 sub-committees as follows: Agriculture and Food Security; Health and Nutrition; Water and Sanitation; Information and Communication; Transport and Logistics; Search and Response; Spatial Planning, Shelter and Camp Management; Early Warning; Education; and Protection. The orientation of subcommittees however has a response lens and the functionality of these clustered is biased towards response and social protection.



**Figure 1: Current National DRM Institutional Structure**

1. At Local Authority level, Councils[[34]](#footnote-34) are responsible for DRM in accordance with the powers vested in them under section 40 of the Local Government Act (LGA), 1998. The LGA provides a leeway to councils to take the most appropriate action, including the allocation of finances and preparation of disaster preparedness plans, to avert disasters (GoM, 1998).
2. In accordance with the proposed DRM bill, District Commissioners or Chief Executive Officers (CEOs) (as the case may be) shall have the overall responsibility for coordinating directing, controlling, coordinating and overseeing all disaster risk management functions and components at district level[[35]](#footnote-35). Their functions shall be supported by DRM Officers and DRM Committees, which shall bear the responsibility of coordinating and overseeing implementation of disaster risk management operations within a local government area through respective institutions at district, area and village levels[[36]](#footnote-36).
3. The Programme will embark on strengthening the institutional capacity for DRM coordination at sub-national levels through supporting the establishment of fully functional model District DRM systems and ensuring impact at the community level.

### UN Coordination Mechanisms in DRM

The UN provides humanitarian support to the GoM through the cluster framework with each UN Agency having a designated role accordance to the Interagency standing committee[[37]](#footnote-37). UNDP is the cluster lead for Early Recovery Planning and Coordination in post disaster events. UNDP has an agreement with the World Bank and European Commission to coordinate in conducting post disaster needs assessments. In Malawi, UNDP collaborated with the World Bank, European Commission and other development partners in floods and drought post-disaster needs assessments and recovery frameworks. Strengthening early recovery planning and coordination is a key priority for the programme support given capacity gaps identified in this area.

1. The UN is committed to reduce humanitarian needs and will work to strengthen disaster risk reduction management, including prevention, preparedness, early response and recovery, with a focus at the community level (UNDAF 2019-2023). This will involve a number of interventions aligned to the pillars of the National Resilience Strategy (NRS). In particular, pillar 2 supports action to strengthen capacity in risk reduction, flood control, early warning, response and recovery systems. It propagates interventions aimed at protection against disasters, saving lives, the environment and increasing productivity. Central to UN coordination mechanisms in DRRM is reducing risk for all Malawians, especially women and children, and other marginalized and nutritionally vulnerable groups to disasters.
2. As a lead agency for the Natural Resources, the Environment and Disaster Risk Management cluster, UNDP will facilitate UN coordinated efforts and support DoDMA, relevant government and non-state actors on DRM and resilience building. UN coordination mechanisms will be aligned towards contributing to the achievement of UNDAF pillar 3[[38]](#footnote-38), and outcome 7[[39]](#footnote-39). In this regard, UNDP will seek joint interventions with UN Agencies such as UNICEF, WFP, FAO and the World Bank (WB); DfID and NGOs with whom it has collaborated in the past, to support urban councils with implementation of DRM and resilience building interventions.
3. In line with UNDAF Pillar 3 and Outcome 7, UNDP will specifically, contribute towards the achievement of DRM and resilience building results articulated in the Programme Support. In the previous programme support cycle (2012-2016), UNDP maintained its upstream focus, ensuring the achievement of requisite capacities, legal and institutional mechanisms at national level. While maintaining its upstream support, this programme cycle will focus on supporting the establishment of fully functional model District DRM systems and ensuring impact at the at sub-national levels. UNDP will support the up-scaling of Community Based Disaster Risk Management (CBDRM) interventions through small grants facility to complement interventions in M-CLIMES Projecton Community Based Early Warning System (CBEWS) initiative.

1. Despite awareness efforts and consensus on the need to mainstream DRM into sector plans and budgets including district development plans, support is still required towards building and strengthening technical capacities of sectors and districts to mainstream DRM. Strengthening capacities in national disaster risk assessment and mapping, data generation and information management, DRM coordination at national and district levels, will be central to UNDP’s on-going support.

# II. STRATEGY

## Overview of strategy

1. The Government of Malawi recognizes DRM as a key priority area towards achievement of the aspirations of the Malawi Growth and Development Strategy (MGDS) III. The goal of DRM within the MGDS III is to reduce vulnerability and enhance resilience of population to disasters and socio-economic shocks and work towards the achievement of global Sustainable Development Goals (SDGs). Additionally, the GoM assented to the Sendai Framework for Disaster Risk Reduction (SFDRR), an overarching framework aimed at safeguarding socio-economic development gains from the impact of hazards and disasters. Given the nexus between disasters and development, the PS anchors its support to interventions addressing the root causes of vulnerability while strengthening national and local government institutional capacity in disaster risk governance, risk reduction, preparedness, response and recovery.
2. The GoM has established structures for DRM with progress mainly at national level. Currently, Malawi does not have a model district that has a fully functional DRM system. It has been established through several assessments and evaluations that many DRR interventions in Malawi have focused mainly on response as opposed to the full DRM cycle, i.e. prevention, preparedness, response, and recovery. For more effective change, technical and financial resources need to be devoted to comprehensive DRM systems strengthening as an essential element to strengthen resilience of vulnerable populations. There is a need to extend DRM systems support to district and community levels.

1. Aligned to the country’s DRM priorities encapsulated in DRM legal and policy frameworks and related instruments, the programme support will prioritize the establishment of fully functional model district DRM systems in 8 districts, 4 cities and in 3 municipal councils. Strong collaboration and synergy will be facilitated with the aim to scaling-up ongoing related interventions such as CBEWS promulgated under the M-CLIMES project.

## Rationale for UN Interventions and operational strategy for achieving outputs and outcomes

1. UN interventions in support of the GoM are guided by UNDAF 2019-2023. They predominantly support national development priorities embedded in the MGDS III, 2019-2022 and related development strategies such as the NRS, 2017-2030, which are progressively aligned towards realization of the Sustainable Development Goals for Malawi.

1. The programme support is aligned to UNDP Strategic Plan for 2018-2021, outcome 3 on building resilience to shocks and crises. As described above, UN interventions seek to reduce humanitarian needs and work towards strengthening: (a) the understanding of disaster risk, (b) governance for risk reduction, and (c) preparedness, response and resilient recovery capacity integrating the principles of building back better (BBB).
2. In addition to supporting the strengthening of national level coordination capacities, the programme support emphasizes strengthening district-level cluster coordination, among other capacity building interventions and finding space to influence risk reduction work in the orientation of clusters. The districts exhibit poor cluster coordination, have limited and disaggregated risk data, and limited knowledge of the minimum initial services package for effective response. These limitations have a ripple effect retarding the achievement of development outcomes in several other sectors including food and nutrition security, health and environment.
3. The PS will foster partnerships with other UN agencies and NGOs to address these challenges in an integrated manner using the systems approach, in pursuance of UNDAF Priority 3, which calls upon UN Agencies to work collectively towards achieving increasing household level food and nutrition security, equitable access to healthy ecosystems and WASH and resilient livelihoods (UNDAF 2019-2023: Outcome 7).

## Theory of change

1. In the past decade, programme support on DRM including other national efforts have placed more attention on supporting DoDMA, the national body responsible for coordinating DRM in the country. This support has commendably enhanced national coordinating capabilities of DoDMA. However, despite the existence of national institutional DRM coordination structures, these have not taken root at district and local levels. As discussed in the preceding section, district DRM systems are not fully functional thereby affecting effective coordination. Consequently, this has hampered systematic efforts towards the mainstreaming of DRM in District Development Plans (DDPs) including their implementation. Staffing challenges have been noted including the absence of positions and inconsistence of positions of DRM Officers in comparison to other sectors. In order to address this gap, the programme support, while consolidating progress achieved in terms of national institutional coordination capacities, more focus will be placed on strengthening district level coordination capacities through supporting the implementation of functional DRM system. Thus, the PS will provide support towards DoDMA functionality in selected districts.
2. Considerable upstream support has contributed to the strengthening of the country’s policy and legal framework on DRM. A National DRM Policy (2015) is in place and a corresponding DRM Bill (2018) was developed that aligns with the country’s aspirations to reduce socio-economic impact of disasters and to achieve socio-economic sustainable development through investments in disaster risk reduction. A number of policy instruments and strategies supportive to DRM such as the National Climate Change Policy (2016), MGDS III 2017-2022 and the National Resilience Strategy 2018-2030 have been developed but implementation is often limited due to resource constraints, among other factors.
3. In supporting operationalization and implementation of proposed national DRM law and policy and related instruments, in tandem with UNDAF, the PS will coordinate UN interventions aimed at strengthening the role of the Ministry of Local Government and Rural Development (MLGRD) and other relevant stakeholders including sub-national entities in DRM service delivery. Effective implementation of these instruments is critical towards the realization of sustainable socio-economic development in Malawi.
4. The PS will spearhead implementation of DRM priorities embedded in the NRS and related Climate Change Policy priorities towards addressing climate risk through DRM as a tool for mitigation and adaptation of climate risk. Thus, the PS will support collaboration of efforts towards the integrated implementation of the National DRM Policy, National Climate Change Policy and National Resilience Strategy.
5. Stakeholders in a recent National DRM Coordinating Committee convened by DoDMA in collaboration with UNDP recommended the implementation of DRM interventions prioritized in the NRS with a particular emphasis on risk reduction and addressing the root causes of vulnerability[[40]](#footnote-40). The NRS has prioritized the following districts: Karonga and Rumphi in the north; Salima in the central; and Machinga, Nsanje, Zomba, Chikwawa, Phalombe in the south. The PS will enhance UN coordinated support to the GoM underpinned in UNDAF which seeks to strengthen disaster risk reduction management, including prevention, preparedness, and early response and recovery, with a focus at community level.
6. The PS will provide support to strengthen DoDMA’s M&E function through the development and operationalization of an M&E framework to facilitate reporting on DRM interventions by sectors.
7. In order to address low implementation of DRM plans in local authorities, the PS will provide technical and catalytic resource support in form of investment based grants to local authorities in all four cities and selected municipalities towards establishment of functional DRM systems. This is envisaged to increase the councils’ understanding of risk, the adoption and institutionalization of governance measures, and the implementation of risk reduction, response and mitigation measures as propagated by the Sendai Framework for Disaster Reduction and the national DRM and sustainable development frameworks.
8. In the area of Information Management, the PS will focus on increasing the understanding of disaster risk by strengthening systems and techniques for risk data collection and management. It will support integration of DRM risk assessment and monitoring into district-level sectors and programmes. This takes cognizance of the haphazard nature of risk assessments and inherent data inadequacies for informed risk planning and management. Specific focus will be on standardizing and formalizing DRM data collection, management and reporting techniques and templates. It will support district-based and local level DRM institutions to collect, manage and report reliable data in generally acceptable formats to inform decision-making. In this regard, UNDP will support the recruitment and deployment of ICT Officers to selected districts to support the execution of this task (this includes offering on-the-job risk data management training to local level DRM structures). Increased risk knowledge at all levels: household, community, district and national will not only inform the design of risk reduction measures but also, promote the adoption of a culture of safety among Malawians.
9. The PS pays particular attention to addressing the root causes of vulnerability, a paradigm shift towards achieving resilience and sustainable socio-economic development in Malawi. Comprehensive diagnosis of root causes will be conducted, as part of baseline assessments, to understand prevalent root causes of vulnerability, their interrelationships with broader geographic and development challenges for ease of exploring and piloting systematic prioritized interventions proposed in DRM plans. This takes cognizance that hazards are not confined to sectoral and administrative boundaries and disasters in one sector or geographic location (e.g. district) may emanate from the challenges caused by another sector or location.
10. The ToC for the PS is anchored on a pathway to achieve sustainable social and economic development resulting from reduction in losses and damages from hazards (Annex 2). This goal is in tandem with the country’s overall DRM goal outlined in MGDS III: “To reduce vulnerability and enhance resilience of population to disasters and socio-economic shocks”. The PS will contribute to the overarching national priority or goal that: “Malawi actively respond to climate change, prevent disasters, and strengthen sustainable natural resources management and environmental protection” (CPD 2019-2023).
11. The PS outcome is, “By 2023, women, youth, vulnerable groups and communities in disaster prone rural and urban areas are more resilient to hazards and benefiting from integrated interventions in risk knowledge, risk governance, risk reduction, and disaster preparedness, response and recovery”. It is aligned to UNDP’s Strategic Plan 2017-2021 outcome: “Strengthening resilience and shocks to crises”.
12. In collaboration with DoDMA, UNDP will use its existing networking potential with other development partners to garner support towards implementing the core elements of the PS, by aligning priority actions with their strategic goals and objectives and appraising them of the program’s work and results so as to maximize synergy and impact.
13. The interrelated specific outputs of the ToC encapsulate the Sendai priority areas:
14. **Output 1:** **Strengthened national and local-level disaster risk governance**. This output contributes to the UNDAF aspiration on coordinated UN interventions to be established with the Ministry of Local Government and Rural Development and other relevant stakeholders to strengthen the sub-national capacity to implement national laws and policies and to strengthen the sub-national government capacity to deliver services to the public. In line with this aspiration, the PS will develop partnerships and lead stakeholders towards integrated management of ecosystems, the environment and natural resources for purposes of reducing the root causes of vulnerability. UNDP will advocate a systems approach, and will partner with key DPs including DfID and other institutions to deliver nature-based solutions to addressing vulnerability. Partnerships are envisaged to reduce transaction costs, and expand benefits accruing from diverse but integrated interventions focused on economic opportunities, climate change adaptation and disaster resilience.
15. **Output 2: Improved risk reduction and early recovery in disaster prone urban and rural areas.** This output is aligned to the UNDP CPD 2019-2023 which aims to strengthen capacity of local government structures and communities for disaster preparedness, response, recovery and risk reduction in rural, urban and peri-urban areas. This aim is in line with pillar 3 of UNDAF pillar which seeks to enhance UN coordinated support to strengthen disaster risk reduction management, including prevention, preparedness, and early response and recovery, with a focus at community level. Within the UN, UNDP is mandated to support coordination of DRM, including capacity building and support to coordination structures at all levels, risk assessments and contingency planning, as well as providing sustainable solutions so that targeted communities graduate towards self-reliance and resilience.
16. **Output 3: Improved planning, monitoring and evaluation of the disaster risk management sector.** This output will support planning, monitoring and evaluation of DRM sector through strengthening M&E function of DoDMA and DRM reporting by sectors. Specifically, the PS will support integration of DRM risk assessment and monitoring into district-level sectors and programmes to address inherent data inadequacies for informed risk planning and management.
17. The ToC schematic change pathway (Annex 2) describes the activities, outputs, outcomes and impact of the programme support. The output column of the ToC template (Annex 3) indicate linkages with relevant global and national DRM policy instruments, strategies and frameworks.

# III. RESULTS AND PARTNERSHIP

## Expected Results

1. The programme support aims to achieve the following results:
2. Strengthened national and local-level disaster risk governance;
3. Improved risk reduction and early recovery in disaster prone urban and rural areas; and
4. Improved planning, monitoring and evaluation of the disaster risk management sector.

## Programme Outputs and Activities

1. The programme support will be delivered through the following outputs and activities:
2. **Output 1:** **Strengthened national and local-level disaster risk governance**. This output will be achieved through implementing the following activities.

**Activities**

1. Support the enactment of the DRM law and the establishment of district DRM Offices.
2. Support implementation of the Devolution Guidelines for DRM through providing training to local level DRM committees in essential DRM and coordination techniques in partnership with NGOs.
3. Provide technical and catalytic resource support to local authorities in all four cities and selected municipalities to implement DRM Plans towards institutionalization of DRM.
4. Recruit personnel (UNVs) where appropriate to support implementation of DRM interventions as an interim measure.
5. Develop partnerships and lead stakeholders towards integrated management of ecosystems, the environment and natural resources for purposes of reducing the root causes of vulnerability.
6. **Output 2: Improved risk reduction and early recovery in disaster prone urban and rural areas.** This output will be achieved through implementing the following activities.

**Activities**

1. Facilitate development of and operationalization of Multi-Hazard Contingency Plans (MHCPs) in 8 flood disaster prone districts.
2. Provide investment grants to district councils for actualization of priority risk reduction interventions (flood mitigation works).
3. Facilitate community preparedness drills and enhancing reporting mechanisms (linked to EWS from M-CLIMES and targeting special groups).
4. Support training and equipping DRM committees with essential emergency tools (e.g. search and rescue).
5. Develop and implementing resilient oriented early recovery plans for populations displaced by hazard events.
6. Facilitate construction of 4 evacuation centers to provide safe haven during hazard events.
7. Promote implementation of DRR in schools and dissemination of social marketing tools for DRR.
8. **Output 3: Improved planning, monitoring and evaluation of the disaster risk management sector.** This output will support planning, monitoring and evaluation of DRM sector through strengthening M&E function of DoDMA and DRM reporting by sectors. Specifically, the PS will support integration of DRM risk assessment and monitoring into district-level sectors and programmes to address inherent data inadequacies for informed risk planning and management.

**Activities**

1. Facilitate standardization and formalization of DRM data collection, management and reporting techniques and tools.
2. Develop DRM Information Management System in local-authorities and link with national level system (DRM database, 4Ws, DisInventar, DRM Library, website).
3. Provide technical support to NRS and DFID supported districts to support risk data management operations (this will complement EOC efforts from M-CLIMES).
4. Train district personnel in disaster risk data management.
5. Provide technical support to strengthen DoDMA M&E function through the development of an M&E framework to facilitate reporting on DRM interventions by sectors.

## Resources required

1. The total resources needed for this programme support are estimated at US $31 million. Out of this US $15 million is projected to be available already committed by UNDP from its core resources, other resources will be mobilized, of which US $4,327,105 million will be from the Department for International Development (DfID).

## Partnerships

1. The PS will develop partnerships and lead stakeholders towards integrated management of ecosystems, the environment and natural resources for purposes of reducing the root causes of vulnerability. UNDP will advocate a systems approach, and will partner with key DPs including DfID and other institutions to deliver nature-based solutions to addressing vulnerability. Partnerships are envisaged to reduce transaction costs, and expand benefits accruing from diverse but integrated interventions focused on economic opportunities, climate change adaptation and disaster resilience.

## Risks and Assumptions

1. The programme support 2019-2023 reaffirms the partnership of the UNDP and the Government of Malawi to reduce socio-economic impact of disasters and to achieve socio-economic sustainable development over the coming years. The programme is based on the assumptions that the GoM will be supportive; resources available; organizations, institutions, groups will be functional; policies will be operational; private sector responsive and accepting of interventions; focus on integrated efforts to achieve outcomes; programme implementation will be on track, implemented timely and beneficiaries will commit throughout the programme period and beyond.
2. The following risks are pertinent to programme success: Climate shocks (overwhelm capacity and efforts to build resilience); weak risk-informed programming; DRM Law not passed or delays in passing the law; Policies not reformed/implemented; Government lacking resources to implement DRM programmes; Private sector not willing to support DRM programmes.

## Stakeholder Engagement

1. The programme builds on previous UNDP’s DRM programme with a particular focus on disaster prone local authorities (urban and rural). It complements UNDP’s DRM support to the GoM in the past decade. Multi-stakeholder[[41]](#footnote-41) consultations were conducted during programme formulation including during a national symposium on DRM held on 17th and 18th October 2018.
2. *Target groups*: UNDP will focus on women, youth, vulnerable groups and communities in disaster prone rural and urban areas. It will support this target group through strengthening local government structures and communities in risk knowledge, risk governance, risk reduction, and disaster preparedness, response and recovery. Collaboration and partnerships with stakeholders such as development partners, academic bodies, NGOs is a key strategy of the programme.

## South‐South and Triangular Cooperation (SSC/TrC)

1. UNDP will strengthen South-South cooperation in DRM, including with China. Additionally, it will continue to leverage the UN system in its programming and provide operational platform of support. UNDP will partner with bilateral agencies, civil society, academia, and the private sector to mobilize resources and facilitate joint interventions, building on previous collaboration in joint projects at national, district and community levels.

1. The implementation of the programme support is led by DoDMA with support from UNDP. The programme will involve urban and rural district councils.

1. The programme will draw from lessons learned from previous and ongoing interventions as a building block and scaling up strategy (CPD 2019-2023).

# IV. RESULTS AND RESOURCES FRAMEWORK

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **National Priority or Goal:** Malawi actively respond to climate change, prevent disasters, strengthen sustainable natural resources management and environmental protection (CPD, 2019-2023)  **Related Programme Support Impact**: Sustainable social and economic development resulting from reduction in losses and damages from hazards | | | | | | | | | |
| **Related National DRM Goal**: To reduce vulnerability and enhance resilience of population to disasters and socio-economic shocks (MGDS III, 2017-2022) | | | | | | | | | |
| **Intended outcome from the Country Programme Results and Resource Framework related to** UNDAF Outcome Involving UNDP # 7  By 2023, women, youth, vulnerable groups and communities in disaster prone rural and urban areas are more resilient to hazards and benefiting from integrated interventions in risk knowledge, risk governance, risk reduction, and disaster preparedness, response and recovery. | | | | | | | | | |
| **Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:**   * **2.1** Multi-dimensionalpoverty rates (by sex, location, income, age). **Baseline:** 0.273 (HumanDevelopment Report (HDR), 2016). **Target:** 0.260 (HDR, 2023) * **2.2** Gini index. **Baseline**: 46.1. (HDR, 2016). **Target**: 40.0 [2005 range] * **2.3** Economic loss fromnatural hazards (e.g. geophysical and climate-induced hazards) as a proportion of GDP **Baseline**: 12.74% (2016)(Sustainable Development Goal indicators, 2016 report). **Target**: below 10%. (2023) | | | | | | | | | |
| **Related UNDP Strategic Plan Outcomes: Outcome 3:** Strengthening resilience and shocks to crises | | | | | | | | | |
| **Partnership Strategy:** The implementation of programme and coordination is led by DoDMA with support from UNDP. UNDP will partner with bilateral agencies, civil society, academia, and the private sector to mobilize resources to multiply the impact of interventions. Additionally, UNDP will continue to leverage the UN system in its programming and provide operational platform of support. The programme will draw from lessons learned from previous and ongoing interventions as a building block and scaling up strategy (CPD 2019-2023). | | | | | | | | | |
| **Programme Title and ID (Award Number………):** UNDP Disaster Risk Management and Resilience Programme Support to Malawi, 2019-2023 | | | | | | | | | |
| **Expected Outputs, Indicators, Baseline and Data Source** | **Planned Activities** | | **Responsible Party** | **Source of Funds** | **Resource Allocation (US$) and Indicative Time Frame** | | | | |
| **Year 1**  **2019** | **Year 2**  **2020** | **Year 3**  **2021** | **Year 4**  **2022** | **Year 5**  **2023** |
| Output 1: Strengthened national and local-level disaster risk governance  **Indicator 1**: Number of districts with fully functional DRM offices  **Baseline**: Non-established positions but 11 districts have officers on junior scale compared with other sectors  **Target**: 8  Data Source: DoDMA  **Indicator 1.2:** Number of local governments that adopt and implement DRM Plans taking steps towards institutionalization of DRM  **Baseline**: 28; **Target**: 8  **Data source**: NRS 2018-2030; DoDMA  **Baseline:** 4 cities; and 3 municipal councils Target: All urban councils  **Data Source**: DoDMA | 1.1 | Support the enactment of the DRM law and the establishment of district DRM Offices. | DoDMA |  | 195,000 | 195,000 | 175,000 | 50,000 | 50,000 |
| 1.2 | Support implementation of the Devolution Guidelines for DRM through providing training to local level DRM committees in essential DRM and coordination techniques in partnership with NGOs. | DoDMA, MoLGRD, Councils |  | - | 100,000 | - | - | - |
| 1.3 | Provide technical and catalytic resource support to local authorities in all four cities and selected municipalities to implement DRM Plans towards institutionalization of DRM. | UNDP |  | 20,000 | 2,020,000 | 20,000 | 20,000 | 20,000 |
| 1.4 | Recruit personnel (UNVs) where appropriate to support implementation of DRM interventions as an interim measure. | DoDMA, UNDP, Councils |  | 95,540 | 52,800 | 52,800 | 52,800 | 52,800 |
| 1.5 | Develop partnerships and lead stakeholders towards integrated management of ecosystems, the environment and natural resources for purposes of reducing the root causes of vulnerability. | UNDP, DoDMA, EAD |  | 560,000 | 510,000 | 510,000 | 510,000 | 510,000 |
|  | | | | | | | | | |
| **Output 2:** Improved risk reduction and early recovery in disaster prone urban and rural areas.  **Indicator 2:** Number of districts implementing MHCPs and DRM Plans**.**  **Baseline**: 28; **Target**: 8  **Data source**: NRS 2018-2030; DoDMA  **Baseline:** 4 cities; and 3 municipal councils Target: All urban councils  **Data Source**: DoDMA | 2.1 | Facilitate development of and operationalization of Multi-Hazard Contingency Plans (MHCPs) in 8 flood disaster prone districts. | DoDMA, UNDP |  | 35,000 | 40,000 | 30,000 | 30,000 | 30,000 |
| 2.2 | Provide investment grants to district councils for actualization of priority risk reduction interventions (flood mitigation works with DFID funding). | UNDP | DFID | 5,000 | 1,005,000 | 1,005,000 | 1,005,000 | 5,000 |
| 2.3 | Facilitate community preparedness drills and enhancing reporting mechanisms (linked to EWS from M-CLIMES and targeting special groups). | DoDMA, Councils |  | 80,000 | 480,000 | 320,000 | 80,000 | 80,000 |
| 2.4 | Support training and equipping DRM committees with essential emergency tools (e.g. search and rescue). | UNDP, DoDMA, EAD |  | 70,000 | 155,000 | - | 80,000 | - |
| 2.5 | Facilitate development and implementation of resilient oriented early recovery for displaced populations | UNDP, DoDMA |  | 1,200,000 | 1,200,000 | 1,200,000 | 1,200,000 | 1,200,000 |
| 2.6 | Facilitate construction of 5 evacuation centers to provide safe haven during hazard events. | UNDP, DoDMA | DFID | - | 4,000,000 | - | - | - |
| 2.7 | Promote implementation of DRR in schools and dissemination of social marketing tools for DRR. | DoDMA, MUST, MOEST |  | 60,000 | 3,040,000 | 3,040,000 | 80,000 | 80,000 |
|  | | | | | | | | | |
| **Output 3:** Improved planning, monitoring and evaluation of the disaster risk management sector.  **Indicator**: Number of local governments with functional IMS linked with national level system  **Baseline**: 28; **Target**: 8  **Data source**: NRS 2018-2030; DoDMA | 3.1 | Facilitate standardization and formalization of DRM data collection, management and reporting techniques and tools. | DoDMA, Councils |  | 10,000 | 50,000 | - | - | - |
| 3.2 | Develop DRM Information Management System in local-authorities and link with national level system (DRM database, 4Ws, DisInventar, DRM Library, website). | DoDMA, Councils |  | 50,000 | 800,000 | - | - | - |
| 3.3 | Provide technical support to 8 floods disaster prone districts to enhance risk data management operations. | UNDP, DoDMA, Councils | DFID | - | 80,000 | 80,000 | 80,000 | 80,000 |
| 3.4 | Train district personnel in disaster risk data management. | DoDMA, Councils |  | - | 100,000 | 100,000 | - | - |
| 3.5 | Provide technical support to strengthen DoDMA M&E function through the development of an M&E framework to facilitate reporting on DRM interventions by sectors. | DoDMA, UNDP |  | - | 100,000 | - | - | - |
| **Project Management** |  |  |  |  | 200,000 | 260,000 | 200,000 | 200,000 | 260,000 |

# V. MONITORING AND EVALUATION FRAMEWORK

76. In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

## Within the annual cycle

* On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
* An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
* Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
* Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Programme Board through Programme Assurance, using the standard report format available in the Executive Snapshot.
* A programme Lessons-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the programme.
* A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

## Annually

1. **Annual Review Report**. An Annual Review Report shall be prepared by the Project Manager and shared with the Programme Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
2. **Annual Project Review**. Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the programme and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Programme Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

## Evaluations

1. **Mid-term review:** An independent mid-term review of the programme shall be conducted in June 2021 based on UNDP procedure and guidance on conducting evaluations.
2. **Final programme evaluation:** An independent final evaluation shall be conducted at least three months prior to the terminal phase of the programme, and will focus on the same issues as the mid-term evaluation. UNDP CO shall prepare terms of reference for the final evaluation based on guidance from the UNDP-Regional Bureau.

# VI. MONITORING AND EVALUATION MATRIX

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Programme Result** | **Measurable Indicators** | **Baseline** | **Target** | **Means of Verification** | **Important Assumptions and Risks** |
| By 2023, women, youth, vulnerable groups and communities in disaster prone rural and urban areas are more resilient to hazards and benefiting from integrated interventions in risk knowledge, risk governance, risk reduction, and disaster preparedness, response and recovery | % of women, youth and vulnerable groups and communities in disaster prone rural and urban areas who are more resilient to hazards | To be determined (TBD) through a baseline assessment | TBD | DoDMA reports  Evaluation reports | * Political commitment to decentralized DRM * GoM demonstrates commitment to implement DRM in line with DRM legal and institutional framework. * Beneficiaries will commit throughout the programme period and beyond. * Continued donor financial and technical support. |
| **Output 1**: Strengthened national and local-level disaster risk governance | DRM Bill (2018) passed into law | No (DRM Bill (2018) not passed into law) | Yes (Enactment of DRM law) | DRM Act | * DRM Act is approved * Government willingness to implement the Act. |
| Number of districts with established and fully functional DRM offices | 0 (11 out of 28 districts have Non-established ADDRMOs) | 8 (DRM officers established in 8 districts) | DoDMA reports  Evaluation reports | * Political commitment to decentralized DRM * Co-operation of district councils |
| Number of local-level DRM communities trained on DRM devolution guidelines | 0 | TBD | District Council DRM reports  Evaluation reports | * Co-operation of district communities |
| Number of urban councils that adopt and implement DRM Plans taking steps towards institutionalization of DRM | 0 (Plans developed but not implemented) | 4 cities; and 3 municipal councils | DoDMA reports  Annual reports  Evaluation reports | * Co-operation of urban councils and communities |
| Number of UNVs deployed to assist implementation of DRM interventions | 0 | 15 (4 cities; and 3 municipal councils  8 district councils) | UNDP annual reports  DoDMA reports | * Co-operation of local councils and communities |
| Number of districts implementing a partnership agreement on integrated ecosystem management, environment and natural resources management | 0 | 8 district councils | UNDP annual reports  DoDMA reports | * Co-operation of local councils and communities |
| **Output 2:** Improved risk reduction and early recovery in disaster prone urban and rural areas | Number of district councils implementing MHCPs. | TBD | 8 district councils | District DRM reports  MHCPs  Evaluation reports | * Co-operation of local councils and communities |
| Number of flood disaster prone district councils implementing flood risk reduction interventions through investment grants. | TBD | 8 district councils | District DRM reports  Evaluation reports | * Co-operation of local councils and communities |
| Proportion (%) of communities conducting preparedness drills including reporting on hazard events | TBD[[42]](#footnote-43) | 70% of Village level DRM Committees | District DRM reports  Evaluation reports | * Co-operation of local councils and communities |
| Proportion (%) of targeted DRM committees trained and equipped with essential emergency tools in search and rescue | 0% DRM Committees have capabilities in search and rescue | 70% of DRM Committees have capabilities in search and rescue | District DRM reports | * Co-operation of local councils and communities |
| Proportion (%)of displaced households implementing resilient oriented early recovery interventions | TBD | 70% of displaced population implementing resilient oriented early recovery interventions | District DRM reports  DoDMA Reports | * Co-operation of local councils and communities |
| Number of evacuation centres constructed and providing safe haven to flood-affected communities | TBD | 4 Evacuation centres | DoDMA reports | * Co-operation of local councils and communities |
| Number of schools in targeted districts implementing DRR and disseminating DRR social marketing tools for DRR | TBD |  | DoDMA reports | * Co-operation of schools |
| **Output 3:** Improved planning, monitoring and evaluation of the disaster risk management sector | Number of districts using Standardized DRM data collection and reporting protocol (templates and procedures) | 0 | 8 district councils | DoDMA reports  District DRM reports | * Co-operation of local councils |
| Number of local governments with functional IMS and data base linked with national level system | 0 (1 national IMS without data base linked to districts) | 8 district councils with IMS and data base linked to national system | DoDMA reports  District DRM reports | * Co-operation of local councils |
| Number of personnel in target districts trained in disaster risk data management | 0 | 8 districts | DoDMA reports  District DRM reports | * Co-operation of local councils |
| DoDMA M&E framework in place incorporating monitoring of DRM interventions by sectors | No (M & E system in place but not tracking the operations of other sectors) | Yes (Functional DRM M&E framework) | DoDMA reports  District DRM reports | * Co-operation of sectors |

# VII. MANAGEMENT ARRANGEMENTS

1. The programme will be implemented over a period of 60 months (5 years) starting from January 2019 and ending in December 2023. The Department of Disaster Management Affairs (DoDMA) will be the main implementing partner (IP) and is accountable to UNDP for managing the project, including the efficient and effective implementation, monitoring and evaluation of programme interventions, achieving programme outcomes, and for the effective use of UNDP resources in accordance with UNDP rules and regulations, policies and procedures under NIM.
2. DoDMA will be responsible for the overall programme leadership, planning, coordination and management, and monitoring adherence to the work plan, which forms the basis of the execution (Figure 2). DoDMA as the main Implementing Partner will be responsible for:

* Approving and signing the multi-year work plan;
* Approving and signing the combined delivery report at the end of each year; and,
* Signing the financial report or the funding authorization and certificate of expenditures.

1. and a Finance Officer for the project. The Project Manager will lead the daily project management and decision making for the programme. The PM will ensure that there is inclusive and active participation/involvement in the project implementation of key stakeholders from government, local councils, civil society, private sector, UN agencies and communities. DoDMA and UNDP will facilitate signing of agreements with executing bodies such as local councils, NGOs etc.

**Executing Bodies NGOs**

**Executing Bodies District Councils**

**Executing Bodies Urban Councils**

**Project Assurance**

**[UNDP]**

**Senior Beneficiary**

**[DoDMA]**

**Senior Supplier**

**[UNDP]**

**Executive**

**[Chair PS DoDMA]**

**Project Board**

**Project Organization Structure**

**Project Support**

**NDRMC**

**Project Management**

**Project Manager (DoDMA)**

**Figure 2. Project Organization Structure**

1. The Project Board/Project Steering Committee (PSC) is composed of senior representatives from DoDMA, Ministries, NGOs, Academia, Local Authorities. The PSC is responsible for making on a consensus basis management decision for a programme and its projects, when guidance is required by the Programme Manager, including recommendation for UNDP and approval of project revisions. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when tolerances (i.e. constraints normally in terms of time and budget) have been exceeded.
2. The roles of the PSC include to:

* Provide overall guidance and direction to the project, ensuring it remains within any specified UNDP and government procedures;
* Address project issues as raised by the Project Manager, Responsible Parties, UNDP, PCU, districts, beneficiaries, and/or other stakeholders;
* Provide guidance on project risks, and agree on possible counter measures and management actions to address specific risks;
* Agree on Project Executive’s tolerances as required;
* Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
* Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the work plan.
* Provide ad hoc direction and advice for exceptional situations when the project manager’s tolerances are exceeded;
* Assess and decide to proceed on project changes through appropriate revisions;
* Ensure that there is a coherent project organization structure and logical set of plans; Set tolerances in the AWP and other plans as required for the Project Manager;
* Monitor and control the progress of the project at a strategic level;
* Ensure that risks are being tracked and mitigated as effectively as possible; Brief relevant stakeholders about project progress; and
* Facilitate linkages with complementary initiatives in Malawi and regionally.

1. PSC decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the PSC, final decision shall rest with UNDP. The PSC will meet three times a year.
2. The PSC will be chaired by the Principal Secretary in the Ministry of Homeland Security, and co‐chaired by the UNDP Resident Representative. The Executive’s role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive has to ensure that the project gives value for money, ensuring cost‐conscious approach to the project, balancing the demands of beneficiary and suppler.

1. DoDMA is the Senior Beneficiary and is responsible for ensuring the realization of project benefits from the perspective of project beneficiaries; provides overall project implementation, monitoring progress against targets.
2. UNDP is the Senior Supplier that provides guidance regarding the technical guidance of the project, and use of programme resources.
3. UNDP also is responsible for project assurance. The Project Assurer will support the PSC to undertake monitoring of project activities. During the running of a project process, this role ensures appropriate project management milestones are managed and completed.
4. Project implementation will be governed by provisions of the present Programme Support Document, its annexes and UNDP Operations Manual. Governance of the Project will be supported through annual work planning as well as reporting and monitoring the delivery of results and impact on the basis of the results framework. The annual work plans as well as progress reporting will be the responsibility of the project management and will be approved by PSC in close consultation with UNDP. The Project implementation shall ensure the Government ownership and active participation in Project activities, leaving the Project staff with the function of rendering expert support, but not substitution of the national structures/mechanisms.
5. The work plan will be implemented upon its endorsement by NIP and UNDP. The endorsed work plan will serve as an authorization to the Programme Manager to disburse funds and project implementation. Implementation responsibility will be put on the Project Manager in close partnership with the NIP in terms of ownership and UNDP – in terms of advisory support. This will create an enabling environment for participatory decisions reached in the process of preparing the work plans to be implemented effectively and efficiently. The Programme Manager will consistently inform the NIP of the progress.
6. When acting as representative of the NIP, the NPD, together with national Responsible Parties, will ensure sound linkage of all decisions and experience of the project with building the internal capacity of the Implementing Partner and Responsible Parties. Together, the NPD and Programme Manager will ensure participatory consultations with the key managers of the NIP to ensure the integration of project decisions and experience into national and local policies.
7. The project organizational structure will be as follows:

## Overall management

1. The management of the programme will be carried out by the OPM Project team in Lilongwe, led by the Project Manager with technical support from the National DRM Committee. The PM shall report to the Project Board comprising senior representatives of DoDMA and UNDP. UNDP also closely cooperates with national authorities and local authorities in the project micro units and respective communities.

## The project stakeholders

1. The stakeholders will consist of the UNDP as management organization, the DoDMA at national level and local government with local offices in the districts, the community members being empowered in risk reduction practices, the civil society and other local and international NGOs working in disaster risk management and reduction in particular, and the Government of Malawi.

## Audit arrangements

1. If the annual expenditures of the project exceed US$ 100,000 then the programme will be subject to an annual audit exercise. The audit findings will be shared with the Government of Malawi and other stakeholders.
2. IPs are required to provide appropriate management responses to all audit recommendations. All action plans emanating from the audit recommendations and findings must be implemented in the provided time period. If an IP has qualified audits for two consecutive years or rated higher than Significant Risk by HACT assurance activities, UNDP will suspend Direct Cash Transfers. This case will also warrant a HACT special audit to provide adequate assurances to UNDP in terms of financial accounting. This arrangement would remain into force until UNDP is satisfied that necessary steps have been taken to ensure that the implementing partner has re-gained adequate accountability and internal controls for the receipt, recording and disbursement of cash transfers, proven by HACT assurance activities or Micro-assessment. UNDP reserves the right to conduct HACT special audits when in-depth analysis on financial accountability is required.
3. The 2010 macro-assessment of the public financial management system pointed to limited capacity of the National Audit Office (NAO). Therefore, audits of UNDP-funded projects will be conducted by pre-qualified private audit firms until there is adequate capacity in NAO to carry out the audits. The NAO will be consulted in engaging the private audit firms and will be invited to sit on committees assessing proposals from audit firms to conduct scheduled audits and special audits. Audit reports shall be shared with NAO for their records and to ensure that they meet the required national/international standards.

## Agreement on intellectual property rights and use of logo on the project’s deliverables

1. Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.

## Roles and Responsibilities of Implementing Partners

1. DoDMA and UNDP will be mainly involved in the implementation of this programme.

UNDP Malawi will be responsible for:

* Facilitating the development and approval of annual work plans (AWPs)
* Making timely disbursements of quarterly advances to the implementing partners (DoDMA and other agencies that will be involved in the implementation with direct funding) for the NIM component;
* Checking accuracy of financial reports and reviewing requests for advances jointly with DoDMA.
* Ensuring quality control in programme implementation including meeting technical and financial reporting requirements of all implementing partners in the programme
* Providing overall technical advice
* Support Government in mobilizing more resources for the programme
* Organizing programme audits as required.
* Monitoring progress in implementation of Annual Work Plans

1. Government (DoDMA) will be responsible for:
   * Developing annual work plans together with the District Councils of the 14 target districts;
   * Ensuring overall coordination of the programme following the agreed annual work plan including joint supervision with UNDP of activities implemented through NGOs;
   * Supervision of the activities coordinated by the District Councils of the 14 target districts;
   * Appropriate use of funds which will be advanced to DoDMA on a quarterly basis in line with the approved budget and annual work plan;
   * Accurate accounting and timely reporting of the use of programme funds;
   * Monitoring the achievement of results and providing timely progress reports as indicated in the programme document.

## National Disaster Risk Management (NDRMC)

1. The National Disaster Risk Management Technical Committee (TC), whose membership includes Directors from the ministries represented in the SC; Department of Climate Change and Meteorological Services (DCCMS); UNDP (DRM Programme Analyst and UNDP Technical Advisor); other UN agencies, non-governmental actors[[43]](#footnote-44) and donors shall meet as necessary – maximum is once quarterly. The TC will be responsible for providing technical guidance to implementing partners in the preparation of Annual Work Plans and in the implementation of programme activities. The TC will also constitute thematic technical teams for overall monitoring of progress and to approve significant changes to the work plan and budget. The Technical Committee will be chaired by the Secretary and Commissioner for Disasters in the Department of Disaster Management Affairs.

## District level Coordination

1. District level coordination of programme activities will be done through the Directorate of District Planning supported by DRM Officers to be deployed to support coordination and implementation of interventions. District Directorates are headed by the Director of Planning and Development (DPD). The executive body will be the District Civil Protection Committee (DCPC), chaired by the DPD and the District Disaster Risk Management Officer (DDRMO) will serve as the secretary to the DCPC. The DDRMO will also provide the necessary guidance to the DCPC to ensure full establishment of fully functional DRM systems. The DCPC will prepare and present quarterly programme progress reports to the District Executive Committee (DEC), which will also be shared with DoDMA and UNDP.

## Execution modality

1. Based on approved Annual Work Plans (AWPs), UNDP will make cash transfers according to the National Implementation (NIM) modality and following the procedures of the UN Harmonized Approach to Cash Transfers (HACT) for the NIM component of the project.
2. Cash transfers for activities in AWPs can be made by UNDP using the following modalities:
3. Direct cash transfers whereby cash is transferred directly to the Implementing Partner (DoDMA) prior to the start of activities based on agreed cost estimates;
4. Reimbursements whereby the Implementing Partner is reimbursed for expenditures agreed prior to the costs being incurred; and
5. Direct payments to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner.
6. Direct cash transfers shall be requested and released for programme implementation periods not exceeding three months. The National Project Coordinator/ Manager will be responsible for preparing and submitting monthly financial reports and requests for quarterly advance of funds to UNDP. The financial reports and requests are to be submitted according to the Funding Authorization and Certificate of Expenditures (FACE) standard format due on the **10th** day of the subsequent month. Delays in submission may negatively impact the access to future advances. No new direct cash transfers will be made until at least 80% of prior advances have been satisfactorily reported against. If the implementing partner does not fully liquidate any advances within 5 months from date of transfer, UNDP will suspend any further Direct Cash Transfer until the Implementing Partner clears all outstanding Direct Cash Transfer.
7. Reimbursements of previously authorized expenditures shall be requested and released quarterly or after the completion of activities. UNDP shall not be obligated to reimburse expenditures made by the implementing partner over and above the authorized amounts. Following the completion of any activity, any balance of funds shall be reprogrammed by mutual agreement between the implementing partner and UNDP, or refunded.
8. As per HACT procedures, UNDP will conduct HACT assurance activities including spot checks and onsite reviews on a regular basis based on the findings of HACT micro-assessments.
9. DoDMA will be responsible for the management of a project specific bank account where the advance of basket funds will be deposited by UNDP on a quarterly basis. Based on the quarterly work plan prepared by DoDMA, UNDP will review the request for advance and disburse the appropriate amount. The National Project Coordinator will be accountable for the use of funds advanced to the project according to agreed-upon work plans. DoDMA will be expected to maintain books of accounts in accordance with UNDP’s NIM accounting and reporting guidelines.
10. In terms of the rates applied for Daily Subsistence Allowances (DSA), the harmonised DSA guidelines as stipulated in the guidance note effective 21st October, 2011 will be strictly applied. UNDP will make sure that the correct rates are applied and inform DoDMA accordingly whenever the rates are adjusted.

## UNDP Support Services

1. Upon request by Government, UNDP may provide services in the following areas:

* Identification, assistance with and/or recruitment of long-term or short-term technical personnel in accordance with UNDP rules and regulations.
* Procurement of specific goods and services for the programme in cases where UNDP has a competitive advantage, e.g. import of specific goods or services from abroad. However, in general procurement will be done using national procurement systems and procedures where possible as long as key principles of competitiveness, accountability and transparency are followed and capacity assessment ratings of the recipient institution.
* Identification and facilitation of training activities.
* Providing relevant information and technical advice obtained through UN global information systems, UN Knowledge Networks, Regional Centres and other UNDP Country Offices, e.g. rosters of consultants and providers of development services.

1. In case of specific implementation support services (ISS), including recruitment, procurement and other administrative matters provided upon request, the costs of UNDP’s support will be charged according to the UNDP corporate Universal Price List.

**VIII. LEGAL CONTEXT**

1. The programme will be implemented within the framework of UNDAF (2019-2023) and CPD (2019-2023) which form the basis of cooperation between the Government of Malawi and the United Nations as well as UNDP Malawi contained Article 1 of the SBAA between the Government of Malawi and UNDP, signed on 15 July 1977.
2. Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the executing agency and its personnel and property, and of UNDP’s property in the executing agency’s custody, rests with the executing agency.
3. The executing agency shall:
4. Put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
5. Assume all risks and liabilities related to the executing agency’s security, and the full implementation of the security plan.
6. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.
7. The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Programme Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999).
8. An Audit of the project funds will be conducted in accordance with UNDP Financial Regulations and Rules and applicable audit policies on UNDP projects.

# IX. ANNEXES

## Annex 1: Risk Analysis

| **Key Risk** | **Type** | **Description** | **Anticipated Impact and Probability (scale from 1 (low) to 5 (high)** | **Mitigation Options** |
| --- | --- | --- | --- | --- |
| Lack of political will and full ownership | Political and strategic | DoDMA must take full leadership and ownership of the project | Probability: 3  Impact: 4 | Awareness and advocacy of PSC to provide the necessary support |
| Inadequate staffing at DoDMA and in targeted districts | Organisational/ operational | DoDMA has junior staff deployed in districts as assistants. Other districts have no DRM officers | Probability: 4  Impact: 5 | DoDMA must advocate for the enactment of DRM law that will pave the way for deployment of District DRM Officers |
| Staff turn-over in DoDMA including in the 15 disaster-prone districts (ADDRMOs) through postings, transfers and job-changes. | Probability: 3  Impact: 5 | Where key staff members resign from their positions for various reasons, measures will be taken through the programme to ensure that they are urgently replaced. |
| Lack of involvement and/or  co-operation among stakeholders | Operational | Lack of involvement and or co-operation by key stakeholders may affect achievement of project’s intended outcomes. | Probability: 2  Impact: 3 | Clear commitment of the relevant stakeholders regarding specific project deliverables will be sought through PSC members and meetings. |
| Malawi will be holding national elections in 2019 that may impact on delivery of project activities | Political | Implementation of project activities is likely to be affected during the periods of national elections. | Probability: 3  Impact: 4 | More technical support will be given to districts during elections time in order to minimize any potential disturbances |

## Annex 2. Schematic Change Pathway

**Risks**

Climate shocks (overwhelm capacity and efforts to build resilience); Weak risk-informed programming;

DRM Law not passed or delays in passing the law;

Policies not reformed/ implemented;

Government lacking resources to implement DRM programmes;

Private sector not willing to support DRM programmes.

**Assumptions**

Government will be supportive; Resources available; organizations, institutions, groups functional; Policies operational; private sector responsive and accepting of interventions; focus on integrated efforts to achieve outcomes; programme implementation will be on track, implemented timely and beneficiaries will commit throughout the programme period and beyond.

|  |  |  |  |
| --- | --- | --- | --- |
| Impact  **Assumptions**  Government will be supportive; Resources available; organizations, institutions, groups functional; Policies operational; private sector responsive and accepting of interventions; focus on integrated efforts to achieve outcomes; programme implementation will be on track, implemented timely and beneficiaries will commit throughout the programme period and beyond. | Sustainable social and economic development resulting from reduction in losses and damages from hazards | | |
| Outcome | By 2023, women, youth, vulnerable groups and communities in disaster prone rural and urban areas are more resilient to hazards and benefiting from integrated interventions in risk knowledge, risk governance, risk reduction, and disaster preparedness, response and recovery | | |
| Outputs | Strengthened national and local-level disaster risk governance | Improved risk reduction and early recovery in disaster prone urban and rural areas. | Improved planning, monitoring and evaluation of the disaster risk management sector |
| Activities | 1. Support the enactment of the DRM law and the establishment of district DRM Offices. 2. Support implementation of the Devolution Guidelines for DRM through providing training to local level DRM committees in essential DRM and coordination techniques in partnership with NGOs. 3. Provide technical and catalytic resource support to local authorities in all four cities and selected municipalities to implement DRM Plans towards institutionalization of DRM. 4. Recruit personnel (UNVs) where appropriate to support implementation of DRM interventions as an interim measure. 5. Develop partnerships and lead stakeholders towards integrated management of ecosystems, the environment and natural resources for purposes of reducing the root causes of vulnerability. | 1. Facilitate development of and operationalization of Multi-Hazard Contingency Plans (MHCPs) in 8 flood disaster prone districts. 2. Operationalize DRM plans for all city and municipal councils, which require implementation. 3. Provide investment grants to district councils for actualization of priority risk reduction interventions (flood mitigation works with DFID funding). 4. Facilitate community preparedness drills and enhancing reporting mechanisms (linked to EWS from M-CLIMES and targeting special groups). 5. Support training and equipping DRM committees with essential emergency tools (e.g. search and rescue). 6. Develop and implementing resilient oriented early recovery plans for populations displaced by hazard events. 7. Facilitate construction of 4 evacuation centers to provide safe haven during hazard events. 8. Promote implementation of DRR in schools and dissemination of social marketing tools for DRR. | 1. Facilitate standardization and formalization of DRM data collection, management and reporting techniques and tools. 2. Develop DRM Information Management System in local-authorities and link with national level system (DRM database, 4Ws, DisInventar, DRM Library, website). 3. Provide technical support to NRS and DFID supported districts to support risk data management operations (this will complement EOC efforts from M-CLIMES). 4. Train district personnel in disaster risk data management. 5. Provide technical support to strengthen DoDMA M&E function through the development of an M&E framework to facilitate reporting on DRM interventions by sectors |

## Annex 3. Theory of Change Template

| **Activities** | **Programme Support Outputs related to CPD 2019-2023** | **Overall PS Outcome related to (UNDAF Outcome 7 and UNDP Strategic Plan outcome)** | **Overall PS Goal**  **(MGDS III)** | **Impact (related to National Priority or Goal and CPD)** |
| --- | --- | --- | --- | --- |
| 1. Support the enactment of the DRM law and the establishment of the office of the district DRM Offices. 2. Support implementation of the Devolution Guidelines for DRM through providing training to local level DRM committees in essential DRM and coordination techniques in partnership with NGOs. 3. Provide technical and catalytic resource support to local authorities in all four cities and selected municipalities to implement DRM Plans towards institutionalization of DRM. 4. Recruit personnel (UNVs) where appropriate to support implementation of DRM interventions as an interim measure. 5. Develop partnerships and lead stakeholders towards integrated management of ecosystems, the environment and natural resources for purposes of reducing the root causes of vulnerability. | **Output 1:** **Strengthened national and local-level disaster risk governance**  Linkages with global and national frameworks and strategies:  SFDRR Targets: 2.4; 13.1  Paris Agreement DRR Priority: 5  Related SDGs goals: 1, 2,9,11, 13 and 15  DRM Policy Priority Area 2  National Climate Change Policy  MGDS III DRM Outcome  NRS Outcomes: 2.1; 2.3; and 2.4 | * By 2023, women, youth, vulnerable groups and communities in disaster prone rural and urban areas are more resilient to hazards and benefiting from integrated interventions in risk knowledge, risk governance, risk reduction, and disaster preparedness, response and recovery. * Strengthening resilience and shocks to crises. | * To reduce vulnerability and enhance resilience of population to disasters and socio-economic shocks | * Sustainable social and economic development resulting from reduction in losses and damages from hazards * Malawi actively respond to climate change, prevent disasters, strengthen sustainable natural resources management and environmental protection |

| **Activities** | **Programme Support Outputs related to CPD 2019-2023** | **Overall PS Outcome related to (UNDAF Outcome 7 and UNDP Strategic Plan outcome)** | **Overall PS Goal**  **(MGDS III)** | **Impact (related to National Priority or Goal and CPD)** |
| --- | --- | --- | --- | --- |
| 1. Facilitate development of and operationalization of Multi-Hazard Contingency Plans in 4 cities, 3 municipal councils and 8 flood disaster prone districts. 2. Operationalize DRM plans for all city and municipal councils, which require implementation. 3. Provide investment grants to district councils for actualization of priority risk reduction interventions (flood mitigation works with DFID funding). 4. Facilitate community preparedness drills and enhancing reporting mechanisms (linked to EWS from M-CLIMES and targeting special groups). 5. Support training and equipping DRM committees with essential emergency tools (e.g. search and rescue). 6. Develop and implementing resilient oriented early recovery plans for populations displaced by hazard events. 7. Facilitate construction of 4 evacuation centers to provide safe haven during hazard events. 8. Promote implementation of DRR in schools and dissemination of social marketing tools for DRR. | **Output 2: Improved risk reduction and early recovery in disaster prone urban and rural areas.**  Linkages with global and national frameworks and strategies:  SFDRR Pillars: 1,2,3,4;  Paris Agreement DRR Priority: 5  Related SDGs goals: 1, 2,9,11, 13 and 15  DRM Policy Priority Area 2  National Climate Change Policy  MGDS III DRM Outcome  NRS Outcomes: 2.1, 2.1,2.3,2.4 | * By 2023, women, youth, vulnerable groups and communities in disaster prone rural and urban areas are more resilient to hazards and benefiting from integrated interventions in risk knowledge, risk governance, risk reduction, and disaster preparedness, response and recovery * Strengthening resilience and shocks to crises | * To reduce vulnerability and enhance resilience of population to disasters and socio-economic shocks | * Sustainable social and economic development resulting from reduction in losses and damages from hazards * Malawi actively respond to climate change, prevent disasters, strengthen sustainable natural resources management and environmental protection |

| **Activities** | **Programme Support Outputs related to CPD 2019-2023** | **Overall PS Outcome related to (UNDAF Outcome 7 and UNDP Strategic Plan outcome)** | **Overall PS Goal**  **(MGDS III)** | **Impact (related to National Priority or Goal and CPD)** |
| --- | --- | --- | --- | --- |
| 1. Facilitate standardization and formalization of DRM data collection, management and reporting techniques and tools. 2. Develop DRM Information Management System in local-authorities and link with national level system (DRM database, 4Ws, DisInventar, DRM Library, website). 3. Provide technical support to NRS and DFID supported districts to support risk data management operations (this will complement EOC efforts from M-CLIMES). 4. Train district personnel in disaster risk data management. 5. Provide technical support to strengthen DoDMA M&E function through the development of an M&E framework to facilitate reporting on DRM interventions by sectors | **Output 3: Improved planning, monitoring and evaluation of the disaster risk management sector.**  Linkages with global and national frameworks and strategies:  SFDRR Pillar Targets: 1.5; 2.4; 3.6; 11.5; 13.1; and 15.3.  Paris Agreement DRR Priority: 1;2;3;4;5;7; and 8.  Related SDGs goals: 1, 2, 13 and 15.  DRM Policy Priority Area 2  MGDS III DRM Outcome  NRS Outcomes 2.2; 2.3; and 2.4 | * By 2023, women, youth, vulnerable groups and communities in disaster prone rural and urban areas are more resilient to hazards and benefiting from integrated interventions in risk knowledge, risk governance, risk reduction, and disaster preparedness, response and recovery * Strengthening resilience and shocks to crises | * To reduce vulnerability and enhance resilience of population to disasters and socio-economic shocks | * Sustainable social and economic development resulting from reduction in losses and damages from hazards * Malawi actively respond to climate change, prevent disasters, strengthen sustainable natural resources management and environmental protection |

1. MGDS 2017-2022. [↑](#footnote-ref-1)
2. National Disaster Risk Management Policy (2015) [↑](#footnote-ref-2)
3. MGDS 2017-2022. p.35 [↑](#footnote-ref-3)
4. Ibid. p.14 [↑](#footnote-ref-4)
5. National DRM Policy 2015 [↑](#footnote-ref-5)
6. Ibid. [↑](#footnote-ref-6)
7. Malawi 2015 Floods Post-Disaster Assessment Report [↑](#footnote-ref-7)
8. MFED, EU, WB, UN, 2016. Malawi Drought: Post Disaster Needs Assessment (PDNA) [↑](#footnote-ref-8)
9. MFED, EU, WB, UN, 2015. Malawi 2015 Floods: Post Disaster Needs Assessment (PDNA) [↑](#footnote-ref-9)
10. MGDS 2017-2022. [↑](#footnote-ref-10)
11. Economic Development Document for the Republic of Malawi, Assessment Letter for the IMF [↑](#footnote-ref-11)
12. National Resilience Strategy 2018 - 2030 [↑](#footnote-ref-12)
13. UN Habitat 2011. Malawi: Lilongwe Urban Profile [↑](#footnote-ref-13)
14. Ibid. p.9 [↑](#footnote-ref-14)
15. Jere Paul. 2013. Issues and Options for Improved Land Sector Governance in Malawi: Synthesis report [↑](#footnote-ref-15)
16. National DRM Policy 2015. [↑](#footnote-ref-16)
17. AH Consulting 2017. Final Capacity Assessment of DoDMA Report [↑](#footnote-ref-17)
18. DRM Bill 2018 [↑](#footnote-ref-18)
19. AH Consulting 2017. Final Capacity Assessment of DoDMA Report [↑](#footnote-ref-19)
20. Ibid [↑](#footnote-ref-20)
21. PSD Evaluation Report 2017 [↑](#footnote-ref-21)
22. For example, SOPs for PDNA have been developed. [↑](#footnote-ref-22)
23. Safer House Construction Guidelines; Safer Schools Construction Guidelines etc. [↑](#footnote-ref-23)
24. Lilongwe, Zomba, Mzuzu and Blantyre cities; and Kasungu, Mangochi and Luchenza municipalities [↑](#footnote-ref-24)
25. Skype meeting with Sothini Nyirenda UNDP 26 November 2018. [↑](#footnote-ref-25)
26. Priority will be in urban areas and districts prioritized in NRS. This will be linked to EOC interventions by M-CLIMES project. [↑](#footnote-ref-26)
27. This will focus on risk reduction through flood mitigation work from DfID funding. [↑](#footnote-ref-27)
28. This will also be linked to M-CLIMES project with specific target to most vulnerable groups. [↑](#footnote-ref-28)
29. Deschamps, 2009. Information and Knowledge Management [↑](#footnote-ref-29)
30. MGDS III 2017-2022 [↑](#footnote-ref-30)
31. Disaster Risk Management Operational Guidelines [↑](#footnote-ref-31)
32. renamed the NDPRC to National Disaster Risk Management Committee in the DRM Bill (2018) [↑](#footnote-ref-32)
33. to become the “National Disaster Risk Management Technical Committee” upon enactment of the proposed DRM Act [↑](#footnote-ref-33)
34. Councils established under Section 5 of the Local Government Act (S20 (1) DRM Bill 2018). [↑](#footnote-ref-34)
35. Section 20 (2) of DRM Bill 2018. [↑](#footnote-ref-35)
36. Or at ward level as is the case in urban authorities. [↑](#footnote-ref-36)
37. The Inter-Agency Standing Committee (IASC) was established in June 1992 in response to General Assembly Resolution 46/182 to serve as the primary mechanism for inter-agency coordination relating to humanitarian assistance in response to complex and major emergencies under the leadership of the Emergency Relief Coordinator [↑](#footnote-ref-37)
38. UNDAF Pillar 3: Inclusive and resilient growth [↑](#footnote-ref-38)
39. UNDAF Outcome 7: By 2023 households have increased food and nutrition security, equitable access to WASH and healthy ecosystems and resilient livelihoods. [↑](#footnote-ref-39)
40. Skype meeting with Sothini Nyirenda UNDP 26 November 2018. [↑](#footnote-ref-40)
41. Multi-stakeholders consulted include amongst others Development Partners, NGOs, MDAs, District councils, village civil protection committees, urban local authorities etc. [↑](#footnote-ref-41)
42. To be determined based on project impact areas. Numbers shall be those of DRM committees. [↑](#footnote-ref-43)
43. The representation could be broadened to include other NGOs and Civil Society Networks [↑](#footnote-ref-44)