



Government of Malawi



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National Climate Resilience Programme 2019-2023

December 2018

PROJECT DOCUMENT
[MALAWI]



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Country: Malawi	
National Priority or Goal: Malawi actively responds to climate change, prevents disasters, strengthens sustainable natural resources management and environmental protection (CPD, 2019-2023).	
Related Programme Support Impact: Scaled - up access to domestic and international sources of climate finance through local "green taxes and levies" to enable priority actions that accelerate Malawi's transition to more risk-informed and climate-resilient development.	
MGDS III CC Goal: To achieve sustainable agricultural transformation and water development that is adaptive to climate change and enhances ecosystem services.	
UNDP Strategic Plan Outcome 3: Strengthening resilience to shocks and crises.	
Related CPD/UNDAF Outcome 7: By 2023, households have increased food and nutrition security, equitable access to healthy ecosystems and resilient livelihoods.	
Country Programme Outputs: Output 2: Scaled-up action, finance and partnerships for climate change adaptation, mitigation and disaster risk management across sectors.	
Implementing Partner: Environmental Affairs Department	Implementation Modality: Support to National Implementation (NIM) and Direct Implementation (DIM)
Responsible Parties: Ministry of Natural Resources, Energy and Mining; Ministry of Local Government; Ministry of Justice; Ministry of Finance; Office of the President and Cabinet; Ministry of Agriculture, Irrigation and Water Development; Districts: Mchinji, Kasungu, Dowa, Lilongwe and Nkhota-kota; Association of Tea Growers, Departments of Forestry, Fisheries, Parks and Wild Life and Housing; the Polytechnic; National Construction and Industry Council and CSOs; Departments of Building and Housing.	
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ACRONYMS

ACPC	Area Civil Protection Committee
CC	Climate Change
CSO	Civil Society Organization
CBD	Convention on Biological Diversity
CPD	Country Programme Document
DCERCC	Development Cooperation Group on Environment Resilience and Climate change
DCPC	District Civil Protection Committee
DDP	District Development Plan
DESC	District Environment Sub Committee
DfID	Department for International Development
DIM	Direct Implementation Modality
EAD	Environment Affairs Department
EB	Ecosystems Approach
EBA	Ecosystems based approach
ENRM	Environment Natural Resources Management
EWG	Expert Working Group
FAO	Food and Agriculture Organisation
FICA	Flanders International Cooperation Agency
GCF	Green Climate Fund
GEF	Global Environmental Facility
GDP	Gross Domestic Product
GEF	Global Environment Facility
GHG	Green House Emissions
GoM	Government of Malawi
GMS	General Management Support
HACT	Harmonised Approach to Cash Transfer
HDI	Human Development Index
IP	Implementing Partner
IPCC	Intergovernmental Panel on Climate Change
MEAL	Monitoring Evaluation Accountability and Learning
MGDS	Malawi Growth and Development Strategy
NAIP	National Agriculture Investment Fund
NCCF	National Climate Change Fund
NCRP	National Climate Resilience Programme
NDC	Nationally Determined Contributions
NGO	Non-Governmental Organisation
NIM	National Implementation Modality
NTCCC	National Technical Committee on Climate Change
NRS	National Resilience Plan
NSCCC	National Steering Committee on Climate change
PAC	Project Appraisal Committee
RP	Responsible Party
SDG	Sustainable Development Goal
SSC	South South Cooperation
ToC	Theory of Change
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNITAR	United Nations Institute of Training and Research
WASH	Water and Sanitation Hygiene

Brief Description

Climate change is a key development challenge in Malawi, affecting virtually all livelihoods and sectors of the economy. The negative impacts of climate change in Malawi are exacerbated by the high levels of sensitivity of social and ecological systems. Environmental degradation across Malawi, through human-induced impacts such as deforestation and land use change, plays a major role in exacerbating the impacts of climate change. In response, Malawi's policy environment has substantially improved in the last five years with several key sector policies and strategies for tackling climate change developed. However, much work needs to be done in implementing these key policies and strategies. There is also need for climate-proofing other key sectors. Being a multi-scale economic, environmental and social systems-level challenge, successful implementation of climate change adaptation and mitigation programmes depends on the involvement and collaboration of many actors within and across public, private and civil society. However, the limited capacity of civil society, private sector and government actors to respond collectively is compounded by weak governance arrangements to foster functional interdependencies between actors and agents of change. Therefore, the overall development challenge is weak implementation of climate change-related policies, poor governance and uncoordinated approaches for building ecosystem, climate and community resilience.

It is against this background that the overall goal of the proposed National Climate Resilience Programme (NCRP) is to contribute to *accountable, inclusive and effective implementation of climate change policies, and programme approaches to build resilient ecosystems and communities*. To achieve the overall goal, three outputs are proposed: a) strengthened capacity for improved result-oriented governance and management of climate change at national and district levels; b) Scaled-up action, finance and partnerships for climate change adaptation, mitigation and disaster risk Management across sectors; c) Strengthened management for effective, and inclusive partnerships, applied research and Participatory MEAL¹ for effective action in climate adaptation, mitigation and finance.

This programme is inspired by evidence compiled by the World Resources Institute (WRI) and others that partnerships between government and non-state actors can bring about transformative changes in managing climate risks by:

- Building capacity to anticipate areas where transformation may become necessary
- Allowing key stakeholders, including the poor, to participate in decision-making to avoid concentrating power and further marginalizing them
- Developing pathways for adaptation actions that show the way from the current situation to one that better fits anticipated climate conditions in Malawi
- Reducing disruption by phasing in significant changes gradually, rather than only responding once crisis hits

NCRP will run for five years (2019 to 2023) and will target vulnerable ecosystems and strengthen local governance structures at district level and across districts. At national level, the programme will contribute to priority one of the MGDS III namely 'Agriculture, Water Development and Climate Change Management'; national resilience strategy; national climate change investment plan; national forest landscape restoration strategy and national agriculture investment plan. NCRP is responding to the following policy implementation plans: climate change management policy, forestry policy, fisheries policy, disaster risk management policy. At international level, NCRP is relevant to SDG 1 "end poverty in all its forms everywhere", SDG 2 "zero hunger", SDG 3 "good health and wellbeing", SDG 5 "gender equality", SDG 12 "ensure sustainable consumption and production patterns", Goal 13 "take urgent action to combat climate change and its impacts", SDG 14: "life below water", SDG 15 "life on land" and SDG 17 "partnerships to achieve the goal". In addition, NCRP will set priorities for action guided by other relevant international frameworks such as the Paris Agreement and Sendai Framework for integrating risk-informed development into Malawi's adaptation planning processes.

¹ Monitoring, Evaluation, Accountability and Learning (MEAL)

1.1 BACKGROUND

Scientific evidence indicates with increasing certainty that the current changes in the earth's climate system are happening as a result of human agency (Patberg and Stipple, 2007) and the change in the climate system is already primed to continue in the foreseeable future, with adverse effects already taking place or in the pipeline even if global greenhouse gas emissions were to stabilize or even decrease (UNEP, 2014).

These changes include several catastrophic or unusual weather events taking place at an accelerated pace, notably floods, droughts and extreme weather events (IPCC, 2007; Stern, 2007; Serdeczny, et al., 2016). For example, between 1970 and 2006, Malawi experienced 40 weather-related disasters, and 16 of these occurred after 1990 (Osbahe, 2007, Chiotha & Kamdonyo, 2017). While these extreme weather events and shocks impact negatively on natural and human systems on all continents, developing countries such as Malawi are particularly vulnerable because they have some of the most climate-sensitive economies and significant populations living below the poverty line (IPCC, 2001 & 2014, Chiotha et al., 2018).

The impacts are exacerbated by not only the high levels of sensitivity of the social and ecological systems, but also due to the limited capacity of civil society, private sector and government actors to respond appropriately (Brown, et al. 2012). It is also suggested that human-induced activities such as deforestation and land use change play a major role in exacerbating the impacts of climate change (Osbahe, 2007, GoM, 2010).

The rural poor, many of whom live in environmentally fragile socio-ecological systems, are both the main victims and the unwilling architects of degradation (Nana-Sinkam 1995) through agriculture that is largely driven by the expansion of cultivated land (Pandeya et al. 2016). Rain-fed agriculture dominates food and feed production in sub-Saharan Africa including Malawi and it is the principal source of livelihood for more than 70% of the population (Shiferaw 2014). Consequently, both income and food security of the bulk of the population are compromised when weather is not conducive (MGDS III, 2017).

However, while agriculture is the most affected sector (Esikuri 2005, Pricope et al. 2013), the impacts of extreme weather patterns are also increasingly being felt in other sectors such as health, water, energy, and transportation (Wilhite et al. 2014, Chiotha & Kamdonyo, 2017, Chiotha et al. 2018). Evidence from Malawi since the 1970s suggests that the country has experienced unprecedented extreme weather events, showing increasing trends in magnitude and frequency (GoM, 2010).

The MGDS III has argued that climate change projects in Malawi have tended to be small, fragmented and executed on a pilot basis. As a result, there has been partial implementation of policies and only partial use of coordinated approaches. This is attributed to low and erratic funding in Climate change programmes. The current government planning cycle of 5 years exacerbates the challenge since building resilience requires long planning cycles.

To date, climate change initiatives are characterized by implementation approaches that duplicate, sometimes contradict and fail to complement past or on-going initiatives. This weakens outcomes and undermine development gains.

In compliance with the Environmental Management Act and the Local Government Act, the Malawi government established a participatory District Development Planning System (DDPS) as an integral part of the decentralization process focusing on a systematic

bottom-up approach to development planning. However, there have been weaknesses in efficient data collection and addressing emerging issues such as climate change (GoM, 2012). This has resulted in weak governance and weak uptake of policies strategies and guidelines to achieve scale in reducing vulnerability of local communities to adverse effects of climate change and environmental degradation.

While most districts have incorporated climate change into their DDPs and have a general understanding of climate change, adoption of multi-sectoral approaches remains a challenge.

According to MGDS III, ministries and departments are at different stages of adopting results-based management and there has been inadequate appreciation of M&E as a management tool. There remain knowledge and capacity gaps with respect to M&E at all levels. The NCCP evaluation also confirmed this observation.

In addition to the need for improved governance, a number of research programmes have demonstrated that the adoption rate of climate smart approaches and other pro-environment actions by smallholder farmers has been incremental and, in some cases, researchers have noticed maladaptation that raises vulnerability and risks (Bell, Parkhurst, Droppelmann and Benton, 2016; Chinsewu, Dougill and Stringer, 2018). Climate change has been characterised as a transformative stressor that compels institutional change to reorient governance frameworks to better manage the transformational reforms needed to effectively confront climate change (Mathews, 2010).

1.2 Efforts to address the development challenge

Malawi has developed several short and medium-term programmes and projects on climate change adaptation, mitigation and natural resources management. There are several institutions (government and non-state actors) addressing the challenge of climate change and environmental degradation in Malawi. For example, programmes and initiatives run by the Malawi government include National Climate Change Programme; Adapt Plan; Climate Proofing Development Gains; Enhancing Community Resilience Programme (ECRP); National Agriculture Sector Wide Approach; Humanitarian assistance - Emergency Cash Transfer Programme; Accelerating uptake of improved cook-stoves and Strengthening Community Disaster Resilience Malawi Social Cash Transfer Programme.

There are also several non-state actors that complement Government in the above initiatives. These include Catholic Development Commission, Total Land Care, Trocaire, Action aid, Development Fund of Norway, Concern Worldwide, Goal Malawi, World Vision International, One Acre Fund, Self Help Africa, Leadership for Environment and Development (LEAD), Centre for Environmental Policy and Advocacy (CEPA), Civil Society Network on Climate Change (CISONECC) and the National Association of Small Farmers in Malawi (NASFAM), Lilongwe University of Agriculture and Natural Resources, and Chancellor College amongst others.

The interventions above have yielded positive results for vulnerable local communities. For example, the ECRP *'created an impact at household level and improved the resilience of its participants'*. ECRP also *'played a critical role in strengthening capacity for disaster risk reduction at community level in 272 Group Village Headman Areas (GVHs)'*.

The predecessor initiative to NCRP, the National Climate Change Programme (NCCP), made significant contributions to improving the policy landscape in Malawi. Climate change issues are being mainstreamed into policy documents, strategies and plans, which will ultimately also lead to effective budgeting. There is now strong political will manifested

among others through the development of the National Resilience Strategy (NRS) and implementation plan. Another programme run by LEAD on behalf of the Malawi Government, the Lake Chilwa Basin Climate Change Adaptation Programme (LCBCCAP), used the ecosystems approach to secure the livelihoods of 1.5 million people living in the Lake Chilwa Basin districts of Machinga, Phalombe and Zomba. The project run from 2010 to 2017 managed to build both the ecosystem and community resilience. Tree planting and natural regeneration resulted in over 6,700 ha of tree cover along degraded land including river banks. It further enhanced capacity in agribusiness and livelihood income generating activities like small-livestock pass-on scheme, conservation agriculture, fish value addition, integrated agriculture aquaculture, village savings and loan schemes, some of which built both the ecosystem as well as community resilience. Despite the achievements, gaps remain in implementation of policies.

Addressing climate change challenges requires efforts from all sectors not just the CC and ENRM sectors. There is an on-going initiative on GHG inventory which enables Malawi to report on her GHG emission to the Kyoto Protocol as per provisions in the Paris Agreement. Apart from meeting her reporting obligations the work will also guide future programming. Climate change impacts in recent years are increasingly impacting the built environment and thus necessitating the need for building standards which will ensure that infrastructures in Malawi are resilient to the extremes in the weather. Hence investments in CCM and CCA requires consultative planning coupled with coordinated joint implementation

1.3 Underlying causes to the development challenge in climate resilience

The problems described above are complex and call for innovative approaches for effective management. Ecosystem-based interventions are becoming an integral part of research and development projects undertaken where weather related, and human-induced shocks synergistically interact to negatively impact resilience of ecosystems upon which natural resource-based livelihoods of the people depend. In this context, the ecosystems approach (EA) as proposed by the Convention on Biological Diversity (Secretariat of the Convention on Biological Diversity 2004) is considered appropriate for the climate change programme because it is system-based but also strengthens stakeholder participation.

The 2018 population figures still show Malawi's population as rural based (85%) and dependent on subsistence agriculture. And like the rest of the world, her production activities such as agriculture, forestry, fisheries, herding and livestock production have influenced her ecosystems. The government has reviewed and formulated new policies aimed at addressing the climate change challenges which if not addressed increases the number of vulnerable communities. Despite these efforts, the country continues to experience escalating environmental degradation. Implying that the underlying and root causes to the challenges have not been adequately covered.

There were several underlying causes which were identified in developing the NCRP and include the following:

- a) Lack of leadership and accountability for non-performance of ENRM interventions. Lack of accountability from duty bearers (institutions implementing CC programmes/projects) and rights holders (beneficiaries requires that there is improvement on accountability for performance on programme results by implementers and beneficiaries. by holding duty bearers accountable the ERM are safeguarded.

- b) Limited political will: - despite the glaring impacts of climate change and the awareness of what needs to be done, in some cases political heavy weights are at the core of causing environmental degradation.
- c) Lack of policy implementation. Policies have been developed but are not implemented
- d) Fragmented approaches in implementing climate change
- e) High population growth leading to encroachment for settlement: If issues of population continue to be ignored in planning, the desired results may not be realised.
- f) Inadequate enforcement of guiding laws and regulations by office bearers.
- g) Unchecked efforts to address the current CC challenges will not yield the desired results.
- h) Inadequate prioritization due to donor conditions and interests.

I. DEVELOPMENT CHALLENGE

II. STRATEGY

2.1 Contribution of UNDAF

NCRP will contribute to the 2019 – 2023 United Nations Development Assistance Framework (UNDAF) through Outcome 7, which states: "by 2023, households have increased food and nutrition security, equitable access to healthy ecosystems and resilient livelihoods".

2.2 Evolution from NCCP

The proposed strategy for achieving healthy ecosystems and resilient communities builds on the best practices developed within the National Climate Change Programme, particularly the multisectoral approach to project management which was central to achieving the high-level results that NCCP achieved. NCRP will expand on cross-district level project management approaches in addressing specific climate change issues in hotspots that traverse district boundaries as guided by the ecosystems approach.

At central level, NCRP will foster joint sector planning. National coordination structures were another best practice cited by the evaluation, NCRP will expand the functions of the committees beyond information sharing to accountability structures. NCRP further refines NCCP approaches based on lessons learned, and introduces new coordinated ecosystem-based, accountability and inclusion approaches to deliver results.

While NCCP put in place the current policy landscape that drives climate change action in the country, NCRP major features will be promoting:

a) coherence in policy implementation through bringing together different sectors across defined ecosystems and jointly address ecosystem challenges using tested and tried context specific approaches². Part of the solutions adopted by the agriculture sector to address drought is farming in wetlands. This solution contravenes provisions under forestry legislation. In seasons when the rainfall is above normal wash away of gardens has been a common phenomenon and therefore there is great need for coherence in policy implementation and where possible this should be guided by research findings.

b) attainment of sustainable climate financing including green taxes³;

Currently the government allocation for ENRM is only at 1% of the budget⁴. This low expenditure is a contributing factor to the escalating environmental degradation in the country in that the ENRM sector are unable to allocate resources for minimising environmental degradation through re-afforestation programs. Identifying alternative sources of climate finance could assist in addressing the low budgetary allocation to the sector. Finance mobilisation through green levies and taxes will ensure that there is sustainable funding for CCM activities and thus contribute to resilience at house hold level.

² MGDS III has argued that CC projects have tended to be small, fragmented and implemented on pilot basis which does not produce transformation

³ National Climate change policy prioritizes sustainable finance through creation of National Climate change management fund

⁴ Public Expenditure review 2016

c) compliance with, and enforcement of environmental legislation and standards⁵; environmental degradation has contributed to the adversity of climate change impacts. Where environmental management is sound, impacts of CC have been minimal as evidenced by the floods of 2015 where communities in Balaka who were practicing sustainable land management did not experience washing away of gardens as was the case with their non-practicing neighbours⁶. In this project, the emphasis will be greening the construction industry through greening building standards;

d) payment for ecosystems principles will be explored as one way of mobilising climate finance and incentivising pro-environment practices: in this activity it is only the coordination aspect which will be done under NCRP as the bulk of the work falls under the PEA and lessons from other players e.g. FAO work in Kasungu, will greatly contribute to this work;

e) Assess and track climate change investments: Data collection, data management and reporting in adaptation and climate finance will be pursued. A database will be developed on Information Management system to capture investments and they link with specific national indicators on adaptation and resilience;

f) promote principles of continuous learning through applied research⁷. A memorandum of Understanding will be drawn with the University of Malawi – Polytechnique and limited sponsorship for research on green construction will be provided to inform government on alternative and costs effective materials for construction;

g) Operationalization of GHG emission inventory: NCRP will also build on the greenhouse gas inventory pioneered by EAD under the USAID PERFORM project in order to inform GHG emission reduction scenarios and investment choices. This will contribute to achieving the countries ambitions as stated in the Intended National Determined Contribution under the Paris agreement.

NCRP is designed to provide an effective platform for coordination and oversight of all climate change initiatives in Malawi. NCRP will play a pivotal role in providing oversight of CC policy implementation. Building on the climate action information management system (IMS) currently being developed with UNDP support, NCRP will track financial CC investments, including resilience indicators agreed at national level. The IMS will serve as a national forum for linking and tracking all CC initiatives linked to Malawi's policy priorities, including its National Determined Contribution (NDC) under the Paris Agreement on Climate Change, and will inform performance tracking of the impacts and results of CC initiatives across the country.

2.3 The Technical Approach

The Theory of Change (Annex 1) proposed for NCRP builds on the policy and coordination landscape created under the predecessor NCCP and seeks to achieve accountable, inclusive and effective implementation of climate change actions and policies for resilient ecosystems and communities. The ToC is based upon creating a sequence of enablers for increased accountability for results in CC programming; increased evidence-based research uptake and decision making; Coordinated transformative CC approaches to attain minimum defined packages for CC resilience; sustainable financing for climate change; Tracking of investments; monitoring of results and a sound win-win partnership model with the private sector.

⁵ The Environmental Management Act (2017) prioritises enforcement of environmental legislation and compliance with environmental standards

⁶ Sustainable land management programme evaluation

⁷ National Climate Change Investment Plan prioritises research for development.

Therefore, to tackle the above development challenges the NCRP theory of change (ToC – Appendix 1) was developed through a consultative process with key state and non-state actors. In summary, the stakeholders agreed and recommended a number of actions as follows:

- Establish a national climate change fund that is fully funded by the very many actors mentioned earlier and that will use a programmatic approach to implementation to provide continuity beyond the five years planning cycle to ensure that ecosystem recovery gains are not interrupted.
- Well-structured capacity building of national and sub-national decentralized structures to implement different interventions targeting climate change management, especially at district level.
- Applied research to inform local effective policy implementation and support evidence-based decision making.
- Support the decentralised transparency and accountability systems to track climate action.
- Broad partnerships across climate sensitive sectors. MDGS III is calling for stakeholder participation in the development of the programmes in general and NCRP is no exception.
- Partnership 'window' for multilateral and bilateral actors to invest in district and community-level interventions.
- Create a robust participatory monitoring, evaluation and learning system for adaptation, mitigation and climate financing aligned to the national M&E Master Plan.

The entry points will be governance, coordination, monitoring and sustainable financing. Coordination and governance structures at national, district and local levels need to be strengthened to foster accountability for results.

Work Packages and Partnerships:

Realising the level of investment required for a transformative national programme, NCRP will work with different partners⁹ yet to be identified under different thematic areas (work Packages) to leverage technical and financial support:

- Governance for Results (WP1)
- Resilient Ecosystems (WP2)
- Financing for Climate Action (WP3)
- Action research for environmental sustainability and low-carbon development (WP4)
- Monitoring for transparency (WP5)

NCRP will work through the following enablers:

⁹ NCRP is an umbrella national programme and will require pulled resources to operationalise the climate change fund and implement ecosystem-based adaptation plans. Other DPs will be approached to complement UNDP resources.

2.3.1 Strengthened coordination and governance structures at all levels – (Governance for Results)

NCRP will provide a platform for coordination of all climate change projects and programmes in the country through the coordinating committees, namely the National Steering Committee on Climate Change (NSCCC), National Technical Committee on Climate Change (NTCCC), Sector and Thematic Working Groups, as well as the Development Cooperation Group on Environment, Resilience and Climate Change (DCERCC). NCRP seeks to elevate the functions of these committees beyond information sharing and approval of workplans to accountability oversight, where all climate change-related programmes and projects will report. This added oversight role will complement the oversight role of the parliamentary committee on natural resources. NCRP will build linkages between central level committees, districts, as well as local committees in climate change policy implementation and action. Capacity will be built to apply transformative approaches to climate change and accountability, such as community score cards and social accountability and performance tracking, to better monitor, appraise and demand results from climate change interventions.

2.3.2 Institutionalizing ecosystem-based approaches for climate action – (Resilient Ecosystems)

As outlined in the ToC, the programme will accelerate the adoption of ecosystems-based approaches (EBA) in priority areas for climate action. EBA is “a strategy for the integrated management of land, water and living resources that promotes their conservation and sustainable use in an equitable way”, as defined by the Convention on Biological Diversity (CBD) (Secretariat of the Convention on Biological Diversity, 2004). It is guided by 12 principles which are also referred to as ‘Lilongwe Principles’. The EBA encourages recognition of the interdependence of economic and social development and environmental protection. It is a holistic and inclusive approach to managing the relationship between humans and the natural environment which they inhabit.

The following is a five-step framework for implementing of an ecosystem-based approach:

- Step A:** Determining the main stakeholders, defining the ecosystem area, and developing the relationship between them.
- Step B:** Characterizing the structure and function of the ecosystem, and setting in place mechanisms to manage and monitor it.
- Step C:** Identifying the important economic issues that affect the ecosystem and its inhabitants.
- Step D:** Determining the likely impact of the ecosystem on adjacent ecosystems.
- Step E:** Deciding on long-term goals, and flexible ways of reaching them.

Two types of ecosystems will be targeted: a natural ecosystem and a managed ecosystem. The natural ecosystem has been selected by government based on the forest landscape restoration assessment which identified the Bua ecosystem as a priority for strengthening ecosystem resilience. The Bua ecosystem has Mchinji and Kasungu as its catchment area; Nkhotakota is the breeding ground for Mpasa fish (*opsaridium microlepis*). Because of environmental degradation there is high levels of soil erosion which causes siltation in Bua river which is affecting breeding areas for fish hence contributing to the dwindling of fish in Lake Malawi. Lilongwe and Dowa form also part of the ecosystem. As identified by the forest landscape restoration, Lilongwe and Dowa suffer from food insecurity⁹. Partnerships will be sought with FAO and other bilateral funding food security interventions in the areas. The Bua ecosystem provides a diverse

⁹ Forest landscape restoration assessment

range of intervention areas and has a high potential for results if plans are developed and implemented at an ecosystem level.

NCRP will engage all the districts within the Bua ecosystem and develop an Ecosystem Restoration Plan addressing climate change hot spots within the ecosystem. NCRP will provide a platform for addressing ecosystem-wide challenges. Since climate resilience is the ability of social ecological systems to absorb and recover from climatic shocks and stresses, whilst positively adapting and transforming their structures and means for living in the face of long-term change and uncertainty, policy dialogues on ecosystem resilience will be used to accelerate adoption of the approach.

The Shire Highlands will be targeted as a managed ecosystem which covers Mulanje and Thyolo. These districts share a common managed ecosystem dominated by tea estates. A private sector managed platform convenes tea stakeholders, which NCRP will leverage to enhance government engagement with the private sector on climate action through EBA. In concertation with national stakeholders, a Shire Highlands Ecosystem Restoration plan¹⁰ will be developed as a basis for resource mobilization, including through leveraging the Corporate Social Responsibility commitments of various tea estate operators.

NCRP will build synergies with already existing initiatives in these districts for greater impact.

2.3.3 Sustainable climate financing (Financing for Climate Action)

NCRP will establish structures that will not only tap into external multilateral and bilateral funds but also leverage domestic resources including the private sector to transition toward more sustainable funding mechanisms for climate change action. This intervention will focus on creating a legal framework for polluter pays principles, collection of green taxes and levies, and payment for ecosystem services. Malawi can mobilize domestic funding up to a net total value of 4.5 Billion Kwacha (about US\$6 million) per year (GoM, 2018), according to a recently completed study. This would significantly reduce the funding gap being experienced by the country and contribute to lasting community level impacts from CC initiatives.

NCRP will work with government to increase climate change funding, including through mobilization of domestic funding's and innovative financing approaches to launch a National Climate Change Fund (NCCF).

The Ministry of Finance (Treasury) and Ministry of Justice and Constitutional Affairs will be engaged to explore options of institutionalizing and operationalizing the collection of green taxes and levies for capitalization and replenishment of the national climate change fund. Some of the proposed levies include carbon levy on motor vehicles, levy on extractives, as well as negotiating for a percentage of the storage levy.

2.3.4 Improving uptake of applied research findings to inform evidence-based policy and programme design and delivery (Action research for environmental sustainability and low-carbon development)

Evidence from applied research is essential to helping decision makers identify and implement policies and programmes that will allow Malawi to realize inclusive and sustainable development (AFIDEP 2015). Too often however, policy relevant evidence is either unavailable or unused by decision makers. NCRP will strengthen the link between applied (or action) research and policy makers through the following avenues:

¹⁰ Subject to availability of co-financing partners

a) Applied Research and Policy Dialogue

In Malawi, applied research is not a pre-requisite step in the policy development process. Instead, a policy gap analysis is mandatory. As a result, there is a clear de-link between policy development and research. NCRP, in partnership with the Poverty-Environment Action (PEA) initiative, will work with OPC to introduce public policy dialogue between researchers and policy makers on climate change, with the objective of including research dialogue as part of the policy formulation process. Policy makers including parliamentary committees will participate in such dialogues and the OPC will be engaged to sensitize sectors on the need for research-based dialogue to inform policy and programme implementation. Annual competitive calls for innovative applied research proposals tied to GoM climate change policy priorities will be made, with winning ideas financed by NCRP to serve as topics for public policy dialogues.

Studies have identified communication barriers between researchers and decision makers as one of the reasons for low research uptake by decision makers. NCRP will work with researchers on how to improve communications on climate action for decision makers. The programme will work *to bridge the gap between research, policy and practice by enabling use of evidence in decision making on climate change action*, including through synthesis, translation of research and evidence packaged in a manner that supports uptake. For example, research on the economic impacts of thin plastics and waste management will be conducted to motivate stakeholders to revisit the long-standing ban on thin plastics and construction of a land fill¹¹ in Lilongwe City. On average, a person generates 0.5kg waste/day, and government authorities have indicated that Lilongwe needs a land fill¹² to properly dispose off waste and reduce GHG emissions. Adoption of a low carbon emission pathway is paramount to a climate resilient Malawi. One of the drivers of environmental degradation is deforestation resulting from the quest for energy but contributing to Malawi being a net emitter. Monitoring of the GHG will facilitate with future planning.

b) Low-Carbon Construction

In the context of Malawi's urbanization rate of 5.2%, and the need to green the built-up environment in urban and peri-urban areas across Malawi, NCRP will work to increase uptake and use of low-carbon construction materials by providing evidence based recommendations on affordable, user friendly options for green construction materials and methods through sponsoring applied research, policy and regulatory development, as well as knowledge dissemination and uptake by Malawi's private sector by new materials and practices. Malawi gazetted the regulations on the ban of using burnt bricks on commercial and state-owned building. Individual houses that form more than 90% of buildings in the country still use burnt bricks. Specific research on alternative green construction materials and designs need to be conducted to aide government in extending the ban to individuals. NCRP will sponsor a limited number of Doctor of Philosophy (PhD) and Master of Science (M.Sc.) students in green construction materials and design to augment national capacity in these areas. NCRP will further monitor uptake of the recommendations by policy makers to form part of the national building standards. An MOU will be signed with the Malawi polytechnic to manage the research and propose viable options that would be advocated for government's adoption.

¹¹ Subject to co-financing

¹² Malawi NDC recommended reduction of waste generation, recovery and use of landfill bio-gas, controlled waste incineration as technological approaches to mitigate GHG emissions in the waste sector.

c) Operationalization of GHG emission inventory

To inform investment decisions and model different low-carbon scenarios from regulatory reforms in multiple sectors, NCRP will support the operationalization and institutionalization of GoM's GHG inventory system. The country will be able to continue to track its GHG emission trends on an annual basis and plan its low carbon emission development pathway.

2.3.5. Integrated Climate Resilience Tracking (Monitoring for Transparency)

NCRP will develop a system for assessing and tracking results from climate change adaptation interventions and financial investments. A national database of resilience indicators developed from various climate change sector plans will be developed. An indicator-based reporting system will be developed to which all projects will be reporting to GoM. The system will track financing towards specific indicators to inform government investment planning in climate change.

2.4 Mainstreaming of Gender and Vulnerable Groups in Climate Change

For successful implementation of NCRP, cross-cutting areas will be mainstreamed in the programme outputs. These include gender balance, youth development, empowerment of persons with disability, environmental management, disaster risk reduction and resilience building, peace, security and good governance. NCRP will adopt 50+ campaigns in various groupings and decision-making positions within the intervention's committees. Gender transformative approach (GTA) will be operationalised in all its activities to achieve the goal of enhancing the livelihoods of poor women and men and their families in a sustainable manner. GTA will be integrated in participatory action research (PAR) where both men and women will be brought together during the design and testing of technologies and practices. The approach will support both men and women to critically reflect upon and address norms that prohibit women from engaging in more natural resources-based businesses, and through this reflection assist women in gaining access to distant markets and controlling earnings from sales. By integrating these, the project ensures that no one is left behind as the country implements this programme between 2019 and 2023.

2.5 Linkages with other programmes

Like UNDP, the FAO and WFP have on going initiatives on climate change and resilience, especially regarding farming and fisheries. These cover weather information dissemination and capacity building. The NCRP will collaborate with these agencies at national level and at district level in the context of Delivering as One UN.

There are several large ongoing programmes in the country that have long term national objectives and goals, such as the NAIP, the FISP, the NRS, the Malawi National Social Support Programme, the national irrigation masterplan, the land and forest restoration strategy, the Building Resilience and Adaptation to Climate Change (BRACC) initiative supported by DFID and Irish Aid and other programmes. The NCRP will work closely with the UNDP component of this program to ensure there is no duplication of efforts and to maximise on lessons learnt.

2.5.1 NCRP linkages RICE portfolio (Accountability and local governance projects)

NCRP will collaborate with accountability and local governance programme in ensuring that: a) planning and implementation of all activities is participatory and inclusive; d) there

is oversight of the assets created through transparency and application of good governance; c) community-driven mechanisms for demanding results and accountability are instituted; e) grievance and redress mechanisms are put in place; and f) mechanisms are in place for holding duty bearers and service providers accountable.

It is envisaged that these linkages will reduce significantly loss of assets incurred through vandalism by communities and address failure for institutions to stick to their planned activities.

III. RESULTS AND PARTNERSHIPS

3.1 Expected Results

The goal of the proposed programme is *'accountable, inclusive and effective implementation of climate change policies and programmes for resilient ecosystems and communities'* which is contributing to the UNDAF's Outcome 7 – *"By 2023, households have increased food and nutrition security, equitable access to WASH and healthy ecosystems and resilient livelihoods."* To achieve the overall goal, one sub-outcome has been proposed as follows with relevant outputs where achievement of each of the outputs will result into achieving the outcome which contributes to the CPD and UNDAF outcome, more especially on healthy ecosystems and resilient livelihoods. Below is the sub-outcome and the corresponding outputs. A description of each output follows with planned interventions and expected change that can be attributed to the project.

3.2 Project Outcome: By 2023, households have increased food and nutrition security, equitable access to healthy ecosystems and resilient livelihoods

This is also the UNDAF Outcome 7/UNDP CPD outcome 2 and relates to the UNDP Strategic Plan Outcome 3: Strengthening resilience and shocks to crises.

3.3 OUTPUT 1: Strengthened capacity for improved result-oriented governance and management of climate change, at national and district levels

This output comprises two work packages which are *governance for results* and *resilient ecosystems*. Climate change is considered as a transformative stressor because of its wide social impacts that are so pervasive and severe as such transformation approaches are needed to offset the social impact.

Practitioners, policy makers and policy makers are now questioning the potential limits of conventional approaches in effectively delivering adaption and mitigation hence growing interest in the theory and practice of transformative approaches like accountable governance system, *'power to the people'* approaches, Ecosystems approaches and landscape restoration approaches,

This output will focus on building capacity at central and decentralised government levels on application and use of these innovative transformative approaches for lasting results.

Proposed interventions include;

- 3.3.1 Develop and implement Ecosystem Restoration Plans
- 3.3.2 Promote and enhance use of accountability tools like Financial, Social and Environmental Audits
- 3.3.3 Strengthen mandates of the CC, Environment and NRM committees for effective oversight of programmes.
- 3.3.4 Promote Joint Sector Planning
- 3.3.5 Develop CC proposals screening tools for use by EWG/TCC/SC (based on the recently developed guidelines for accessing GCF and GEF funds)

These transformative approaches are expected to contribute to achieving scale and impact in adaptation and mitigation results in reducing vulnerability beyond current levels

and enhance value for money in climate change management. Recognizing that ecosystems face multiple threats simultaneously, and that solutions have tended to be at individual threat level, their additive, antagonistic or synergistic effects are not assessed. By adopting EBA, NCRP will address the multiple threats simultaneously through the coordination by joint planning at ecosystems level and thus contribute to ecological and social resilience in the targeted ecosystems.

3.4 OUTPUT 2: Scaled-up action, finance and partnerships for climate change adaptation, mitigation and disaster risk management across sectors.

Output 2 comprise one work package on financing for climate action. With the growing international interest on long-term climate finance, countries are encouraged to create domestic enabling environment to attract climate funding. Malawi developed a climate change policy to among others provide for establishment of the fund. The fund would be capitalised through taxes, levies and penalties from non-compliance of environmental laws among others. The recently finalised study on exploring sources of domestic financing will form a basis for implementation

The proposed activities include:

- 3.4.1 Operationalise the NCCF.
- 3.4.2 Develop a framework for collection of green levies and taxes.
- 3.4.3 Develop a fund-raising strategy to attract both local and international sources.
- 3.4.4 Process the fund for accreditation with GCF and other multi-lateral institutions.

Through the NCCF, NCRP will assist government to attain stability¹³ in climate financing: coordinate resource mobilization (locally and internationally) and ensure efficient, effective and sustained implementation of national climate change and development priorities; and stimulate green growth in the private sector through the private sector window of the fund

3.5 OUTPUT 3: Strengthened management for effective, and inclusive partnerships; Research and PMEAL for effective targeting in adaptation, mitigation and climate finance.

Output three comprise two work packages on Action research for environmental sustainability and low-carbon development and Monitoring for results. Applied research specific to alternative green building construction materials and designs will be conducted. The findings of the study will be used to inform policy on Malawi context specific green building standards and designs.

On the other hand, NCRP will create an integrated climate resilient monitoring system which will track results in adaptation and finance. Data on climate change projects implemented dating back to the period under MGDSIII will be collected and analysed to track progress made under specific indicators. Financial investments on specific indicators will be monitored. Capacity will be built, with the Ministry of Finance and Economic Planning and Development leading the process. The monitoring system will inform planning and decision making in thematic and geographical targeting of climate change initiatives. The system will also serve as a transparency tool for allocation of resources vis-a-vis results and impacts achieved.

¹³ Climate change policy (2016) identified climate change financing as a major challenge in Climate change implementation

The proposed activities include:

- 3.5.1 Conduct innovation symposium
- 3.5.2 Conduct research on greening building materials and designs
- 3.5.3 Operationalise the GHG inventory system developed by PERFORM
- 3.5.4 Develop a climate financing tracking system (on going)
- 3.5.5 Convene platforms on research and policy dialogues

With an operational M&E system for resilience, climate adaptation and finance, Malawi will be able to track its resources and better plan its investments in climate change.

3.6 Resources Required

To achieve the overall goal, the programme will rely on GoM delivery and operations, contributions from development partners, UNDP support to national implementation and direct implementation where relevant, and engagement with a broad spectrum of national stakeholders.

To implement the programme, dedicated project staff a project manager and a finance and administrative associate will support implementation of the project, with further technical support from UNDP and consultants (including international) as required.

The UNDP country office will provide quality assurance for the components implemented by the implementing partner, as well as operational support in terms of procurement, recruitments, etc. as required.

UNDP TRAC have committed a total of \$2,500,000 for 5 years. Further resource mobilization will be encouraged by the implementing partner for project expansion particularly for district level activities and continuation following the NCRP implementation period.

A project vehicle and computers will be bought under the project to strengthen the government's role in monitoring project implementation.

3.7 Partnerships

Partners will actively be sought by GoM and UNDP to support the National Climate Resilience Programme, and to ensure that enough resources are available to support government in implementing the programme. This will be built on the past and ongoing projects and programmes in the targeted impact areas. Previously NCCP partnered the Japanese and World Food Programme in Africa Adaptation programme phases I and II, Norway, DfID, World Bank, FAO, Flemish International Cooperation Agency – FICA, United Nations Institute for Training and Research – UNITAR (NCCP phase 1) New partnerships will be developed depending on mutually complementally programmes.

The partnerships will be at national, district and community levels. NCRP will work with several partners clustered in the following categories; policy and strategy champions, community livelihoods champions, capacity building and research champions and landscape restoration champions; response to shock champions (humanitarian).

Work Package 1, governance for results, the programme will partner with the UNDP RICE Portfolio. Work Package 2, Resilient Ecosystems, will require donor partners to assist with the implementation of the Bua ecosystem restoration plan which will be developed. Several partners are required for Work Package 3, on financing for climate action under

climate change fund. Work Package 4, the project will work with the University of Malawi and other education institutions.

3.8 Risks and Assumptions

Risks and assumptions for this programme have been categorized into three areas broad: operational, occupational and project management risks. Against each broad area, specific risks and implications, risk scores, likelihood of occurrence and management strategies to mitigate risks have been described (see Annex 3 for more details). The programme has also been developed on assumption that bilateral partners would be willing to support some outputs where there are financial gaps e.g. the climate change fund.

3.9 Stakeholder Engagement

NCRP will work closely with other development partners through championship of thematic areas. Learning from the predecessor NCCP, multi-stakeholder and multi-sector approaches deliver results and long-term change hence NCRP will work with ongoing projects and different stakeholders as well as development partners under specific work packages.

Local stakeholders and community members, particularly those targeted ecosystems, have a key role in the implementation and will be engaged from the beginning through the decentralised governance structures. During the implementation of the project, the IP in collaboration will consult with all stakeholders, including vulnerable community members through District governance structures (VDC, ADC, CPCs, ACPCs) will facilitate a shared understanding of the roles and responsibilities within the decision-making structures for the NCRP programme, including reporting, communication lines and conflict resolution mechanisms. The project logic framework (indicators, means of verification, assumptions) will be periodically reviewed with the communities in the targeted districts as part of continuous stakeholder engagement. The stakeholders will also be engaged during the mid-term and final evaluations to assess the progress of the project and enable adaptive project management in response to the needs and priorities of communities. Community participation will be tracked through existing decentralised government structures which will be used to implement the project. Community representation in the project board will be through the decentralized structure of the implementation partner.

3.10 Gender and Human Rights-Based Approach

Gender and rights-based approach is core for the NCRP programme in Malawi. The NCRP recognizes that understanding on the need for empowerment of the poor and empowerment of women, is critical for achieving successful ecosystems resilience and gender equality. The program will focus on promoting gender equality and human rights standards in the mainstreaming of ecosystems-based approach in the national and local plans and in addressing issues of exclusion which generates and sustains poverty and unsustainable management of natural resources.

The NCRP programme will build upon research and other tools developed by the previous and other on-going NCRP and other partners particularly the UN Women on the Cost of Gender Gap in Agricultural Productivity in Malawi. Women in the local structures will participate in decision making and engaged in enhancing accountability at district level.

The project will also generate data in climate change adaptation and finance. Continuous data generation including poverty analytics and cost benefit analysis will be conducted in a

gender desegregated manner to assess gaps, achievements and effectiveness of the project.

Further the project will contribute to ensuring communities especially the marginalized groups benefit from national and district investments. The project will therefore apply the human rights and gender approach to ensure that issues of exclusion in climate change management and climate change adaptation ENRM which could further sustain ecosystem resilience, are addressed. The project has also been formulated based on African Agenda 2063 focusing on inclusive growth and sustainable development.

IV. RISKS AND ASSUMPTIONS

Stakeholders identified the risks during consultations for proposal formulation, mitigation measures were proposed for each risk. During project implementation, the risk log will be updated as some risks may arise during implementation. The achievement of the expected results under this project assume that district governance and coordination structures, administrations, local authorities, Private sector will accept to enforce accountability into project implementation and accept to pilot transformative approaches. The major risk envisaged is resistance for DPs to be monitored based on agreed upon tools.

The full list of risks appears in annex 3.

4.1 South-South and Triangular Cooperation (SSC/TrC)

NCRP will maintain the south to south partnership with the climate change fund in Rwanda (FONERWA) which started two years ago. Fonerwa has been providing technical support to Malawi in establishing the climate change fund.

NCRP will also reach out to Kenya (have developed tools for tracking developmental gains from climate change investments) and other countries in the region who have established resilience monitoring and are able to quantify developmental gains from their CC investment.

4.2 Knowledge Management

The programme will conduct monitoring and evaluation actions through a routine focussing on programme performance and impacts generated. M and E will generate knowledge products relating to what was planned, what was achieved and what were the impacts locally, regionally and internationally. The programme will design and implement a robust visibility programme through print and electronic media such as radio, television, publications of progress and impact reports in form of posters, calendars, books, booklets, brochures and leaflets. For radio and television broadcasts, the programme will engage local radio and television stations through an MoU for weekly broadcasts. The programme will have a special focus on successful interventions vi a case study approach.

4.3 Sustainability and Scaling Up

The programme will focus on long term sustainability by progressively building the capacities of local service providers while systematically disengaging its staff from technical functions. The programme will build sustainability at three levels namely: the grassroots, district level government sectors and the non-state actors. To ensure the continued flow of needed and valued services once funding ends, the programme will strengthen the three layers for sustainable local capacity development using decentralized district and local structures, participatory planning, implementation, monitoring and evaluation, training and capacity building at all the three levels, revolving fund schemes and the use of the lead farmer approach.

V. PROJECT MANAGEMENT

5.1 Cost Efficiency and Effectiveness

The design of NCRP project has been guided by the need for cost effectiveness and sustainability of the interventions. The proposal has put emphasis on inclusion and partnerships to leverage technical and financial resources. The programme will collaborate with other programmes to maximise on results. The project also will collaborate with RICE portfolio in ensuring that governance and accountability is strength in the Climate change and natural resources activities under the programme.

Scrutiny will be made to costs and value for money will be ensured throughout the project implementation period. Proactive risk management methodologies will be used for early detection of potential financial abuse. Spot checks will be conducted quarterly to minimise risks.

NCRP being an umbrella programme, pooling of resources with other climate change projects will be sought. For example, meetings for the coordination committees will be co-funded among the climate change programmes that use these committees, Joint monitoring will be encouraged, and meetings will be Programme complementarity with other initiatives will be pursued and building on already existing structures. Sharing of analytical pieces within climate change will be encouraged to minimise resources that are allocated to studies which are often duplicated.

5.2 Project Management

In the context of UNDP's new Country Programme Document, and the 2018 UNDP country office audit, NRCP will be executed using a mix of UNDP "Support to National Implementation Modality" and "Direct Implementation". The Environmental Affairs Department in the Ministry of Natural Resources, Energy and Mining will have overall responsibility of the programme execution and will involve all other relevant players in implementation. The National Steering Committee on Climate Change will serve as the Project Steering Committee, also known as the Project Board, and will be responsible for providing overall coordination, guidance and oversight in-line with UNDP's Results-Based Management (RBM) approach.

The management of allocated funds, procurement and recruitments will be carried out by the project management team according to UNDP financial rules and regulations and based on an annual work plan over the programme period (2019-2023).

Procurements will be done using the UNDP Malawi Procurement Unit to benefit from bulk purchasing and from recognized suppliers. Where possible, most of the purchases will be done in country to minimize forex loss and benefit the local economy.

VI. RESULTS FRAMEWORK¹⁴

Intended Outcome as stated in the UNDAF outcome 7: By 2023, households have increased food and nutrition security, equitable access to healthy ecosystems and resilient livelihoods										
Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:										
Indicator 2.1.2: Percentage of public expenditure on climate change adaptation and mitigation (Baseline: 3.5%; Target: 7%; Data source: independent climate and DRR public expenditure review reports 2014, 2018, 2021)										
Indicator 7.3: The hectareage of catchment area conserved ('000 ha) Baseline: 918.5 Target: 1001										
Applicable Output(s) from the UNDP Strategic Plan: Outcome 3: Strengthening resilience and shocks to crises										
Project Outcome: Accountable, inclusive and effective implementation of climate change and ENRM policies for resilient ecosystems and communities										
Project title: National Climate Resilience Programme; Atlas Project Award Number: MWI 00116269; ATLAS Project Number: 00113495										
EXPECTED OUTPUTS	OUTPUT INDICATORS ¹⁵	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year 5	
Output 1 Strengthened capacity for improved result-oriented governance and	1.1 Number of decentralised structures using nature-based approaches	Government Evaluation reports	1	2018	1	4	6	6	6	Project monitoring system; survey reports Risks: Lack of willingness to develop inter-district plans

¹⁴ UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

¹⁵ It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

management of climate change at national and district levels	1.2 Number of governance structures (Area Development Committees-) 2 per district using project monitoring tools in the targeted districts.	Government reports	0	2018	10	20	30	30	30	30	Monitoring reports Risks: Lack of willingness of service providers to be monitored and evaluated by beneficiaries
	1.3 Number of ecosystem restoration plans	District reports	0	2018	0	0	0	1	1	1	District Reports Risks: There might be lack of willingness by districts to adopt the ecosystem-based approach
	1.4 Number of cross-district plans successfully implemented	Government reports	0	2018	0	1	3	3	3	3	Programme Monitoring systems Risk: Districts might not be willing to collaborate and work beyond their borders
Output 2 Scaled-up action, finance and partnerships for climate change adaptation, mitigation and disaster risk	2.1: Percentage of public expenditure on climate change adaptation and mitigation ¹⁶ .	Independent climate and DRR public expenditure review reports 2014, 2018, 2021	3.5%	2018	3.5%	4%	5%	6%	7%	7%	Management information System database Risk Limited capacity to conduct Public Expenditure reviews

¹⁶ This will be determined in collaboration with the FEA project. NCRB will only manage to monitor the amount of funds mobilized domestically.

management across sectors.	2.2: Percentage of sectoral plans that mainstream climate risk and adaptation ¹⁷	Government reports independent climate and DRR public expenditure review reports 2014, 2018, 2021	20%	2018	20%	20%	40%	50%	70%	70%	Management information system database Risk Lack of willingness by sectors to adopt EBA during policy implementation at the district level
	2.3: A resource mobilisation strategy for the NCCF	EAD	0	2018	0	1	1	1	1	1	MoUs signed Risks Lack of commitment to capitalise the CCF Donor resentment due to cash gate history
	3.1 Number of districts with a PMEAL system for adaptation and CF	Government reports	0	2018	1	5	9	13	17	17	District reports Risks Lack of willingness to accept changes in the M&E system for monitoring compliance especially for Development Partners (DPs)
OUTPUT: 3 Strengthened management for effective, and inclusive partnerships; Research and PMEAL for effective targeting in adaptation,											

¹⁷ This will be determined in conjunction with the disaster risk reduction project

mitigation and climate finance	3.2 Number of research initiatives which will be supported.	Government reports	0	2018	0	1	1	2	2	2	Risks Inadequate funding to support research initiatives
Output 4 Project Management	Project financial delivery rate against AWP budget	Project progress reports	95%	2018	95	97	97	98	98	98	

VII. MONITORING AND EVALUATION

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	Programme Manager RPs	\$10,000
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	UNDP EAD RPs VDC ADC CPCs SC TC	\$5,000
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	Programme Manager EAD RPs	\$9,000
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	UNDP SC TC	\$3,000
Review and Make Course	Internal review of data and evidence from all monitoring actions to inform	At least annually	Performance data, risks, lessons and quality will be	Programme Manager	\$4,000

Corrections	decision making.		discussed by the project board and used to make course corrections.	EAD UNDP RPS	
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)		Programme Manager	\$0
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Specify frequency (i.e., at least annually)	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	EAD and Ministry of Finance and Economic Development.	\$3,000.

Evaluation Plan¹⁸

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
e.g., Mid-Term Evaluation	EAD, UNDP	1,2 &3	1 and 2	June 2021	EAD, UNDP RPs,	\$35,000
Terminal Evaluation	EAD, UNDP	1,2 &3	1 and 2	November 2023	EAD, UNDP RPs,	\$40,000

¹⁸ Optional, if needed.

VIII.

IX. MULTI-YEAR WORK PLAN 1920

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year					RESP ONSI BLE PART Y	PLANNED BUDGET	
		Y1	Y2	Y3	Y4	Y5		Fundin g Sourc e	Bud get Desc riptio n Amount
Output 1: Strengthened capacity for improved result-oriented governance and management of climate change, environment and natural resources at national and district levels	1.1 Revise and strengthen mandates of the CC, Environment and NRM committees for effective oversight of programmes.	5,000	8,750	8,750	5,000	5,000	EAD, MLOG UD	TRAC	32,500
	1.2 Train DEC, ADC, VDC and extension workers from 5 districts in transformative CCA and ecosystem approaches	5,000	5,000	6,000	5,000	5,000	EAD MLOG UD	TRAC	26,000
	1.3 Strengthen coherence in policy implementation by convening, policy dialogue and policy streamlining platforms	10,000	10,000	10,000	10,000	10,000	OPC	TRAC	50,000

¹⁹ Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

²⁰ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

	1.4 Promote and enhance use of accountability tools like Financial, Social and Environmental Audits; score cards; social analysis and action	5,000	5,000	5,000	5,000	5,000	5,000	5,000	EP&D	TRAC	25,000
	1.6 Strengthen knowledge management through codification for archiving and retrieval of project proposals and related outcomes	5,000	5,000	5,000	5,000	5,000	5,000	10,000	EP&D	TRAC	30,000
	1.7 Develop CC proposal screening tools for use by EWG/TCC/SC (based on the recently developed guidelines for accessing GCF and GEF funds	5,000	4,000	4,000	4,000	4,000	4,000	5,000	EP&D and EAD	TRAC	22,000
	1.8 Develop and institutionalise minimum package for resilience intervention in liaison with Adaptation Expert Working group	10,000	7,000	5,000	2,000	5,000	2,000	5,000	EAD and EP&D	TRAC	29,000
	1.9 Facilitate coordination of SC, TC, SWG TWG, and DCERCC	10,000	7,000	5,000	2,000	5,000	2,000	5,000	EAD	TRAC	29,000
	Sub-Total for Output 1	55,000	51,750	48,750	38,000	50,000	-	TRAC		243,500	

Output 2: Scaled-up action, finance and partnerships for climate change adaptation, mitigation and disaster risk management across sectors.	2.1 Develop an institutional framework for Climate Fund Facility	10,000	9,000	5,000	5,000	5,000	5,000	5,000	TRAC		34,000
	2.2 Develop and produce inclusive payment for remediation of the environment like Payment for Ecosystem Services (PES) schemes (in collaboration with other partners, the PEA project and FAO)	5,000	5,000	5,000	5,000	5,000	5,000	5,000	Forest N/EA D/MC CCI	TRAC	25,000
	2.3 Enforce environmental standards including green building codes	5,000	5,000	5,000	5,000	5,000	5,000	5,000	NCIC	TRAC	25,000
	2.4 Develop a framework for collection of green levies and taxes	5,000	20,000	15,000	10,000	5,000	5,000	5,000	Treas ury/Mo JCA	TRAC	55,000
	2.5 Develop Standard Operating Procedures (SOPs) for the NCCF	40,000	15,000	15,000	10,000	5,000	5,000	5,000	EAD	TRAC	85,000
	2.6 Operationalise the NCCF	4,500	35,000	4,000	5,000	60,000	5,000	5,000	EAD/T reasur y	TRAC	108,500
	2.7 Develop a fund-raising strategy to attract both local and international sources.	10,000	5,000	5,000	-	-	-	-	EAD	TRAC	20,000
	2.8 Create CC, Environment and NRM research hubs to address gaps in knowledge generation and sharing for effective interfacing	25,000	25,000	-	-	-	-	0	NCST	TRAC	50,000

	Sub-Total for Output 2	104,500	119,000	54,000	40,000	85,000	-	TRAC	402,500
OUTPUT 3: Strengthened management for effective, and inclusive partnerships; Research and PMEAL for effective targeting in adaptation, mitigation and climate finance	3.1 Develop a national monitoring system for adaptation	8,000	5,000	8,000	5,000	5,000	EP&D/ EAD	TRAC	31,000
	3.2 Develop a climate financing tracking system (on going)	5,000	5,000	15,000	5,000	5,000	EAD/E P&D	TRAC	45,000
	3.3 Operationalise the GHG inventory system developed by PERFORM	8,000	8,000	8,000	8,000	8,000	EAD	TRAC	40,000
	3.4 Promote climate change innovations through promoting green research	5,000	5,000	5,000	5,000	5,000	MoAI WD	TRAC	25,000
	3.5 Convene platforms on Research and policy dialogues	5,000	15,000	5,000	15,000	5,000	NCST	TRAC	45,000
	3.6 Develop and implement plans of managing the Bua ecosystems through inter-districts approaches	100,000	200,000	150,000	150,000	100,000	EAD/F orestry/ fisheries	TRAC	700,000
	3.7 Facilitate dialogue of collaboration of tea growers in Thyolo and Mulanje and government on climate change	5,000	5,000	5,000	5,000	5,000	EAD/T tea growers association	TRAC	25,000
	3.8 Strengthen technical capacity in translation and use of research evidence	10,000	10,000	10,000	5,000	5,000		TRAC	40,000

OUTPUT 4: Project Management	3.9 Developing a knowledge base for effective adaptive responses ENRM and CC to enhance adaptive capacity	12,000	10,000	8,000	4,000	2,000	TRAC	36,000
	Sub total 3	158,000	263,000	214,000	202,000	140,000	TRAC	977,000
	4.1 Monitoring programme activities	8,000	10,000	10,000	5,000	10,000	EAD/RPs	43,000
	4.2 Knowledge management (documentation of best practices and lessons learnt	-	15,000	20,000	10,000	25,000	TRAC	70,000
	4.3 Mid Term review and terminal evaluations	-	35,000	-	-	40,000	EAD	75,000
	4.4 Project quality assurance. (Spot checks/Audits. Project management meetings/ annual reviews etc	165,000	124,000	120,000	123,000	124,000	UNDP/EAD	664,000
	4.5 Project management and operational costs (PIU administrative costs, i.e. office supplies, communication, vehicle maintenance and utilities	5,000	5,000	5,000	5,000	5,000	EAD	25,000
	Sub-Total 4	182,000	189,000	159,000	143,000	204,000	TRAC	869,000
	GRAND TOTAL	499,500	622,750	475,750	423,000	479,000	TRAC	2,500,000

X. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Ministry of Natural Resources, Energy and Mining, specifically the Environmental Affairs Department (EAD) will be the Implementing Partner (IP) for this project and is accountable to UNDP for managing the project. EAD will be responsible for ensuring efficiency and effectiveness in implementation, monitoring, evaluation of project interventions, achieving programme outcomes, effective use of resources in accordance with UNDP rules and regulations, policies and procedures under Support to NIM. The IP will work in close collaboration with Department of Forestry, Ministry of Finance and Economic planning office of president and cabinet, Ministry of Local Government and Urban Development, Disaster Management Affairs, Fisheries department, National Statistics Office, Department of irrigation and water supply, National Commission for Science and Technology, National Council on construction Industry, Land Resources under Ministry of Agriculture, Irrigation and Water Development and District Councils led by the Director of Planning and Development (DPD) as the Responsible Parties (RP) in the implementation of the project.

The Ministry of Local Government and Urban Development and Environmental Affairs Department will be co-technical leads for output 1; The Treasury Department in the Ministry of Finance and Economic Planning and Environmental Affairs Department will co-lead Output 2; Department of Economic Planning and Development (M&E35 section) and the National Commission for Science and Technology will co-lead Output 3.

The programme will be implemented at strategic policy level targeting the two ecosystems of Bua river which covers Mchinji, Kasungu, Dowa, Lilongwe and Nkhosakota and the Thyolo escapements which covers Thyolo and Mulanje districts (tea growing area).

Governance of the Project will be supported through annual work planning as well as reporting and monitoring the delivery of results and impact based on 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 Programme Coordinator in close consultation with UNDP. The Project implementation shall ensure the Government ownership and active participation in Project activities, leaving the Programme Support Staff with the function of rendering expert support, but not substitution of the national structures/mechanisms.

The work plan will be implemented upon its endorsement by the steering committee on climate change and UNDP. The endorsed work plan will serve as an authorization to the Project Coordinator to disburse funds and project implementation. Implementation responsibility will be put on the Project Coordinator with quality assurance provided by UNDP in collaboration with the National Technical Committee on Climate Change and the National Steering Committee on Climate Change.

The project results as outlines in the results framework will be monitored and reported on a quarterly and annual basis and evaluated periodically during the programme implementation phase to ensure that results are achieved. Evaluation will be undertaken in accordance with UNDP as outlined in the Programme and Operations Policy and Procedures (POPP) and UNDP evaluation policy. UNDP country office will work with the Implementing partner to ensure M&E requirements are met.

A midterm review will be undertaken in the first quarter of the year 2021 following UNDP guidelines and framework. The programme will close with an end of programme evaluation and documentation of best practices and lessons learnt.

9.1 Audit Arrangements

As per UNDP guidelines, 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. 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, UNDP will automatically change its cash transfer modality from Direct Cash Transfers to Direct Payment. This case will also warrant a HACT special audit to provide adequate assurances to UNDP in terms of financial accounting. UNDP reserves the right to conduct HACT special audits when in-depth analysis on financial accountability is required. Audits will be conducted by pre-qualified private audit firm.

9.2 Agreement on Intellectual Property Rights and Use of Logo on the Project's Deliverables

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.

9.3 Direct Project Services

Direct Project Services provided to government directly under Support to NIM: The UNDP Country Office will also deliver a pre-determined set of project-specific execution services at the request of the Government. These execution services will be charged to the project budget in accordance with the UNDP's Harmonized Conceptual Funding Framework and Cost Recovery Methodology.

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 if key principles of competitiveness, accountability and transparency are followed.
- 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.

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.

XI. MANAGEMENT ARRANGEMENTS

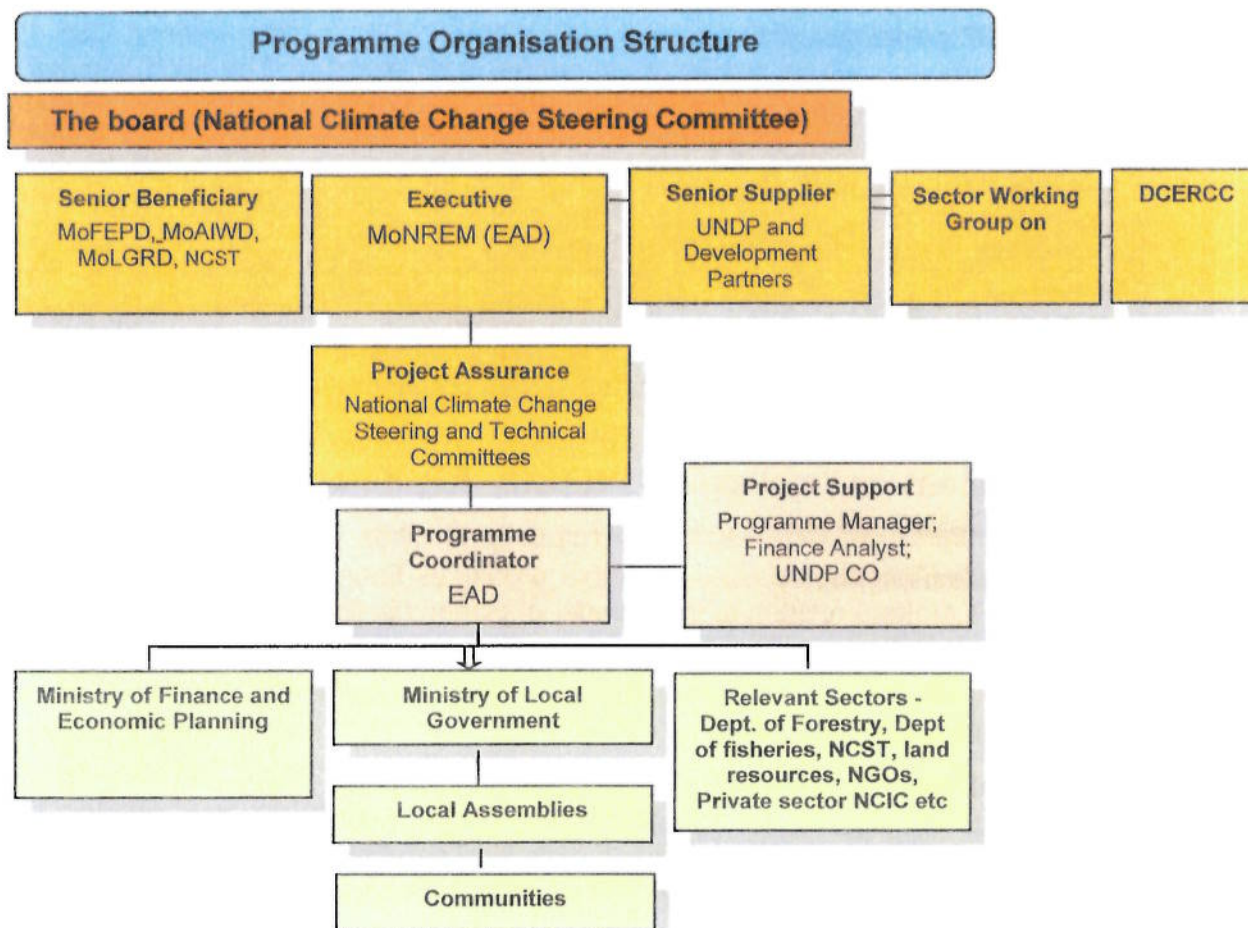


FIGURE 1

The National Steering Committee on Climate Change is the board which will provide policy guidance (see TORs in Annex 2) for the project and all climate change projects as proposed by the well-established National Climate Change Technical Committee (ToRs in Annex 3). These committees are already functional, and they serve all climate change projects in the country. As proposed within this proposal, these committee's mandates will be elevated to include accountability functions.

10.1 Steering Committee

The Steering Committee (SC) will provide overall and strategic guidance during project implementation. This committee is chaired by the Secretary to Treasury in the Ministry of Finance Economic Planning and Development (MoFEPD) and the Secretariat is with the Environment Affairs Department (EAD) under the Ministry of Natural Resources Energy and Mining. The SC consists of Principal Secretaries of all climate change related ministries though experience shows that most of them delegate during these meeting; Development partners supporting climate change initiative s; Academia representative and Private sector representative

10.2 Technical Committee

The National Climate Change Technical Committee (NCCTC) will provide technical direction of the programme, and it will play a critical role in project monitoring, evaluation and accountability by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems with external bodies.

The Technical Committee (TC) is chaired by the Department of Climate Change and Meteorological Services with EAD as secretariat. It consists of Directors of all climate change related ministries however there is also a lot of delegation to climate change focal points within the institutions.

The TC meets every quarter however it has a provision for adhoc meetings in case need arises. The TC is assisted by thematic expert working groups e.g. REDD+ Expert working group, CDM, Adaptation Expert working group.

The Ministry of Natural Resources, Energy and Mines takes up the executive role as the Implementing Partner however the chair of the steering committee remains Ministry of Finance and Economic Development remains the Chair of the Steering Committee.

The Senior Supplier role is represented by UNDP and other partners will provide guidance regarding the technical feasibility of the project; support project financially and ensure prudent use of project resources. The Development Cooperation Group on Environment, Resilience and Climate Change (DCERCC) will be the first interaction group on the development partners side. DCERCC will give guidance on the multilateral and bilateral funding opportunities for CC, Resilience and Environment and where possible provide technical expertise in specialized areas of the programme. A window is provided under partnership for bilateral donors to contribute technically or otherwise to the programme.

Senior Beneficiaries include institutions that are technical leads in specific areas and therefore lead responsible partners (e.g. MoFEPD, MoAIWD, Mining, Local Government, NCIC etc.) to ensure the realization of project benefits from the perspective of project beneficiaries.

The National Climate Change Steering Committee holds its sessions once every quarter month upon the initiative of the Programme Coordinator or the Chair of the SC.

The steering committee will work with the Sector working group on environment, Lands and natural resources working group. The SWG is a forum for negotiations, policy dialogue and agreement of plans and undertakings on environment, climate change and natural resource issues amongst government, development partners, civil society organizations (CSOs) and private sector. The SWG mainly facilitates the channelling of resources towards a common planning and management framework centered on GoM's expenditure program and vision; provides an opportunity, for various stakeholders in a sector, to jointly implement national and international commitments; builds trust amongst stakeholders in the environment and natural resources management sector and strengthens mutual accountability among government, CSOs and development partners on the environment, climate change and natural resources programmes, strategies and projects. (See annex 5 for ToRs)

The project organizational structure will be as follows:

10.3 Overall Management

The management of the project will be carried out by the Ministry of Natural Resources Energy and Mining (Environmental Affairs Department) under direct supervision of the National Programme Coordinator, supported by the Programme Staff, i.e. the Programme Manager and Finance and Administrative Assistant. The Director of Environmental Affairs is the Programme coordinator and the Programme Manager will work under the technical direction of National Programme Coordinator. UNDP will provide technical and financial assistance.

10.4 Project Stakeholders

The stakeholders will consist of but not limited to the UNDP as management organisation the Ministry of Natural Resources Energy and Mining (planning division), Environmental Affairs Department, Ministry of Finance and Economic planning (Treasury, Economic planning, Monitoring and Evaluation divisions), Ministry of Local government (councils, Area development and village development committees) Department of disaster Management Affairs (Civil protection committees), Department of Forestry at central level and community level (VNRMCs); Ministry of Agriculture, Irrigation and Water Department at central and district levels (WUAs and local extension structures) Department of fisheries at central and local levels, National Construction council of Malawi (NCIC), The academia, Civil society, DCERCC member institutions, other projects, and communities.

10.5 Programme Support Team

The Programme Team will consist of the following local staff:

- Programme Manager;
- Finance and administration assistant
- Programme Analysts (UNDP)

10.6 Roles and Responsibilities of Implementing Partners

There are two main institutions that will be heavily involved in the running of the project namely; UNDP Malawi, and the Ministry of Natural Resources, Energy and Mining (Environmental Affairs Department) The roles of these institutions are as follows:

10.7 UNDP Malawi will be responsible for:

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

10.8 Ministry of Natural Resources Energy and Mining will be responsible for:

- Developing annual work plans together with the District Councils where applicable;
- Ensuring overall coordination of the project following the agreed annual work plan including joint supervision with UNDP of activities implemented through on the ground;
- Supervision of the activities coordinated by the District Councils;
- Appropriate use of funds which will be advanced to MoNREM on a quarterly basis in line with the approved budget and annual work plan²¹;
- Accurate accounting and timely reporting of the use of project funds;
- Monitoring the achievement of results and providing timely progress reports as indicated in the project document.

10.7 District Level Coordination

The District level coordination of project activities will be implemented through the Directorate of District Planning which is headed by the Director of Planning and Development (DPD) and the District Environmental Sub-committee (DESC) will be the main body for coordination. The DESC reports to the District Executive Committee; chaired by the District Commissioner. The DPD, who is the secretary of the DEC, will also provide the necessary guidance to ensure that CC and Environmental governance issues considered within the management structures of the council.

Where inter-district plans have been developed to manage an ecosystem, an implementation committee comprising representatives from the participating districts will be put in place to oversee the implementation of the plans under the supervision of their respective District Executive Committees.

XII. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Malawi and UNDP, signed on 15th July 1977). All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

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

XIII. RISK MANAGEMENT

Option a. Government Entity

1. Consistent with the Article III of the SBAA *[for the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
 - a) put in place an appropriate security plan and maintain the security plan, considering the security situation in the country where the project is being carried;
 - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project 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). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.
4. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
8. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
9. If an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
10. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

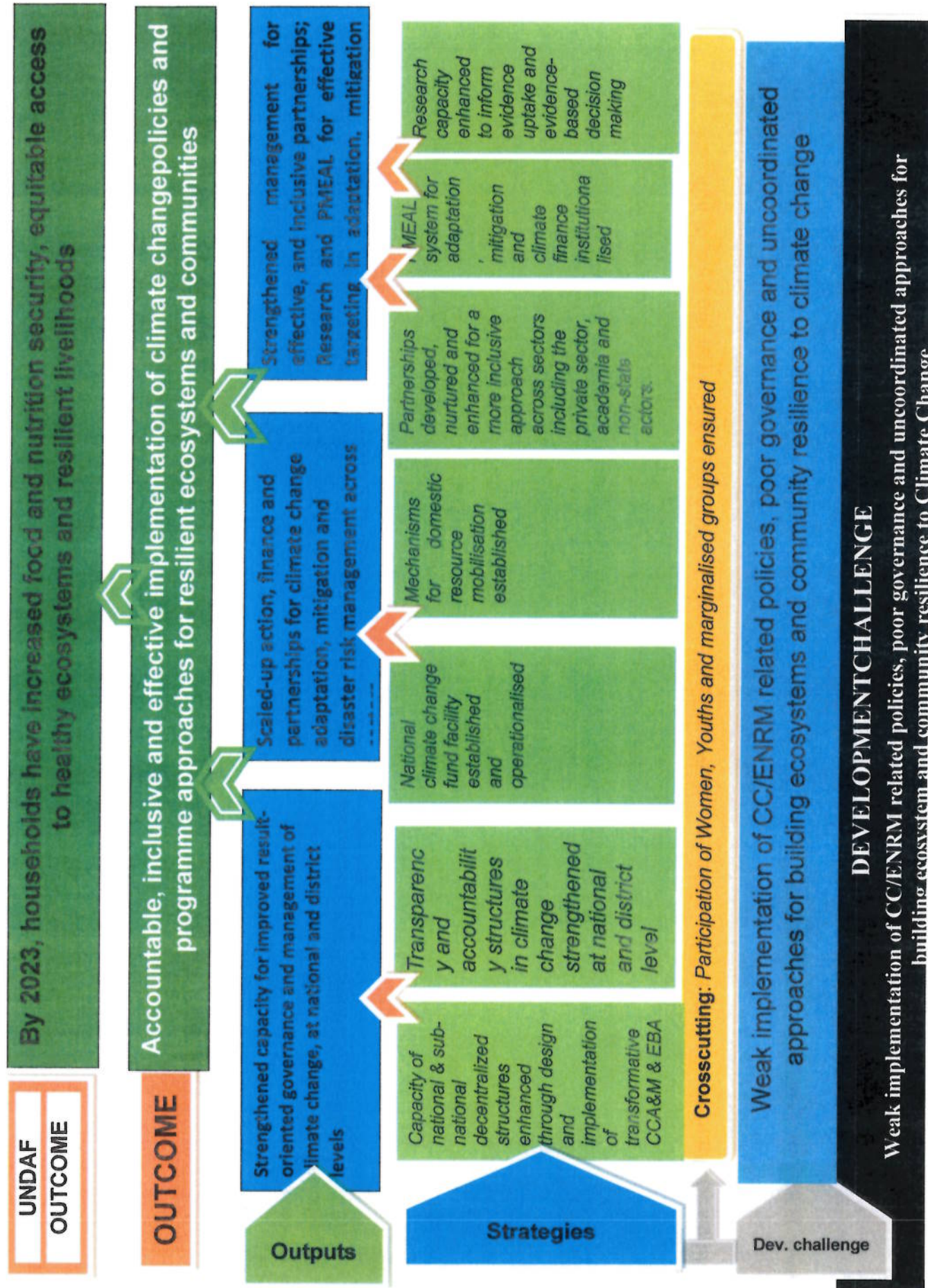
11. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

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

Appendix 1: Theory of Change



Annex 1: Project Quality Assurance Report

(This will be attached as a separate document, it has not been possible to generate it as at the time of signing)

Annex 2. Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	National Climate and Resilience Program
2. Project Number	00113495 and Award number 00116269
3. Location (Global/Region/Country)	Malawi

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

<p>QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?</p>
<p>Briefly describe in the space below how the Project mainstreams the human-rights based approach</p> <p>Humans have influenced most of the Earth's ecosystems through production activities such as agriculture, forestry, fisheries, herding and livestock production. While human impacts are often thought of as harmful to the environment, many such human-nature interactions are in fact favourable to or synergistic with biodiversity conservation. Local communities and the ecosystems they live in may experience pressures and disturbances of different types and degrees, from extreme weather events to market shocks and profound demographic and institutional changes.</p> <p>The ecosystems approach ensures that there are sociological and ecosystems considerations in the implementation of activities at all levels</p>
<p>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</p> <p>The project will ensure that there is gender balance, youth development; empowerment of persons with disability; mitigation and adaptation to climate, change environmental management; disaster risk reduction and resilience building; peace, security and good governance. The NCRP will adopt 50+ campaigns in various groupings and decision-making positions within the intervention's committees. Gender transformative approach (GTA) will be operationalized in all its activities to achieve the goal of enhancing the food, nutrition, and economic security of poor women and men and their families in a sustainable manner. GTA will be integrated in participatory action research (PAR). The project will adopt a participatory monitoring, evaluation and learning, this will empower communities to monitor trends on their own.</p>
<p>Briefly describe in the space below how the Project mainstreams environmental sustainability</p>

Environmental sustainability will be ensured through an integrated approach to policy implementation, by adopting ecosystems-based approach at community level. The project will provide a forum for dialogue amongst sectors but will not necessary implement at the community level. The selected ecosystems are the Bua river catchment and the Thyolo-Muijanje land scape.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk.” Questions 5 and 6 not required for Low Risk Projects.</i>		QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>		QUESTION 6: What social and environmental measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?	
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.	
Risk 1: Bilateral partners are not willing to support some outputs where there are financial gaps e.g. the climate change fund.	I = 1 P = 2	Low		Risk identified through project's capacity assessment recommended continuous engagement with government decision makers on creating incentives and continuous capacity building for civil servants.	
Risk 2: Impacts of climate change erodes the anticipated benefits from the interventions e. g. not enough rain for water shed restoration, unprecedented drought and flood episodes	I = 5 P = 1	Low		Risk identified through project's capacity assessment recommended continuous capacity building of government on creating incentives for private sector to invest in sustainable ENRM for	
Risk 3: Capacity to implement the program through an integrated approach	I = 3 P = 2	Low		Risk identified through project's capacity assessment recommended continuous capacity building at national level to increase budget and investments at district level.	

Risk 4: Monitoring compliance especially for DPs	I = 2 P = 2	Low			Risk identified through project's capacity assessment recommended continuous capacity building to government and increased awareness of climate related disasters.
Risk 5: Failure to use an integrated ecosystems-based approach	I = 3 P = 2	Low			Risk identified through project's capacity assessment recommended to follow UNDP accountability systems and frameworks apply throughout implementation of the project.
Risk 6: Implementing partners may not commit all the funds needed to achieve the results of the project	I = 4 P = 1	Low			Risk identified through project's capacity assessment recommended continued joint resource mobilization among the three partners.
QUESTION 4: What is the overall Project risk categorization?					
Select one (see SESP for guidance)			Comments		
Low Risk <input checked="" type="checkbox"/>					
Moderate Risk <input type="checkbox"/>					
High Risk <input type="checkbox"/>					
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?					
Check all that apply			Comments		
Principle 1: Human Rights			<input type="checkbox"/>		
Principle 2: Gender Equality and Women's Empowerment			<input type="checkbox"/>		
1. Biodiversity Conservation and Natural Resource Management			<input type="checkbox"/>		
2. Climate Change Mitigation and Adaptation			<input checked="" type="checkbox"/>		
3. Community Health, Safety and Working Conditions			<input type="checkbox"/>		
4. Cultural Heritage			<input type="checkbox"/>		
5. Displacement and Resettlement			<input type="checkbox"/>		
6. Indigenous Peoples			<input type="checkbox"/>		

	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>
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Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor Peter Kulemeka		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver Andrew Spezowka		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Co-Chairs Mr. Bright Kurnwembe and Ms. Claire Medina and		UNDP chair of the PAC. In some cases, PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
Principles 1: Human Rights	Answer (Yes/No)
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ²²	No
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No

²² Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Some
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ²³ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No

²³ In regard to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect, and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ²⁴	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through	No

²⁴ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

the commercialization or use of their traditional knowledge and practices?		
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international ban or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

Annex 3: Risk Analysis.

(see [Deliverable Description](#) for the Risk Log regarding its purpose and use)

Project Title: National Climate Resilience Program				Award ID: 00116269		Project ID: 00113495		Date: 16 January 2019	
#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
	Enter a brief description of the risk (In Atlas, use the Description field. Note: This field cannot be modified after first data entry)	When was the risk first identified (In Atlas, select date. Note: date cannot be modified after initial entry)	Environmental Financial Operational Organizational Political Regulatory Strategic Other Subcategories for each risk type should be consulted to understand each risk type (see Deliverable Description for more information) (In Atlas, select from list)	Describe the potential effect on the project if this risk were to occur Enter probability on a scale from 1 (low) to 5 (high) P = Enter impact on a scale from 1 (low) to 5 (high) I = (In Atlas, use the Management Response box. Check "critical" if the impact and probability are high)	What actions have been taken/will be taken to counter this risk (In Atlas, use the Management Response box. This field can be modified at any time. Create separate boxes as necessary using "+", for instance to record updates at different times)	Who has been appointed to keep an eye on this risk (In Atlas, use the Management Response box)	Who submitted the risk (In Atlas, automatically recorded)	When was the status of the risk last checked (In Atlas, automatically recorded)	e.g. dead, reducing, increasing, no change (In Atlas, use the Management Response box)
1	Lack of willingness by bilateral partners to support some outputs where there are financial gaps e.g. the climate	December 2018	Financial	Interventions at local level will require identification of additional	There will be continuous dialogue with development partners and other donors throughout the project cycle.	ATLAS Budget Holder			On-going

ANNEX 4

TERMS OF REFERENCE FOR THE CLIMATE CHANGE STEERING COMMITTEE IN MALAWI

1.0 Background

The Climate Change Steering Committee is composed of key stakeholders in the field of Climate Change. Following a meeting that was held at Kumbali Lodge and the PSs meeting that was held at MoEPD, the stakeholders met on 8th September 2008 and agreed to establish an institutional framework and structure for planning, development, coordination and monitoring of climate change programmes in Malawi.

The stakeholders set forth Committee mandates that have been elaborated by the following Terms of Reference. The aim of the structure is to establish a basis for effective national, regional, and global partnerships on climate change matters. This provides a framework for national and international co-operation embracing a holistic approach to climate change development of adaptation and mitigation initiatives through partnerships among government agencies, the private sector, NGOs, CBOs, academia, and local communities.

2. Purpose

To provide a forum for effective policy dialogue on frameworks, priority setting, and ways and means of facilitating investment and transfer of technology on climate change initiatives in the country. It will also enhance collaborative project development and implementation, with a view to optimize the contribution of climate change abatement and mitigation programmes to sustainable development, taking into account environmental, social, and economic factors.

3.0 Functions

Through the Steering Committee, Government and the development partners will seek to:

- a) Create a high-level policy dialogue on climate change, supporting national, regional and international policy discussions, in line with sustainable development principles.
- b) Develop and encourage collaborative project activities in the field of climate change adaptation and mitigation;
- c) Foster the exchange of information, knowledge, skills, and technologies by identifying and promoting potential areas of bilateral and multilateral collaboration on climate change research and development.
- d) Facilitate climate change integration into national initiatives on socio-economic development.
- e) Identify key policy issues and scope the scale of risks associated with projected climate change;
- f) Serve as a catalyst of climate change intervention programmes cutting across many sectors including sustainable land management, food security, [and others] to avoid duplicating ongoing and future efforts and activities;
- g) Foster analysis of climate change impacts and implications on environment, agriculture, [food security], biodiversity, land use, water, forestry, fisheries, and other sectors.
- h) Provide a forum to analyse and develop policy recommendations on technical guidance and standards on climate change matters and related programmes.
- i) Increase public awareness on climate change and its impacts on national development programmes.

- j) Engage development partners as an integral part of cooperative activities on climate change within the framework of basket funding and sector-wide approach.

4. Organization

The Steering Committee will be constituted, and a Secretariat will be established as proposed in Annex 1. Stakeholders will appoint one representative and one alternate to the Steering Committee.

When making appointments the stakeholders will seek to establish a balanced representation of policy makers and experts with economic, environmental, social, and scientific background in the Steering Committee.

Other experts with economic, environmental, social, and scientific background may attend the Steering Committee meetings as deemed necessary by the appointed representatives.

The Steering Committee will govern the overall framework, policies, procedures and activities of the Climate Change Programme.

It will provide strategic guidance to the programme and periodically review the program of collaborative activities undertaken by the stakeholders including partners,

This will include a review of the institutional and organizational structure if necessary and provide direction and instructions for actions to the Secretariat.

The Committee should meet at least four times once a year, at times and places to be determined by its appointed representatives.

Most of the members of the Steering Committee present at a meeting constitute a quorum for the transaction of business. The decisions of the Steering Committee will be made by consensus.

The principal coordinator of the Steering Committee Meetings and partners' communications and activities will be the Secretariat.

5.0 The Secretariat will:

- a) Organize the meetings of the Steering Committee,
- b) Arrange special orientation activities including workshops, seminars and experts meetings [wherever necessary],
- c) Receive and forward new membership requests to the Steering Committee,
- d) Coordinate communications about the Climate Change Programme activities and their status,
- e) Act as a clearinghouse of information on policy developments and technological information on Climate Change,
- f) Maintain procedures and responsibilities for key functions that are approved by the Steering Committee,
- g) Facilitate synergies with other relevant international initiatives and processes in the field of Climate change;
- h) Perform other tasks and duties as the Steering Committee directs.

The Ministry/Department responsible for Environmental Affairs [and Natural Resources] will support the Secretariat. The Secretariat will be hosted at Environmental Affairs Department [EAD] Headquarters in Lilongwe.

6.0 Membership

These Terms of Reference establish a framework for cooperation, technical assistance, development programmes, and collaboration on matters of climate change.

The Steering Committee may invite other entities to join the programme and become stakeholders through acceptance of the Terms of Reference.

Technical and other experts from within and outside the proposed programme structures may participate in activities conducted under the auspices of the Committee, if deemed necessary.

7.0 Funding

The preferred funding arrangement is the "basket funding" modality in order to effectively manage and synchronize the initiatives on climate change in a manner similar to the sector-wide approach.

8.0 Commencement, Modification, Termination and Extension

- a) These Terms of Reference will commence on 1st October 2008 and will continue in effect for 10 years unless extended or terminated by decision of the Steering Committee.
- b) These Terms of Reference may be extended or modified by decision of the Steering Committee.

9.0 Short-Mid Term Actions

In the short term, the Steering Committee will ensure that the Technical Committee has accomplished the following:

1. Update the inventory of existing networks, initiatives and institutions dealing with Climate Change in order to avoid duplications, and allow integration and leverage of international activities;
2. Identify gaps in knowledge or areas of weak understanding on matters of climate change;
3. Carry out scoping of feasibility studies for capacity building activities, in cooperation with development partners;
4. Establish mechanism for raising awareness and dealing with issues of Climate Change.

10.0 STEERING COMMITTEE MEMBERSHIP:

Chair: Ministry responsible for Economic Planning and Development

Secretariat: Department responsible for Environmental Affairs

Composition:

- Ministry responsible for Lands and Natural Resources
- Ministry responsible for Economic Planning and Dept.

ANNEX 6

TERMS OF REFERENCE FOR THE CLIMATE CHANGE TECHNICAL COMMITTEE IN MALAWI

1. Background

Operating under the Climate Change Steering Committee, the Technical Committee is composed of key stakeholders in the field of Climate Change and related sectors. The stakeholders met on 8th September 2008 and agreed to establish an institutional framework and structure for planning, development, coordination and monitoring of climate change programmes in the Malawi.

The Technical Committee will provide a platform for efficient and effective implementation of national, regional, and global partnerships on climate change. This provides an institutional framework for national and international co-operation; embracing a holistic approach to climate change interventions towards development of adaptation and mitigation initiatives through partnerships between Government agencies, the private sector, NGOs, CBOs, academia, and local communities.

2. Purpose

To provide a technical forum for discussion of interventional programmes on climate change. It will also enhance collaborative project development and implementation, with a view to optimize the contribution of climate change abatement and mitigation programmes to sustainable development.

3. Functions

Through the Technical Committee, Government and the development partners will seek to:

- a) Oversee technical implementation of national climate change programmes and initiatives.
- b) Develop and encourage collaborative project activities in the field of climate change adaptation and mitigation;
- c) Foster the exchange of information, knowledge, skills, and technologies by identifying and promoting potential areas of bilateral and multilateral collaboration on climate change research and development activities.
- d) Facilitate climate change integration into national initiatives and designs on socio-economic development programmes.
- e) Foster analysis of climate change impacts and implications on environment, agriculture, [food security], biodiversity, land use, water, forestry, fisheries, and other sectors.
- f) Provide a forum to analyse and develop recommendations on technical guidance and standards on climate change matters and related programmes.
- g) Increase public awareness and education on climate change and its impacts on national development programmes.
- h) Provide technical advice in the identification of priorities and strategies for adaptation and mitigation programmes;
- i) Provide technical advice on assessments of climate change impacts at the sectoral level for the given priorities identified in the climate change programmes.
- j) Develop a clear strategy to link the climate change programmes with outputs to national development planning and other thematic areas of the United Nations Conventions especially desertification/land degradation and biodiversity conventions.

This includes assessment of institutional arrangements/stakeholder's engagement required for sectoral or national planning; and development of frameworks for assessing how the above linkages can be monitored and measured in the short and long terms using realistic indicators.

- k) Develop a technical training strategy to strengthen the national capacity needed to carry out climate change activities and studies.
- l) Assess regularly the performance of climate change programmes in meeting user requirements for information products and services;

- m) Facilitate development of scientific and technical strategies as well as sound plans, through the advice of the Climate Change Steering Committee;
- n) Facilitate the implementation of policy actions and plans through national and regional initiatives and subsidiary bodies of the UNFCCC, as appropriate, including consideration of the socio-economic benefits and the identification and mobilization of needed resources;
- o) Assist in developing the capacity of all key sectors to contribute to and benefit from Climate Change Programmes and in particular aid the sectors to acquire and make best use of information products and services derived from the UNFCCC;
- p) Develop recommendations for the consideration of the sponsoring organizations on priority needs for Climate Change Programmes development, coordination and implementation;

4. Organization

The Technical Committee on Climate Change and the Secretariat will be constituted as proposed in Annex 2. Stakeholders will appoint one representative and one alternate member to the committee.

When making appointments, the stakeholders will seek to establish a balanced representation of technical experts with economic, environmental, social and scientific background in the Committee.

Other experts with economic, environmental, social and other scientific background may be co-opted into Committee meetings as deemed necessary by the appointed representatives.

It will provide strategic technical guidance to the programme and periodically review the programmes of collaboration undertaken by the stakeholders including development partners,

This will include a review of the institutional and organizational structures if necessary and provide direction and instructions for actions to the Secretariat.

The Committee should meet at least four times once a year, at times and places to be determined by its appointed representatives.

Most of the members of the Committee present at a meeting constitute a quorum for the transaction of business. The decisions of the Committee will be made by consensus.

The principal coordinator of the Committee Meetings and partners' communications and activities will be the Secretariat.

The Secretariat will:

- a) Organize the meetings of the Committee
- b) Arrange special activities such as workshops, seminars and experts' meetings [wherever necessary],
- c) Receive and forward new membership requests to the Committee,
- d) Coordinate communications with regard to the Climate Change Programme activities and their status,
- e) Serve as a clearinghouse of information on policy developments and technological information on Climate Change,
- f) Maintain procedures and responsibilities for key functions that are approved by the Steering Committee,
- g) Facilitate synergies with other relevant international initiatives and processes in the field of Climate change;

- h) Perform other tasks and duties as the Technical Committee directs.

The Ministry responsible for Environmental Affairs [and Natural Resources] will support the Secretariat. The Secretariat will be hosted at Environmental Affairs Department [EAD] Headquarters in Lilongwe.

4. Membership

These Terms of Reference establish a framework for cooperation, technical assistance, development programmes, and collaboration on matters of climate change.

The Committee may invite other entities to join the programme and become stakeholders through acceptance of the Terms of Reference.

Technical and other experts from within and outside the proposed programme structures may participate in activities conducted under the auspices of the Technical Committee if necessary.

5. Funding

The preferred funding arrangement is the "basket funding" modality in order to effectively and synchronize the initiatives on climate change in a manner similar to the sector-wide approach.

6. Commencement, Modification, Termination and Extension

- a) These Terms of Reference will commence on 1st October 2008 and will continue in effect for 10 years unless extended or terminated by decision of the Committee.
- b) These Terms of Reference may be extended or modified by decision of the Committee.

7. Short-Mid Term Actions

In the short term the Technical Committee, under the guidance of the Steering Committee will seek to:

- Update the inventory of existing networks, initiatives and institutions dealing with Climate Change in order to avoid duplications, and allow integration and leverage of international programmes;
- Identify gaps in knowledge or areas of weak understanding on matters of climate change;
- Carry out scoping of feasibility studies for capacity building activities, in cooperation with development partners;
- Establish mechanisms for raising awareness and dealing with issues of Climate Change in the country.

TECHNICAL COMMITTEE MEMBERSHIP

Chair: Department responsible for Meteorological Services

Co-Chair: Ministry of Agriculture and Food Security (Land Resources Conservation Department)

Secretariat: Department responsible for Environmental Affairs

Composition:

- Ministry responsible for Lands and Natural Resources
- Ministry responsible for Economic Planning and Devpt
- Department responsible for Environmental Affairs
- Department responsible for Disaster Management Affairs
- Department responsible for Energy
- Department responsible for Forestry
- Department responsible for Meteorological Services
- Ministry responsible for Agriculture & Food Security
- Department responsible for Wildlife
- Department responsible for Fisheries
- Ministry responsible for Irrigation and Water Development
- Ministry responsible for Information and Civic Education
- Ministry responsible for Health
- Ministry responsible for Local Government & Rural Devpt
- Ministry responsible for Education
- Ministry responsible for Trade and Industry
- Ministry responsible for Transport
- Ministry responsible for Finance
- Office of the President and Cabinet
- Private Sector Representatives
- NGOs / CSOs Representatives
- Academia
- Donor Representatives

Annex

Terms of Reference for the Project Manager

