



# ASSESSMENT OF DEVELOPMENT RESULTS **MALAWI**

EVALUATION OF UNDP CONTRIBUTION



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**ASSESSMENT OF DEVELOPMENT RESULTS** MALAWI  
EVALUATION OF UNDP CONTRIBUTION

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### **ASSESSMENT OF DEVELOPMENT RESULTS: EVALUATION OF UNDP CONTRIBUTION – MALAWI**

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It is our hope that this evaluation will help UNDP further leverage its strategic partnership with the Government of Malawi as UNDP advances with its transformation process to become an ever more relevant and valuable partner to the country.

# FOREWORD

This is the report of an independent country-level evaluation conducted by the UNDP Evaluation Office in 2010. It examines the strategic relevance of UNDP support and its contribution to the development of Malawi from 2002 to 2011.

UNDP has provided development assistance in Malawi for more than three decades. For the period covered by the evaluation, UNDP aligned its work with the country's evolving strategies and programmes. This involved addressing challenges related to poverty reduction and growth, energy and environment, natural resource and disaster risk management, democratic governance and capacity development for public sector administration. The evaluation comes at a time when UNDP is reflecting – in collaboration with the Government, national partners, UN agencies and other international development partners – on how to further strengthen its contribution to enhance development in ways consistent with the 2012 Malawi national development strategy.

Much progress has been made in Malawi during this period. In 1994, Malawi adopted a Constitution incorporating the separation of powers, the independence of constitutional bodies, the rule of law and a human rights charter. As a new democracy, the country has made progress in establishing appropriate systems and processes. The predominantly agricultural economy depends on the natural environment, and expanding agricultural productivity has resulted in good harvests. Strategies have been established to help the poor – who are the most vulnerable to environmental hazards and natural disasters – adapt to and mitigate the effects of climate change. Malawi reached the Highly Indebted Poor Country completion point in August 2006, signaling the government's success in restoring fiscal discipline and improving economic management. Priority has been given to strengthening capacities to implement the Millennium Development Goals

(MDGs). The Government is making a serious effort to achieve the Goals by 2015, and Malawi is on target to attain five of them.

Continuing challenges remain in sustaining fiscal discipline and economic growth, and in enhancing security and social development. Important measures required for growth and development include attracting investments to diversify the economic base, empowering women, providing social services and social protection, and increasing capacity development at all levels. Efforts are still necessary to strengthen democratic governance and human rights, enhance accountability and increase access to justice – especially for the most vulnerable groups. Improving environmental sustainability is a major priority, and the country realizes that failing to do so would undermine its well-laid plans for economic growth and achievement of the MDGs.

The evaluation concludes that UNDP's overall contribution to development results in Malawi between 2002 and 2011 is fully satisfactory. The evaluation found a fairly strategically positioned programme that has been highly responsive to development needs and changing priorities, with a strong focus on human-centred development. Continuing to address poverty reduction, equity and justice in a more strategic manner and expanding the use of national systems for implementation will be important. Upstream policy work to address human development would be strengthened by supporting the Government to develop frameworks for effective implementation of policies.

The evaluation found some highly successful interventions that have helped situate UNDP as an important partner. UNDP has done exemplary work in supporting elections, strengthening communities to hold the Government accountable, empowering women for financial inclusion and

managing disasters. In moving forward, UNDP performance would be strengthened by improving coherence among its programmes, balancing the nature of upstream and downstream work, expanding partnerships and improving the quality of programme design to enhance sustainability.

This is a special evaluation: it is one of a handful of country-level evaluations undertaken in 2010 by a team of national consultants. From the perspective of the UNDP Evaluation Office, the experience and local knowledge of the national consultants greatly enhanced the validity of the

findings. The evaluation has provided recommendations that will help UNDP to build on the strong foundation established. I hope it will be useful for UNDP as well as for its national and international partners in the continuing efforts to enhance the development of the people of Malawi with dignity and integrity.



Saraswathi Menon  
Director, Evaluation Office

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# ACRONYMS AND ABBREVIATIONS

ADR	Assessment of Development Results
AIDS	Acquired immune deficiency syndrome
BARREM	Barrier Removal to Renewable Energy in Malawi
CABS	Common Approach to Budgetary Support
CCF	Country Cooperation Framework
CPAP	Country Programme Action Plan
CPD	Country Programme Document
DACU	Development Assistance Coordination Unit
DaO	Delivering as One
DAS	Development Assistance Strategy
DCP	Democracy Consolidation Programme
DoDMA	Department of Disaster Management Affairs
DRM	Disaster risk management
EU	European Union
FIMA	Financial Inclusion in Malawi
FLIRD	Functional Literacy and Integrated Rural Development
GDP	Gross domestic product
GEF	Global Environment Facility
GSB	Growing Sustainable Businesses
GVH	Group village headman
HIV	Human immunodeficiency virus
HRCC	Human Rights Consultative Committee
ICT	Information and communication technologies
JPSME	Joint Support for Strengthening the National Monitoring and Evaluation
MDG	Millennium Development Goal
M&E	Monitoring and evaluation
MEC	Malawi Electoral Commission
MEGS	Malawi Economic Growth Strategy
MERA	Malawi Energy Regulatory Authority
MGDS	Malawi Growth and Development Strategy
MHRC	Malawi Human Rights Commission

MHRRC	Malawi Human Rights Resource Centre
MIPA	Malawi Investment Promotion Agency
MPRS	Malawi Poverty Reduction Strategy
NAC	National AIDS Commission
NAPA	National Adaptation Programmes of Action
NEX/NIM	National execution/national implementation (of programmes/projects)
NORAD	Norwegian Agency for Development
NYO	Nkhotakota Youth Organization
PIU	Project implementation unit
PSCDP	Public Sector Capacity Development Programme
RBA	Regional Bureau for Africa
SACCO	Bvumbwe Savings and Credit Cooperative Organization
SSEEP	Sustainable Social Economic and Empowerment Programme
UN	United Nations
UNCDF	United Nations Capital Development Fund
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WFP	World Food Programme

# EXECUTIVE SUMMARY

## DEVELOPMENT CHALLENGES AND PROGRESS

Malawi is a small, landlocked country with a population of approximately 13 million people, growing at 2.8 percent annually. The population is predominantly rural with a rapidly urbanizing sector. The country has few mineral resources. Its economy is highly dependent on rain-fed agriculture, and around 85 percent of the population consists of agricultural smallholders and their dependents. Farming generates 35 to 40 percent of gross domestic product, mainly through production of tobacco, maize, sugar and tea.

Agriculture accounts for over 90 percent of export earnings. Agricultural production depends heavily on environmental factors. Several times in recent years, production has fallen below self-sufficiency levels due to drought, exacerbated by lack of fertilizer. In light of increasingly volatile weather, the Government is seeking to initiate programmes that will provide vulnerable communities with coping strategies to help them mitigate and adapt to the effects of climate change.

In 1994 Malawi adopted its Constitution, which enshrines separation of powers, independence of constitutional bodies, the rule of law and a human rights charter. Yet several key issues remain to be addressed concerning democratic accountability and access to justice and access to social services, especially for the most vulnerable groups. The country depends heavily on donor assistance, with 30 percent of the national budget typically coming from official development assistance. A number of international donors pool their resources under the umbrella of the Common Approach for Budgetary Support (including the European Community, United Kingdom, Norway and the World Bank). This umbrella group currently accounts for approximately 40 percent of total international assistance to Malawi. Respect for

human rights is a fundamental principle underlying budgetary support to Malawi.

Malawi has recorded encouraging levels of economic growth in recent years, from 1.6 percent in 2000 to 9.7 percent in 2008. This has been largely due to good harvests in five consecutive years. Yet Malawi still ranks among the poorest countries in the world, with a Human Development Index of 0.493, placing it at 160 of the 177 countries. Its poverty head count declined by 5 percent from 2006 to 2008, but 40 percent of the population still lives on less than \$1.00 per day, though this is down from 52 percent in 2005. Life expectancy at birth is estimated at 40 years.

Malawi reached the Highly Indebted Poor Country completion point in August 2006, signalling the government's success in restoring fiscal discipline and improving economic management. The country recognizes that the Paris Declaration on Aid Effectiveness represents an opportunity for the Government to exercise greater national leadership on the Millennium Development Goals (MDGs) and to strengthen financial management and accountability. A key challenge now facing the country is to sustain fiscal discipline and economic growth, attract investment and reduce poverty and insecurity in ways that strengthen democracy and human rights. Critical factors in achieving economic growth and social development include empowering women; equalizing contributions to and benefits from economic growth; providing social services and social protection; and strengthening capacity development at all levels – policy environment, institutional and individual.

The Government of Malawi is addressing many development challenges, including sustainable economic growth and poverty reduction, food insecurity, access to basic social services, infrastructure, energy, gender imbalances and

governance. These problems and approaches to resolving them have been articulated in various development strategies, including the Malawi Poverty Reduction Strategy (MPRS), 2002-2005; Malawi Economic Growth Strategy (MEGS), launched in 2004; and the most recent framework, the Malawi Growth and Development Strategy (MGDS), 2006-2011.

The United Nations Development Programme (UNDP) has provided development assistance in Malawi for more than three decades. Its work is aligned with the country's strategies, particularly the MGDS. UNDP programmes have addressed some of the challenges mentioned above, including those relating to poverty reduction and growth; energy and the environment; governance; gender and women's empowerment; mainstreaming of HIV and AIDS; and capacity development. The UNDP interventions are aligned with those of other UN agencies in the country through the United Nations Development Assistance Framework (UNDAF) for 2008-2011.

## **PURPOSE AND SCOPE OF THE EVALUATION**

This Assessment of Development Results (ADR) in Malawi is an independent, country-level evaluation undertaken by the UNDP Evaluation Office. A team of national consultants led and conducted the evaluation. The effort received guidance from an in-country reference group of government and other stakeholders and benefited from an independent review by international experts and the Center for Social Research at the University of Malawi.

The evaluation seeks to determine the degree to which UNDP has effectively responded to the country's development challenges and made a contribution to achievement of its national development goals. The ADR evaluates the relevance, effectiveness, efficiency and sustainability of UNDP work in Malawi. It also assesses

how UNDP has strategically positioned itself and used its comparative advantage to add value to national development priorities and results.

The ADR covers two programme cycles: the Second Country Cooperation Framework (CCF II), which ran from 2002 through 2006, and the Country Programme Document (CPD) 2008-2011.

The evaluation, undertaken between June and December 2010, seeks to address the following broad questions:

- Has UNDP played a relevant role in assisting Malawi to address its development challenges based on the comparative strength that UNDP brings to the country?
- Has UNDP rendered such assistance in an effective, efficient and sustainable manner, and to what extent has UNDP assistance yielded development results?
- Has UNDP responded appropriately to the evolving country situation and government goals by transforming its role and approaches?

The evaluation used a qualitative inductive method. Evidence was drawn from existing secondary data as well as primary data generated from an in-depth study of 26 percent of the portfolio of projects under the key programme areas, and interviews with a wide range of stakeholders. The evaluation used a quantitative five-point scale to assess performance based on the criteria of relevance, effectiveness, efficiency and sustainability. Preparation of the assessment included a rigorous and systematic process of developing the questionnaire, confirming the reliability of ratings among the evaluators who collected the data, and triangulation through the use of multiple sources to enhance data validity. Analysis using aggregation of data was accompanied by further validation during a synthesis workshop, which drew upon existing qualitative information on the areas of assessment.

## MAIN FINDINGS

### UNDP PERFORMANCE FOR DEVELOPMENT RESULTS

#### Overall assessment of UNDP performance

Analysis reveals that UNDP programmes fall broadly under the following thematic areas (referred to as programmes): (1) Good governance, democratization and empowerment; (2) public sector reform and service delivery; (3) energy, environment and natural resource management; (4) disaster risk management; (5) pro-poor economic growth; and (6) gender equity and women's empowerment. They also cover cross-cutting issues including capacity development, gender, partnerships and HIV and AIDS.

The programmes were rated on the criteria of relevance, effectiveness, efficiency and sustainability, with ratings of 1 (lowest) to 5 (highest). The evaluation found that overall programme performance based on these criteria is above average or satisfactory with a overall rating of 3.4. The evidence, however, shows variations in performance on the quality criteria as well as by programme type.

**Relevance:** The main strength of the UNDP programmes is their relevance to the national development strategies and the Millennium Development Goals. The performance of programmes in terms of relevance is rated 4.6, with three of the six programme areas rated as outstanding. The programmes align closely with the development priorities of the Government of Malawi. A factor that has been critical in the design of relevant programmes is the strong partnership between UNDP and the Government of Malawi in the design, implementation and monitoring of programmes and the harmonization of medium-term planning frameworks

**Effectiveness:** The effectiveness of UNDP programmes reflects above average or satisfactory performance, a rating of 3.7. The results are mixed among the various programmes and in some cases they are uncertain, given paucity of data. Effectiveness has been affected by factors

such as poor programme design, uncertainty in funding, capacity constraints among implementing partners, technical capacity gaps at UNDP and delays in disbursement of funds to implementing partners. Successes are attributed to strong leadership in the Government, low staff turnover in UNDP leadership and the engagement of other donors.

**Efficiency:** The greatest weakness of the country programme is in its efficiency. The performance is rated below average or unsatisfactory, with an overall rating of 2.6 and very little variation in ratings among programmes. Efficiency is hampered by three main factors: (1) UNDP financing issues, such as delayed, erratic or uncertain funding and the short-term nature of funding; (2) UNDP bureaucratic processes, which delay disbursement; and (3) inconsistency or lack of synergy between government and UNDP processes.

**Sustainability:** The sustainability of the UNDP programme is below average, with a score of 2.8. Performance varies widely among programmes, with ratings ranging from a low 2 to a high 4. The lowest ratings are for energy and environment, disaster risk management and pro-poor economic growth. Most of the UNDP interventions were found to lack strategies to ensure sustainability of outcomes. Although capacity development has been at the centre of UNDP interventions, there is poor conceptualization of exit strategies that ensure sustainability of the outcomes. Some of the downstream activities have been highly dependent on UNDP and have lacked demonstrated government commitment, as shown by counterpart funding or integration of innovations into mainstream government activities. The evaluation found that most downstream activities supported by UNDP are 'pilot innovative projects' with limited scope for scaling-up at national level. Hence they had low rates of adoption by the Government and other development partners.

## Factors affecting overall UNDP performance

Content analysis of factors affecting performance indicates that UNDP performance is positively affected by government leadership; stable UNDP leadership at programme level and in partner institutions; willingness of partners and donors to engage; personal commitment of stakeholders; and the presence of other partners working in the same area. Negative factors include poor programme design; funding delays and budget cuts; high staff turnover in the Government and among country office focal points; capacity constraints; bureaucracy; and lack of demonstrated government ownership in the form of counterpart funding of activities.

## ASSESSMENT OF PERFORMANCE BY PROGRAMME AREA

### Good governance, democratization and empowerment

Good governance, democratization and empowerment is the largest programme in terms of resources and number of activities, accounting for about 80 percent of resources. This programme was designed to contribute to two outcomes by 2011: (1) informed public actively claiming good governance and human rights, and (2) improved national capacity to formulate policy and manage, monitor and deliver services to protect the rights of vulnerable groups. Activities focus on governance, democratization and empowerment, as well as public sector reforms and service delivery.

**Assessment:** The programme was assessed as highly relevant, with a score of 4.5, reflecting above average/excellent performance. Thus the programme is fully aligned to the development priorities of the country. UNDP interventions in its focal areas of governance, democratization, empowerment and service delivery provide a successful springboard for participatory development, which has contributed to achievement of sustainable economic growth. In terms of effectiveness, programme performance is rated average, with a score of 3. Some of the notable contributions to development results include promotion of a culture of active citizenship;

holding of credible elections; progressive expansion of the civil society network on human rights; development of capacity in data collection and analysis; and development of systems, institutions and policies that have served as a framework for the country's decentralization programme. In terms of efficiency, the programme was rated 2.5, mainly due to delays in disbursement of resources and slow responses to issues that needed to be resolved during implementation. With a sustainability rating of 3, the programme performance is considered average due to successful capacity development efforts in some partner institutions. However, issues of sustainability are seldom conceived at the design stage.

### Public sector reform and service delivery

Since 2002, UNDP has supported the Government to address capacity constraints through various programmes and projects aimed at strengthening capacity in central and line ministries, departments and agencies. The goal is to improve efficiency in delivery of public services. UNDP adopted a three-pronged approach to capacity development, focusing on improving the policy environment, developing and strengthening institutions, and developing human resources, as well as the broad-based development approach (through strengthening decentralization).

**Assessment:** UNDP support in public sector reform and service delivery is rated as highly relevant, with an above-average score of 4. The programme was found to be responding to a number of constraints hampering the achievement of development results. Successful components included strengthening of capacities to implement the MGDS and of government capacity to coordinate and manage development assistance while embracing the key principles of the Paris Declaration on Aid Effectiveness. The effectiveness of the programme is rated 4, above average performance. However, efficiency of programme performance was rated 2, below average. As in other UNDP-supported programmes, the low efficiency rating was largely due to erratic funding of activities. Sustainability achieved a score of 4, reflecting above

average performance, due to strong government ownership and co-funding.

### **Energy, environment and natural resources management**

The MGDS recognizes that sustainable economic growth requires reversal of a vicious downward spiral of accelerating environmental degradation and increased use of energy. UNDP has been supporting the government's efforts to strengthen national capacities to achieve sustainable development. The approach is to tackle environmental degradation and climate change while expanding access to environmental and energy services by poor people. These are seen as integral components of national development plans and strategies to accelerate pro-poor economic growth.

In collaboration with the Global Environment Facility (GEF), United Nations Environment Programme (UNEP), World Bank and Food and Agriculture Organization of the United Nations, UNDP has supported the Government in coordinating partnerships with civil society and development actors. The objective is to prepare results-oriented plans to implement the environmental provisions of the MGDS and climate change plans; articulate or revise environmental policies; and undertake capacity assessments and capacity development.

**Assessment:** UNDP interventions in energy and environment are intended to enhance conservation of the natural resource base by 2011. The programme activities are judged as highly relevant, with a score of 5 (outstanding), reflecting their alignment with the government's development plans. In terms of effectiveness, the programme is rated as above average (score of 4). However, in some cases programme activities were phased out before achieving the intended outcomes. Due to delays in funding, the programme records average/satisfactory performance in terms of efficiency, with a score of 3. The sustainability of programme activities is ranked as below average/unsatisfactory, with a score of 2. However, programme activities have enabled the development of long-term structures and regulatory

frameworks as well as regulating institutions for environmental management policies and activities. The establishment of a degree programme in renewable energy at Mzuzu University holds promise for sustainability of some activities.

### **Disaster risk management**

UNDP has implemented a number of interventions through partnerships to support the government's long-term goal of reducing the socio-economic impacts of disasters by protecting the most vulnerable groups of people and improving disaster risk management.

**Assessment:** UNDP interventions in disaster risk management are aimed at helping to strengthen disaster risk reduction and emergency management systems and practices to aid efficient response at national and subnational levels. The programme activities are rated as highly relevant, with above-average performance (rating of 4) in supporting national systems. Effectiveness also achieved a score of 4, although the review team found the approach to be reactive rather than proactive in building the resilience of communities to anticipated disasters. Similar to other areas, the programme performance is below average (2) in efficiency due to delayed funding. The sustainability of the programme activities also earned a rating of 2 due to the short-term nature of the funded activities at most lasting only one year.

### **Pro-poor economic growth**

Sustainable economic growth and poverty reduction have been at the centre of UNDP support to Malawi. As a result, UNDP has reorganized some of its programmes to focus on growth and poverty reduction. The pro-poor economic growth programme is aligned to the MGDS, which is facilitating poor people's integration into the mainstream economy. The programme interventions addressed literacy and livelihood promotion through integrated approaches and private sector-led solutions.

**Assessment:** UNDP programme activities are judged as highly relevant (rating of 5) to the country's development needs in that they



address the government's top priorities. The approach used in the interventions is participatory at community level and reflects strong mainstreaming of gender issues. The performance of the programme in terms of effectiveness is average (score of 3). Its contributions to development results have been mixed, with some activities having limited spin-off effects such as attracting local private sector funding from small-scale value-addition enterprises. However, the contribution to development results has been hampered by uncertainty of funding and substantial delays in disbursement of resources, leading to an overall efficiency rating of below average, or 2. The performance of the programme in terms of sustainability also earned a score of 2, due largely to lack of government funding, limited partnership with the private sector and lack of financing for livelihood activities.

### **Gender equity and women's empowerment**

UNDP interventions in gender and women's empowerment are aimed at enhancing gender equality and women's empowerment by 2011.

**Assessment:** UNDP made gender a substantive programme area, in line with the government's economic empowerment and social development agenda and the desire to achieve the MDGs. As a result, the relevance of programme activities is judged as highly satisfactory, with a rating of 5. The flagship project, Financial Inclusion in Malawi (FIMA), specifically addresses gender issues and empowerment. Performance is rated as average (3) in effectiveness in contributing to development outcomes through partnerships with private sector service providers that reach out to women entrepreneurs.

The programme activities have also generated many positive unintended outcomes. They have changed mindsets about microfinance, used performance-based contracts to gauge results and inspired microfinance providers to adopt best practices. The efficiency of these contributions, rated 3, would have been enhanced by regular and timely funding and certainty in budgets. The programme activities are sustainable, with an

above-average rating of 4, performance through enhancement of capacity among private service providers, which encouraged providers to use their own funds to reach out to women entrepreneurs. Sustainability is ensured by the demonstrated commitment of the Government through its provision of funding and integration of micro-finance activities into the Ministry of Finance and Reserve Bank of Malawi.

## **STRATEGIC POSITIONING**

The analysis of programmes on the criteria of strategic relevance and responsiveness, consistency with UN values and forging strategic partnerships shows that UNDP has had slightly above average success in positioning itself to enhance development results.

### **Strategic relevance and comparative advantage**

The findings show that UNDP programmes and activities are highly relevant to national priorities and the overall mandate of UNDP, which is to promote sustainable human-centred development underpinned by poverty reduction, equity, fairness and justice. The relevance of UNDP interventions is enhanced by its strategy of working with national systems, largely through the national execution modality. This is expected to enhance aid effectiveness and national ownership of interventions while promoting national capacity development. The analysis demonstrated that the UNDP comparative advantage is its ability to offer capacity-building interventions based on identified needs. There is a consensus that UNDP has used its networks and exploited its comparative advantage to support capacity development by identifying technical assistance and South-South partnerships and exchanges.

Despite the high degree of programme relevance, UNDP tends to spread itself too thinly on the ground, rendering its programmes less effective. UNDP is noted to be operating "everywhere", with a plethora of projects and activities for which the unifying theme is not always apparent. In general, UNDP interventions tend to focus

upstream, on policies and capacity development, with little attention to downstream activities. The analysis found that UNDP has a comparative advantage in upstream work due to its neutrality, global knowledge base and technical expertise. However, while UNDP assisted in formulating many policies, most of them have not been adopted or implemented. The UNDP role in lack of implementation centres on inadequate assessment of implementation capacity and insufficient advocacy to influence the Government. For its part, the Government had funding and capacity constraints that impeded implementation.

The ADR revealed weak links between outputs, indicators and outcomes in the results framework, which also contributed to the mixed success in effectiveness. In many thematic areas it was difficult to understand the programme theory. The results framework for most parts of the project cycle lacked a logical model. As a result there was excessive emphasis (by UNDP and implementing partners) on monitoring outputs rather than on how the outputs contributed to achievement of outcomes. The lack of programme theory also led to the formulation of multiple project activities in a thematic area managed by different partners and focusing on the same target group, but without considering the complementarities within and across thematic areas.

### **UNDP responsiveness to changing contexts**

In general, UNDP has been highly responsive to the country's changing context. It has sought to ensure that its programme portfolio is aligned with changes in national development priorities and well-positioned to contribute to development results. For example, UNDP reorganized some of its activities into a cluster focusing on growth and achievement of the MDGs in response to the government's emphasis on sustainable economic growth. However, implementation of UNDP interventions was hampered by the lack of strategic programming; synergies between programme activities could have enhanced achievement of development results.

### **Contribution to UN values**

UNDP has played a key role in supporting human development, by paying attention to gender equality, women's rights and vulnerable groups in society. Its objective has been to facilitate achievement of sustainable, human-centred development within the framework of the MDGs. However, despite some achievements, a number of challenges remain. These particularly concern gender equality, women's empowerment and rights of vulnerable people and minorities.

### **Strategic partnerships**

UNDP normally works with the Government, particularly central government institutions, to implement its programmes. The relationship between UNDP and the Government of Malawi has been strengthened through implementation of most UNDP programmes under the NEX/NIM (national execution/national implementation) modality. This is of great significance as the Government moves away from the use of programme implementation units. However, UNDP working relationships are rather weak at district and community levels and with NGOs and the private sector. This is partly due to the emphasis on policies, institutional frameworks and capacity, which by definition are concentrated upstream. Yet UNDP has not fully balanced demands for upstream and downstream activities.

UNDP has participated in the Common Approach to Budgetary Support (as an observer), in sector-wide approach processes and in sector working groups. This has strengthened its relationship and standing with development partners. Malawi is a self-starter in the Delivering as One initiative, which has strengthened relationships among UN agencies and has improved the UN system's strategic position. There is a general feeling that the United Nations is now increasingly operating as one and that more activities are taking place within the Delivering as One framework.

## CONCLUSIONS

The evaluation sought to determine the degree to which UNDP has effectively responded to the development challenges facing Malawi and contributed to achievement of its national development goals. Synthesis of the observed results on programme performance and strategic positioning shows that UNDP performs at a slightly above average level in achieving development results and adding value to such results. **The evaluation concludes that the overall UNDP contribution to development results in Malawi is fully satisfactory.** The following paragraphs elaborate on this conclusion and highlight considerations for enhancing success.

### **Conclusion 1. UNDP has been highly responsive to development needs and changing priorities.**

UNDP supported the implementation of relevant projects and programmes. The ADR has demonstrated that the country programme is highly relevant to national development priorities and the overall mandate of promoting sustainable human-centred development underpinned by poverty reduction, equity, fairness and justice. In addition, UNDP has demonstrated a great deal of responsiveness to the country's changing context, by adjusting its programme portfolio to reflect national development priorities. UNDP has also demonstrated its responsiveness to emerging needs, including the need to strengthen human capacities. Its programmes have paid particular attention to the human development dimensions of gender equality, women's rights and vulnerable groups. In achieving these objectives, however, it has not focused on selected areas of strategic significance; it has been reactive rather than proactive and has not been as well targeted, deliberate or transparent as it might have been. Events of the past few years indicate a shift to a more measured and strategic response.

### **Conclusion 2. UNDP effectiveness in attaining outcomes is satisfactory. However, the programmes lack coherence, and UNDP has not taken advantage of complementarities among its interventions.**

Major successes include the key role UNDP has played in human development, as reflected in

its overall programming and implementation. UNDP has used national structures and personnel to deliver most of its activities through the NEX modality. However, the ADR noted weak links between outputs, indicators and programme outcomes in the results framework. This contributes to an apparent lack of coherence among the interventions as well as mixed effectiveness of some interventions. A well-articulated programme framework might have helped highlight external and risk factors and necessary conditions for success. The latter would have helped highlight the potential role of partners in jointly achieving outcomes. Likewise such a framework would have helped highlight the complementarities in the strategies of FIMA and GSB.

### **Conclusion 3. UNDP has not fully balanced the demand for upstream and downstream activities. It has not used its coordination advantage and leadership role to enhance coherence and partnerships in carrying out upstream and downstream work.**

UNDP programmes are skewed towards upstream activities in response to government demand because the Government articulates its demands more strongly for upstream policy advice and support. UNDP engages in a number of downstream activities, which some informants suggested operated without a clearly defined strategy or policy framework. More recently UNDP has concentrated its downstream work in areas where policy development is one of the pre-conditions for providing sustainable solutions to development problems. This is the case in strengthening the microfinance system. UNDP is working in partnership with other donors to strengthen the policy and institutional environment conducive to pro-poor provision of microfinance services using best practices.

Despite a greater emphasis on upstream work, the results show that UNDP is more successful in its downstream interventions, partly because upstream activities face more obstacles to efficacy. Most of the upstream work has succeeded in producing outputs, such as policies and strategies, but not many of them have been approved by the Government or implemented. This is because UNDP has not generally exploited its role as a

trusted government partner to influence institutional changes, particularly implementation of sectoral policies developed with UNDP support.

**Conclusion 4. The partnership continues to be biased towards the central government. UNDP needs to expand its work with local authorities or make clear its comparative advantage and how it will seek partnerships to enhance links with the local level.**

Most of the capacity-building interventions have targeted the central government. The ADR has found that programmes involving work with local authorities and non-state actors have been more successful and have a high prospect of sustainability. Expanding the DaO initiative has the potential to enhance these linkages.

**Conclusion 5. UNDP programmes lack well-designed, comprehensive strategies to ensure sustainability of outcomes.**

Although most programmes are designed to include capacity development and use of NEX/NIM to ensure sustainability, most have no explicit exit strategies. Often the absence of government funding hampers sustainability. Some downstream activities have been highly dependent on UNDP, demonstrating little government commitment in terms of counterpart funding or integration of innovations into mainstream government activities. As a result, opportunities are few for downstream activities to scale up after UNDP funding is phased out.

**Conclusion 6. UNDP performance and contribution are greatly hampered by inefficiency, due to issues involving dependence on resource mobilization and internal UNDP systems.**

UNDP approaches are widely acknowledged as sound, but their ability to catalyse other activities is constrained by what are perceived as rigidities in systems, processes and procedures. This has manifested itself in delayed disbursement of resources to implementing partners, which has seriously hampered the efficiency and effectiveness of UNDP operations.

## RECOMMENDATIONS

The ADR makes three sets of recommendations, addressing programme focus, strategic approach and programme design and management.

### PROGRAMME FOCUS

**Recommendation 1: UNDP needs to rationalize its programme portfolio in line with its comparative advantage and to respond to emerging issues that are critical to UNDP and to Malawi in each of the three programmes.**

**Governance:** UNDP needs to refocus its governance portfolio. Governance remains one of the most critical development challenges for the country and thus warrants significant emphasis. Going forward, UNDP should not necessarily scale down its involvement in the governance areas where it currently works but should consider extending its focus to economic governance, particularly on corporate governance.

However, UNDP also needs to streamline the breadth of its focus. While reorganizing UNDP governance interventions into three focal areas improved the linkages and synergies between and among interventions, a strong case remains for UNDP to streamline its activities. This is especially true in areas that are being addressed by other development partners.

UNDP should also concentrate on capacity building and coordination of multi-stakeholder governance activities, especially in elections. This would help UNDP to exploit its comparative advantage as the government's trusted partner.

**Pro-poor Growth:** The ADR has noted the slow pace towards achievement of the MDGs and other human development targets. As the MDG 'scorekeeper', UNDP needs to scale up its advocacy in such areas as poverty reduction and human rights.

**Partnerships:** UNDP partnerships with civil society, the private sector and local institutions are weak. These partnerships need strengthening.

## STRATEGIC APPROACH

### **Recommendation 2: UNDP should expand its capacities for policy analysis and engagement so it can fully exploit its comparative advantage in upstream work.**

The advantages UNDP brings to issues involving policy and establishment of an enabling framework include its ability to ensure that policies address human development, including vulnerable groups, human rights and equality. They also include capacity development to ensure the country has sustained abilities to develop and implement effective policies, formulate strategies and manage. When the ADR was undertaken, the UNDP country office was lacking a senior economic advisor to undertake most of the strategic and policy advisory work.

UNDP should promote its own systematic approach to internal capacity building across all its programmes in policy analysis, negotiation and advocacy as a means to enhance their efficiency and effectiveness. As a first step in designing a capacity-building programme UNDP should undertake an assessment of its existing capacities. This will be critical to guide the technical work involved in policy advice and in programme development and management, including partnership development.

This assessment should be preceded by a clear determination of UNDP priorities or a balanced approach to upstream and downstream activities. For while UNDP should continue some of its upstream work, particularly in capacity strengthening, it is recommended that such activities be extended to lower level institutions, such as district councils and NGOs, through existing structures. This would enhance the quality and efficiency of service delivery in line with the decentralization policy. UNDP capacity for this type of expansion needs full assessment followed by a well-defined programme of capacity building for both UNDP and implementing partners.

The ADR noted with satisfaction current UNDP efforts to work with national universities and

other institutions, such as the Malawi Institute of Management. This collaboration helps to develop the capacities of implementing agencies and their staff in such areas as results-based management, financial management, procurement management and policy management. These partnerships should be extended to private consulting companies and professional networks.

### **Recommendation 3: UNDP should use its privileged position with the Government to engage in dialogue to facilitate adoption of policies already developed and implementation of policies already adopted, along with other key initiatives.**

Advocacy for policy adoption is particularly necessary for policies that have been supported by UNDP but are yet to be approved by the Government. This requires a new orientation – moving from a focus on outputs and aid effectiveness to one on development effectiveness and acceptance of responsibility for partnerships. UNDP should exploit its position as a trusted partner to encourage the Government to implement policies that support achievement of the MDGs and fulfilment of other human development values.

### **Recommendation 4: In its downstream activities, UNDP should shift its approach from direct interaction with beneficiaries to building the capacity of service providers such as the private sector, NGOs and other non-state actors.**

In FIMA, UNDP supports improvements to the environment in which service providers operate and capacity development through improvement in systems and best practices. This approach encourages private sector providers to reach out to marginalized groups and is an effective model. UNDP should move away from funding livelihood activities directly using programme funds, as in FLIRD and GSB. In programmes that promote entrepreneurship, the best option is to link livelihood or enterprise groups to private providers. This approach is likely to enhance local ownership of economic activities and ensure sustainability of results.

## PROGRAMME DESIGN AND MANAGEMENT

**Recommendation 5: UNDP should consider adopting a political economy approach, which entails understanding the realities of power relations, incentives and change processes, to the analysis of development challenges in order to inform overall programme design.**

The political economy approach helps stakeholders to appreciate the political and economic rules of the game and the political factors that shape development challenges and outcomes. It further sheds light on the processes that create, sustain and transform relationships among key segments of society over time. The political economy approach to programming adds value by helping stakeholders to grasp the political, economic and social processes that promote or block pro-poor change. For example, most of the policy documents developed under UNDP support have not been implemented, partly due to lack of appreciation for the institutional and political economy issues that promote or hinder policy implementation.

**Recommendation 6: UNDP should move away from a project approach and towards a programme approach. This will encourage integration of related activities into one programme and ensure coherence and strategic focus.**

The project approach has limited ability to harness synergies across projects, even within a thematic area. For example, UNDP projects in functional literacy, growing sustainable businesses and financial inclusion have synergies and would have been more effective if implemented as one programme. In this way the financial inclusion component would have addressed the problems accessing capital experienced by enterprise or livelihood groups created under the programmes addressing functional literacy and sustainable business development. This would help substantially in streamlining and focusing UNDP activities to ensure the greatest possible impact. A programme theory with a clearly conceptualized logic model is a useful instrument

that would enhance not just coherence but also the articulation of a clear results framework and performance indicators.

**Recommendation 7: UNDP should design programmes with realistic budgets to improve efficiency.**

UNDP reliance on midstream mobilization of resources to fill funding gaps introduces uncertainties and inefficiencies in supporting implementing partners. This greatly compromises attainment of desired results. It would be better to wait to implement a project or programme until full funding is guaranteed.

**Recommendation 8: UNDP should endeavour to strengthen the capacity of its implementing partners in monitoring, evaluation, financial management and report writing.**

UNDP should ensure that implementing partners have the ability to monitor and evaluate development results rather than just report achievement of outputs. Most partner reports are deficient in articulating the extent to which programme outputs are translating into intended (or unintended) outcomes. UNDP is currently supporting the Government to implement a training programme on financial management. However, the training should also enhance capacities for good planning; effective monitoring and reporting of progress and finances; and understanding the UNDP budget structure, resource mobilization strategy, standards and compliance procedures. Similarities and differences between UNDP and government systems need to be understood, and when possible the two should be harmonized. Equally important is enhancing leadership in financial management and in improving staff performance. UNDP could also play a more dynamic role, including by dedicating a staff member to regularly check the financial records of implementing partners and provide them with needed support.



## Chapter 1

# INTRODUCTION AND METHOD

This Assessment of Development Results (ADR) in Malawi is an independent, country-level evaluation of the programme of work undertaken by the United Nations Development Programme in Malawi. It was undertaken by the UNDP Evaluation Office using a team of national consultants.<sup>1</sup> The evaluation seeks to determine the quality of performance by UNDP and its contribution to achievement of the country's national development goals. The evaluation criteria are relevance, effectiveness, efficiency and sustainability. The evaluation also assesses how UNDP strategically positioned itself and used its comparative advantage to add value to national development priorities and results. The evaluation covers the period 2002-2011.

### 1.1 PURPOSE OF THE EVALUATION

The purpose of the ADR is to:

- Provide substantive support to the UNDP Administrator's accountability function in reporting to the Executive Board
- Support greater UNDP accountability to national stakeholders and partners in the country
- Serve as a means of quality assurance for UNDP interventions
- Contribute to development of the next country programme
- Contribute to learning at corporate, regional and country levels.

The ADR addressed the following general questions noted in the terms of reference (provided in Annex 1):

- Whether UNDP has played a relevant role in assisting Malawi to address its development challenges based on the comparative strengths that UNDP brings to the country
- Whether UNDP has responded appropriately to the evolving country situation and government goals by transforming its role and approaches
- Whether UNDP rendered assistance in an effective, efficient and sustainable manner, and to what extent its assistance contributed to development results.

### 1.2 RATIONALE FOR THE EVALUATION

UNDP has been operating in Malawi for over four decades, and this is the first ADR to be conducted. It covers activities implemented over the past two programme cycles: the second Country Cooperation Framework (CCF II), covering 2002 through 2006, and the Country Programme Document (CPD), covering 2008-2011 (UNDP, 2007a). Addressing this longer period (2002 through 2011) provides opportunities to improve understanding of how UNDP programmes have contributed to progress. The analysis of the programmes and projects under the two cycles shows a close relationship between their outcomes, with the CPD building

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1 The ADR consultancy team comprised Dr. Graham Chipande, Senior Consultant, Development Consulting Associates; Professor Ephraim Chirwa, Professor of Economics, Chancellor College, University of Malawi; Dr. Blessings Chinsinga, Associate Professor, Chancellor College, University of Malawi; and Dr. Charles Jumbe, Senior Research Fellow, Centre for Agricultural Research and Development, Bunda College of Agriculture, University Of Malawi. Dr. Sukai Prom-Jackson, Evaluation Office, UNDP, New York, was the task manager.



on project activities implemented under CCF II. Since projects started under CCF II continued under the CPD, the ADR used the outcomes of the CPD (and its country programme action plan [CPAP]) as the anchor point for assessing outcomes. Where components of CCF II did not extend into the CPD, the outcomes of CCF II were used, as in the case of the crisis prevention and recovery.

This evaluation will feed into various planning processes at the country level. These include preparation of the new UNDP country programme (to be presented to the Executive Board in 2011) and the new United Nations Development Assistance Framework (UNDAF) for 2012-2016, to be developed in 2011. Since a number of changes have occurred in the country, the ADR provides an opportunity to assess UNDP positioning and to provide information for UNDP to revisit its role and contribution in a rapidly growing economy. The results will also be useful for the Government as it prepares a new national development strategy to replace the Malawi Growth and Development Strategy (MGDS) 2006-2011.

### **1.3 SCOPE, APPROACH AND METHOD OF THE EVALUATION**

#### **1.3.1 COUNTRY PROGRAMME COVERAGE**

The CCF II programme had three programmes (1) Poverty reduction through capacity building, empowerment and information technology services; (2) poverty reduction through governance; and (3) HIV and AIDS. The CPD had four programmes: (1) Crisis prevention and recovery/disaster risk management; (2) good governance; (3) HIV and AIDS management; and (4) environment and energy. The overlap between CCF II and the CPD is shown in Table 1. This overlap facilitated assessment of the two programmes as one unit. Further, using the outcomes of the UNDAF, the evaluation team analysed and grouped the programmes into three broad programme areas, or thematic areas, to enhance their alignment with the UNDAF. The grouping was agreed to by the country office as the basis for guiding the analysis and evaluation

of the country programme. The groupings and sub-groupings are:

- Good governance and empowerment, which is subdivided into (i) good governance, democratization and empowerment and (ii) public sector reform and service delivery;
- Energy, environment, natural resource management and disaster risk management (DRM), which is subdivided into (i) energy, environment and natural resource management and (ii) disaster risk management; and
- Poverty, growth and MDGs, which is subdivided into (i) pro-poor economic growth and (ii) gender equity and women's empowerment.

Cross-cutting areas were also addressed, including gender; HIV and AIDS; capacity development; and partnerships. The evaluation covered activities from both core and non-core funding sources and both execution modalities – national execution/national implementation (NEX/NIM) and direct implementation by UNDP. The ADR also assessed how project and non-project activities in each of the UNDP thematic areas contributed to the outcomes. Non-project activities included periodic analyses, advisory services, workshops, advocacy and national direction-setting meetings, and coordination.

#### **1.3.2 KEY DIMENSIONS**

The evaluation of the country programme and its contribution to progress in development results is focused on two key areas, which provide a robust basis for drawing conclusions on the value and worth of UNDP's contribution:

- Development effectiveness, or evaluation of the programme's contributions to outcomes
- The strategic position of UNDP with the Government, development partners and civil society organizations (CSOs).

The performance of the country programme was analysed in terms of the:

- Relevance of programmes and approaches to the country's national development priorities

**Table 1. UNDP Programming Cycles in Malawi, 2002-2011**

CCF II thematic areas and expected outcomes, 2002-2006/2007	CPD thematic areas and expected outcomes, 2008-2011
<p><b>1. Poverty reduction through capacity building, empowerment and information technology services</b></p> <ul style="list-style-type: none"> <li>▪ Malawi Poverty Reduction Strategy (MPRS) management capacity strengthened</li> <li>▪ Information and communication technology policy and strategies in place</li> <li>▪ Pro-poor policies in place</li> <li>▪ Poverty reduction integrated into macroeconomic policy framework</li> <li>▪ Opportunities created for advocacy and dialogue on poverty reduction</li> <li>▪ Increased capacity of the poor to sustain their livelihoods</li> <li>▪ Improved capacity of local authorities, community-based groups and private sector in environmental management and sustainable energy development</li> </ul>	
<ul style="list-style-type: none"> <li>▪ Strengthen capacity building in emergency response</li> <li>▪ Strengthen emergency response reporting mechanisms and capacity</li> <li>▪ Develop district flood contingency plans</li> <li>▪ Develop national disaster management plan</li> </ul>	<p><b>Crisis prevention and recovery/disaster risk management</b></p> <ul style="list-style-type: none"> <li>▪ Strengthened disaster risk reduction and emergency management systems and practices are in place for efficient response at national and subnational levels</li> </ul>
<p><b>2. Poverty reduction through governance</b></p> <ul style="list-style-type: none"> <li>▪ Financial and human resources are mobilized in support of decentralization and local governance in rural and urban areas</li> <li>▪ Public sector uses decentralized approach to aggregate and translate the needs of Malawi citizens into policies, programmes and services to reduce poverty</li> <li>▪ Public sector is responsive, high quality and results oriented</li> <li>▪ Strategic capacity of the Office of the President and Cabinet (OPC) as lead change agent is enhanced</li> <li>▪ Independent scrutiny mechanism and code of ethics are in place</li> </ul>	<p><b>Good governance</b></p> <ul style="list-style-type: none"> <li>▪ An informed public actively claims good governance and human rights</li> <li>▪ National capacity is improved to formulate policy, manage, monitor and deliver services to protect the rights of vulnerable groups</li> <li>▪ Gender equality and women's empowerment are enhanced</li> </ul>
<p><b>HIV and AIDS</b></p> <ul style="list-style-type: none"> <li>▪ Institutional capacity is built to plan and implement multisectoral strategies at national and subnational levels to limit the spread of HIV/AIDS and mitigate its social and economic impact on the poor, especially women and girls</li> <li>▪ National development plans, poverty reduction strategy and budgetary allocations address impact of AIDS on development and poverty eradication</li> </ul>	<p><b>HIV and AIDS management</b></p> <ul style="list-style-type: none"> <li>▪ National and district level capacity to coordinate, manage and monitor HIV responses is improved in line with Three Ones principles</li> </ul>
	<p><b>Environment and energy</b></p> <ul style="list-style-type: none"> <li>▪ Conservation of the natural resource base is enhanced</li> </ul>

Source: Crawford et al. (2005) and UNDP (2005, 2007a and b)

- Effectiveness in achieving the outcomes, including progress on targets and scope of coverage
- Efficiency of resource use and delivery mechanisms
- Potential sustainability of the outcomes in the medium or long term, including ownership and potential for scaling up pilot activities.

Definitions of these criteria are provided in Annex 2 in the form of questions drawing on ADR guidance from the UNDP Evaluation Office. These questions also served as a basis for developing protocols and instruments for data collection through interviews and focus group discussions.

The UNDP strategic position in a country is important for maximizing the value its activities add relative to those of other development partners. It is important to identify the organization's comparative strength and the niches where it can enhance development outcomes. The strategic position of UNDP was assessed through questions relating to its relevance and responsiveness (or lack thereof) to changing country priorities; its role in promoting UN values on human development (through, for example, capacity development and fostering of networks and partnerships in programme activities); and the capacity of UNDP to deliver. Key evaluation questions on programme performance and strategic positioning are outlined below and presented in Annex 2.

The evaluation also identified factors that promoted or hindered achievement of development outcomes. These included the complementarity of programme activities, aid effectiveness, number of programme activities, capacity issues among stakeholders and availability and adequacy of resources.

### 1.3.3 EVALUATION QUESTIONS

The questions to be addressed were organized under the two key dimensions of the ADR, development effectiveness and strategic positioning.

**Development effectiveness** was examined in terms of effectiveness, efficiency and sustainability.

- **Effectiveness:** Did the UNDP programme accomplish its intended objectives and planned results? Did it add value? What are the programme's strengths and weaknesses? What unexpected results did it yield? Should it continue in the same direction or should it be adjusted in the new programme cycle?
- **Efficiency:** How well did UNDP use its resources (people and funds) in achieving its contribution? What could be done to ensure a more efficient use of resources in the specific country and subregional context? How well is UNDP addressing the key efficiency principles of the Paris Declaration on Aid Effectiveness? How well is it addressing partnerships, collaboration and coherence under the UN reform agenda?
- **Sustainability:** Is the UNDP contribution sustainable? Are the development results achieved through the UNDP contribution sustainable? Are the benefits of UNDP interventions sustained and owned by national stakeholders after the intervention is completed?

**Strategic positioning** addressed the relevance of the programme, its responsiveness to national development priorities, its contribution to social equity and human development, and the effectiveness of its partnerships in implementing the programme.

- **Relevance:** How relevant were UNDP programmes to the country's priority needs? Did UNDP apply the right strategy within the specific political, economic and social context of the region? To what extent are long-term development needs likely to be met across the practice areas? What were critical gaps in UNDP's programming?
- **Responsiveness:** How well did UNDP anticipate and respond to significant changes in the national development context? How did it respond to national long-term development needs? What were the missed opportunities in UNDP programming?
- **Social equity and human development:** Did UNDP programmes and interventions

contribute to reducing the vulnerabilities of at-risk groups and aid gender equality? What factors led the selection of locations for interventions?

- **Partnerships:** How has UNDP leveraged partnerships within the Government, UN system, CSOs and private sector?

### Analytical framework

The evaluation used a qualitative methodology drawing on Evaluation Office guidance (see Table 2). This evaluation did not lend itself to the neat causal analysis of attribution that is generally possible with a well-structured project. The focus is not on what UNDP caused but on its contribution, considering and weighing all factors. Thus, the evaluation depended on the use of qualitative inductive methodology for complex evaluations as outlined in the UNDP Evaluation Office *ADR Method Manual* and elaborated in its *Methodology Guidance for Evaluation*.

### Data collection and analysis

The evaluation included both qualitative and quantitative methods. Systematic data collection was guided extensively by the questions identified in Annex 2. The evaluation used both primary and secondary data sources and multiple methods of data collection.

### PRIMARY DATA SOURCES

The main sources of data for the evaluation were in-depth analyses of a sample of projects in five of the six key programme areas (see Table 3). These data were collected through documents and interviews with stakeholders at national, subnational and community levels, including the beneficiaries of downstream activities (subnational projects) supported by UNDP. In each thematic area, the evaluation selected a sample of projects from both CCF II and the CPD for an in-depth assessment of performance. CCF II and the CPD had a total of 70 projects (some of those under the CPD were continuing from CCF II). Eighteen projects (26 percent) were drawn from both cycles for in-depth studies. In each thematic area, at least three programmes/projects from both CCF II and the CPD were selected.

Some of the projects under the CPD were quite recent, and their outcomes could not be adequately assessed. In such cases, more projects were drawn from CCF II. It was anticipated that the programmes/projects completed under CCF II would provide particularly useful information on the effects and sustainability of development results. However, the evaluation focused on the contribution of the UNDP country programme to the outcomes, rather than the contribution of particular project activities.

<b>Table 2. Question Frame for Analysis of Contributions to Development Progress</b>	
1.	What progress has been made in the country generally in achieving development outcomes or results? (Chapter 2)
2.	What has UNDP done to support the achievement of development results? (Descriptions of UNDP portfolio) (Chapter 3)
3.	What is the value added and quality of UNDP performance? 3.1 Has UNDP done the right things? (Chapter 4) 3.2 Has UNDP done things right? (Chapter 5)
4.	Synthesis, induction and conclusions, taking into account the total evidence from all chapters (Chapter 6) 4.1 What induction can be made about the added value and contribution of UNDP to development results and progress in Malawi? 4.2 What conclusions can be drawn about UNDP's contribution? What alternatives are important? What are the recommendations for moving forward?

The selected projects met the following criteria, which were applied to enhance a balanced representation and to allow testing of several performance hypotheses:

- Continuation over the two cycles to allow an assessment of changes in UNDP strategy
- Level of significance for future direction-setting for UNDP and the Government
- Relative size of the programme/project
- Centrality of the programme/project (from a theoretical perspective), period of implementation, modality of implementation and whether the activities were upstream (focused on national level, emphasizing policies and elected

officials) or downstream (focused on subnational level, emphasizing projects and beneficiaries).

#### SECONDARY DATA SOURCES

Secondary data collection consisted mainly of desk research, which involved a review of all available sources of information on programme and project activities and other policy and strategic documents. This helped in understanding the context of UNDP activities and the nature and structure of programmes. The main sources of documents on programmes were the UNDP country office cluster leaders and implementing partners. The cluster leaders and the evaluation officer provided support to aid understanding of the overall theory and performance indicators of the country programme.

**Table 3. Projects Selected for In-depth Analysis**

Country office cluster	Programmes/projects (programme cycle)
<b>Good governance and empowerment</b> (a) Good governance, democratization and empowerment	1. Democracy consolidation programme (CCF II and CPD) 2. Local government strengthening and investment programme (CPD) 3. Malawi decentralized governance programme (CCF II and CPD) 4. Support to elections (CCF II and CPD) 5. Access to justice (CPD) 6. Public awareness on human rights (CCF II and CPD)
(b) Public sector reform and service delivery	7. Joint programme support for M&E (CCF II and CPD) 8. Public sector capacity development programme (CCF II and CPD) 9. Capacity development in health (CPD) 10. Support to the Development Assistance Coordination Unit (CPD) 11. Poverty and social impact analysis (water sector) (CPD)
<b>Environment, natural resource management and disaster risk management</b> (a) Energy, environment and natural resource management	12. Poverty-environment initiative (CPD) 13. BARREM (CCF II)
(b) Disaster risk management	14. Disaster risk management project (CPD)
<b>Poverty, growth and MDGs</b> (a) Pro-poor economic growth (b) Gender equity and women's empowerment	15. Growing sustainable business (CPD) 16. Functional literacy and integrated rural development (CCF II and CPD) 17. African millennium villages (CPD) 18. Financial inclusion in Malawi (CPD)

The evaluation team was also able to use several programme and project evaluations conducted by the country office. The latter had planned to undertake a number of evaluations during the period August-December 2010, and the ADR team was to draw on the results of them or collaborate with the authors to reduce duplication and overlap. However, only one of the planned country office evaluations had taken place. The team also used past midterm and end-of-project evaluations as supporting evidence or for validation purposes. Other secondary data sources included the results-oriented annual reports, evaluations conducted by national consultants, government reports and other relevant materials from cooperating partners and other stakeholders.

#### DATA COLLECTION METHODS

The main method of data collection was interviews with a sample of informants at national, subnational and local levels (see Table 4). A total of 93 interviews (42 percent with government officials) were conducted. Interviews were held first with government officials, including managers and technicians from implementing agencies and key departments relevant to the thematic areas. Next came UNDP country office

staff, particularly senior managers and cluster leaders. The third group interviewed were officials from other UN agencies and implementation units. Fourth were development partners such as officials from bilateral aid agencies, important for assessing UNDP's strategic positioning and the performance of specific programmes. Key informants with government ministries and development partners were critical for assessing UNDP's strategic role and for determining the outcomes of UNDP interventions in upstream activities. Fifth came interviews at the local level, in programmes that had target beneficiaries, involving local leaders and beneficiaries.

Focus group discussions were conducted with beneficiary groups in programmes for which such groups could be identified at local level. These discussions helped to clarify how the outputs of the projects and activities were contributing to outcomes and unintended effects. Four focus group discussions were held with both male and female beneficiaries (45 percent and 55 percent, respectively).

The emphasis in the key informant interviews and focus group discussions was the nature of outputs generated by the programmes, the

**Table 4. Category and Number of Interviews**

Category	Good governance, democratization and empowerment	Public sector reform and service delivery	Environment, natural resource management and disaster risk management (DRM)	Poverty, growth and MDGs	Total
Government officials	15	8	7	9	39
UNDP country office	5	4	5	4	18
Other UN agencies	3	4	-	-	7
Development partners	11	2	2	-	15
Local leaders and focus group discussions	4 <sup>a</sup>	2	2 <sup>b</sup>	-	8
Civil society and private sector	5	-	-	1	6
Total	43	20	16	14	93

Notes: a. Two focus group discussions (one with 12 participants and one with 10) and two chiefs who were interviewed separately.  
b. Two focus group discussions.

extent to which the outputs had contributed to achievement of the outcomes and key factors that enabled or hindered achievement of outcomes. Finally, interviews were held with officials from CSOs and the private sector. (Annex 3 presents a list of those interviewed.)

#### RATING SCALE FOR ASSESSMENT OF PERFORMANCE

The evaluation used a quantitative approach to assess portfolio performance on the criteria of relevance, effectiveness, efficiency and sustainability. This was done as follows.

At the project level:

- The team used well-defined interview protocols to collect data from informants and ensure data consistency. The protocol built on the key evaluation questions; where necessary, elaborations were made to accommodate programme peculiarities.
- The team applied a five-point scale to rate informants' assessments of performance. Informants were asked to rate the performance of each selected project on a scale of 1 (lowest) to 5 (highest) (see Table 5). The interviewer also questioned informants extensively to ascertain further details.
- To establish the validity of project ratings, the evaluation team also carried out further concurrent validation of data with multiple

sources, analysis of inconsistencies observed and follow-up visits to informants when necessary to finalize the ratings.

- To ensure consistency across the raters or interviewers, inter-rate reliability was assessed among the team members collecting the data. Team members conferred regularly during data collection. Further consistency checks on ratings among team members were established during a synthesis workshop following the main phase of data collection. It was observed that most of the raters had given conservative ratings. The reported ratings of the evaluation therefore reflect the high end of the scale. The rating system, in addition to providing valuable quantitative data, helped to anchor and validate assessments among informants.

At the programme level:

The ratings across projects and by programme were aggregated and averaged. The final programme rating was validated by the evaluation team with information from secondary sources, particularly project monitoring reports and programme or project evaluation reports. Thus, judgements made about programmes by the evaluation team are based not only on the ratings of the projects selected for in-depth studies but also on evidence from other sources in the thematic areas supported by the country office.

**Table 5. Rating Scale for Assessing Performance**

Rating	Explanation
5 Outstanding	The observed results are well above the average or typical range in the country; they represent a 'good practice' case.
4 Excellent/above average	The observed results are above average and in the higher part of a typical range in the country.
3 Average/satisfactory	The results are around average and in the middle point of the typical range in the country.
2 Below average/ unsatisfactory	The results are below average and in the lower part of the typical range in the country.
1 Poor/highly unsatisfactory	The results are significantly below average and below the typical range in the country.

## Chapter 2

# DEVELOPMENT CHALLENGES AND NATIONAL STRATEGIES

### 2.1 BACKGROUND

Malawi, with 13 million people, is a small, land-locked, predominantly rural country. Its economy is based primarily on rain-fed agriculture, from which more than 70 percent of the population derive livelihoods. The agricultural sector contributes 35 percent to gross domestic product (GDP) and generates 90 percent of foreign exchange earnings, mainly from export of tobacco. Most of its agricultural production is devoted to meeting the subsistence needs of farming families. Since Malawi achieved independence in 1964, the structure of its economy has not changed significantly. The contribution of the manufacturing sector to GDP has fallen from 12 percent in the 1970s to 8 percent in 2010. Economic growth has been erratic. Growth rates were higher in the 1970s but turned negative in the 1980s and 1990s, before positive growth rates returned beginning around 2000.

The country has few resources and is highly dependent on external aid. It is rapidly urbanizing and has high population growth and limited arable land. These challenges have manifested in unfavourable socio-economic indicators, including a high incidence of poverty. Yet progress has been made in some areas. Life expectancy has increased (from 40 years in 2005 to 47 years in 2007), maternal mortality has declined (from 984 deaths per 100,000 live births in 2004 to 598 in 2010) and the country has moved from a one-party state to multiparty democracy since 1994.

### 2.2 DEVELOPMENT CHALLENGES AND NATIONAL STRATEGIES

During the period under review (2002 to 2011), Malawi has experienced many developmental challenges (Saasa and Atema, 2010):

<b>Indicator</b>	<b>Current Status</b>	<b>MDG Target</b>
Life expectancy	47 years	—
Under-five mortality rate	122 deaths per 1,000 live births	78/1,000
Infant mortality rate	69 deaths per 1,000 live births	44.7/1,000
Maternal mortality ratio	807 deaths per 100,000 live births	155/100,000
HIV prevalence among 15- to 49-year-olds	12%	0
Prevalence of underweight children	16%	14%
Population below minimum level of dietary energy consumption	15%	11.8 %

Source: GoM 2009a, 2010a



- High incidence of poverty, high levels of stunting, low life expectancy, high levels of child and maternal mortality, and high malnutrition levels (see Table 6)
- High levels of unemployment and underemployment due to limited work opportunities, largely because of low industrialization
- Low human capital due to low levels of education and skills development
- Weak export base characterized by highly concentrated exports, mainly unprocessed agricultural commodities, principally tobacco
- Dominance of low-productivity smallholder agriculture based on traditional technologies
- High incidence of HIV
- Environmental degradation
- Gender bias.

Also during this period, the Government of Malawi has developed and implemented a number of strategies and programmes to address these challenges. They include:

- Malawi Poverty Reduction Strategy (MPRS), 2002-2005
- Malawi Economic Growth Strategy (MEGS), launched in 2004
- Malawi Growth and Development Strategy (MGDS), 2006-2011.

The main emphasis of the MPRS was pro-poor growth and social development through empowerment of the poor. It was based on four strategic pillars: pro-poor sustainable growth; human capital development; social protection and good governance; and political will and mindset. These four pillars were supported by cross-cutting issues including HIV and AIDS, gender, environment, and science and technology.

Another strategy, the MEGS, was born of criticism from large-scale businesses that the MPRS focused too much on poverty and too little on growth from the private sector, needed

to drive poverty reduction. The MEGS focused on economic sectors led by the private sector as drivers of economic growth, including mining, agro-processing, tourism, tobacco, cotton and tea, sectors that were largely dominated by big businesses. However, the MEGS took the view that growth was sufficient for poverty reduction; it completely ignored distribution issues. The period 2004-2005 was a time of policy uncertainty as it was not clear which policy document was being used to guide development. The problems of exclusion in both the MPRS and the MEGS led to the launch of the MGDS (GoM, 2006).

The overall objective of the MGDS is to reduce poverty through sustainable growth and infrastructure development. It has five main thematic areas: sustainable economic growth; social protection and disaster management; social development; infrastructure development; and democratic governance. Six priority areas of work were identified for achievement of the MGDS:

- Agriculture and food security
- Irrigation and water development
- Transport infrastructure development
- Energy generation and supply
- Integrated rural development
- Prevention and management of nutrition disorders and HIV and AIDS.

The new MGDS (2011-2016) has added three new priorities: education, science and technology; climate change and natural resources; and youth development and empowerment (GoM, 2010b). The key priorities were reorganized as follows:

- Agriculture and food security
- Green belt irrigation and water development
- Education, science and technology
- Transport infrastructure and Nsanje World Inland Port
- Climate change, natural resources and environmental management

- Integrated rural development
- Public health, sanitation and HIV and AIDS
- Youth development and empowerment
- Energy, mining and industrial development.

### 2.2.1 DEMOCRATIC GOVERNANCE

Malawi reinstated multiparty democracy in May 1994 after 30 years of one-party rule. The country has a presidential system, and the president is elected separately from the legislators. According to the Malawi Constitution of 1994, government powers are shared among the legislative, executive and judicial branches. The legislature is mandated to perform the three roles of representation, oversight and legislation, while the executive branch is mandated to promulgate and implement policies. The role of the judiciary is to interpret, enforce and protect the laws of the country.

Through article 146, the Constitution provides for a devolved system of local government. It is further supported by the National Decentralization Policy of 1998 and the Local Government Act of 1998. The key elements of the National Decentralization Policy are:

- Devolve administration and political authority to the district level
- Integrate governmental agencies at the district and local levels into one administrative unit, through institutional integration, manpower absorption, composite budgeting and provision of funds for decentralized services
- Divert the centre of implementation responsibilities to districts
- Assign functions and responsibilities to the various levels of government
- Promote popular participation in the governance and development of districts.

The policy seeks to achieve the following objectives:

- Create a democratic environment and institutions

- Eliminate dual administrations (field administration and local government) at district level to make public service more efficient, economical and cost effective
- Promote accountability and good governance at the local level to help the Government reduce poverty
- Mobilize the masses for socio-economic development at the local level.

The vision of the local government system as stipulated in the Constitution is to institutionalize real decision-making powers and authority in local jurisdictions with clear geographical boundaries, legal status and personnel of their own. Ultimately most of their activities would be substantially outside the direct control of the central government. Local government would therefore no longer be a public body exercising delegated powers but rather a deliberative assembly with legislative and executive powers recognized by and embedded in the Constitution.

Local governments do not currently exist. They were dissolved in May 2005 following the expiry of the mandate of the councillors who were elected in the 2000 local government elections. Though four general elections have been held since May 2005, local elections have been postponed repeatedly and have only been held once. Meanwhile the Local Government Act has been substantially amended, even though the local government system as initially conceived has not been fully implemented.

Malawi holds presidential and parliamentary elections once every five years using the 'first past the post' system (in which the candidate with the most votes wins) at both parliamentary and presidential levels. The number of political parties has swelled to 37, with 3 main parties, from the 7 that contested the founding democratic elections in May 1994.

Several key governance institutions have been established either by the Constitution or by acts of Parliament to promote, protect and harness democratic governance. These include the

Anti-Corruption Bureau, the Malawi Human Rights Commission (MHRC), Law Commission, Ombudsman, Malawi Electoral Commission (MEC) and Office of the Director of Public Procurement. In addition, several pieces of legislation have been enacted to promote transparency, accountability and financial probity in management of government resources. Notable pieces of legislation include the Public Financial Management Act (2003), Public Procurement Act (2003) and Public Audit Act (2003).

Efforts have also been made to improve the capacity of the public service to contribute to achievement of national development goals. Assessments have been undertaken to understand the factors constraining capacity, particularly in formulating and implementing development strategies and policies and delivering services. These factors were found to include “weak leadership, weak human resource capacities, weak institutional linkages and poor coordination, inadequate management of operational systems and procedures, low staff morale and poor motivation, and the lack of an enabling policy framework to coordinate the various capacity development initiatives.”<sup>2</sup>

Thus, inadequate capacity has been a major constraint to achievement of development results in Malawi. The Government has therefore included capacity development strategies in its development policies and strategies. It has also established the Public Sector Reform Unit in the Office of the President and Cabinet, which has published the framework document for public sector reform.

The Government is also focusing on corruption and access to justice. Officials recognize that the shortage of legal experts, lack of capacity to train legal personnel, high costs of legal services, high crime rates, lack of commitment to human rights and lack of respect for the rule of law are also critical challenges that must be addressed in the development process.

Several governance challenges have had considerable repercussions for the country’s development agenda. These include:

- Limited capacity and independence of constitutional bodies
- Lack of access to justice by a majority of citizens, especially women, because they are unaware of their rights, have no access to the institutions or the institutions are weak
- Internal power struggles among major political parties, often leading to political instability
- Limited public sector capacity to deliver services at national and district levels due to incomplete reforms
- Skewed balance of power favouring the executive branch, especially the president
- Inadequate systems for transparency and accountability, creating fertile ground for corruption and fraud
- Failure to institutionalize the local government system due to continuous postponement of local government elections.

### 2.2.2 ENVIRONMENT, NATURAL RESOURCES AND DISASTER RISK MANAGEMENT

Malawi faces severe environmental challenges, including degradation of land, water and human habitat; deforestation; loss of biodiversity and fisheries; pollution of air, water and soil; high population growth; and climate change. Challenges threatening the economy and rural livelihoods arise mainly from (a) increasing population pressures on limited land; (b) accelerating deforestation resulting from increasing demands for fuelwood, forest products and agricultural expansion; (c) overgrazing; and (d) cultivation of marginal and fragile agroecosystems, such as steep hillsides and wetlands. All these have direct effects on human health, agriculture, food security, water supply, electricity supply and infrastructure.

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2 Public Sector Reforms Management Unit, Office of the President and Cabinet, Public Sector Capacity Development Programme (2010-2014), Lilongwe, Malawi.

In particular, the ever-growing rural population is exerting pressure on natural resources for farming, settlement, energy and livelihoods. The result is accelerating land and environmental degradation and deterioration of natural resources. As argued by Yaron et al. (2010), Malawi pays a high price for unsustainable natural resource use, equivalent to giving up 5.3 percent of GDP each year.

In response to these challenges, the Government has put in place legislative frameworks to integrate environment and energy into national development programmes. In 1994, with support from development partners, the Government developed the National Environmental Action Plan. In 2006, the Government developed the National Adaptation Programme of Action (NAPA) to address urgent needs for adaptation to climate change and extreme weather. The NAPA was designed to evaluate potential impacts of climate change in eight sectors of economic growth: agriculture, water, health, energy, fisheries, wildlife, forestry and gender. It ranked activities for 15 urgent and immediate adaptation priorities using multi-criteria analysis. The document aims to identify a list of priority activities; formulate priority adaptation options; build capacity for adapting to longer-term climate change and variations; and raise public awareness about the urgency of adapting to the effects of extreme weather (Environmental Affairs Department, 2006).

The Government has further demonstrated its commitment to addressing environmental challenges by including energy and environment as one of the nine priorities in the MGDS. The environment is also addressed in the sub-theme on natural resources management (GoM, 2006). Furthermore, in the upcoming MGDS II, the Government has included climate change, natural resources and environment management as a separate key priority area and redefined the energy priority to include mining and industrial development (GoM, 2010b).

The Government has also enacted relevant legislative frameworks to deal with environment and energy issues. These include the Environmental Management Act of 1996, National Forestry

Policy of 1996, National Forestry Act of 1997, National Wildlife Policy of 2000, National Water Policy of 2004, National Energy Policy of 2003, National Aquaculture and Fisheries Policy of 2001, National Land Use Planning and Management Policy of 2005 and National Irrigation Policy and Development Strategy of 2000.

Malawi is preparing to implement an agriculture sector-wide approach to address specific challenges facing that sector. One of its three focus areas is sustainable agricultural land and water management; one of its priorities is increasing the area of sustainable land management from 100,000 to 250,000 hectares (GoM, 2010c). Climate change is also mentioned as a constraint on increasing agricultural productivity, and it features under the focus area of food security and risk assessment.

In addition to policy responses, the Government has instituted several collaborative projects with its development partners. For example, with support from UNDP, the Environmental Affairs Department has been implementing interventions aimed at phasing out ozone-depleting substances and equipment that depends on them. The Department of Forestry is implementing several projects to prevent and control deforestation.

Malawi faces multiple hazards in both rural and urban areas. These include floods, severe storms, droughts, fires, landslides and earthquakes; diseases and epidemics, including HIV, cholera and malaria; and crop pests. Over the last few decades, Malawi has experienced extreme weather including droughts (1991/92), floods (1996/97) and flash floods (2000/01). During the 1996/97 crop season, the southern region experienced floods, while some parts of the northern region along the Karonga Lake plain suffered from severe drought. Such events have caused irreversible damage to crops and livestock, especially the droughts that occurred during the growing seasons of 1978/79, 1981/82, 1991/92 and 1993/94 (GoM, 2009a).

Between 1974 and 2003, these hazards cumulatively affected 25 million people, making Malawi one of the hardest hit poor countries,

based on mean annual number of people affected per 100,000 population (GoM, 2010c). The UNDAF asserts that disasters have occurred more frequently in Malawi over the years, mirroring the global trend. External economic shocks, such as changes in oil and commodity prices, dramatically affect the economy and people.

It is estimated that 15 percent of the rural population lives on the fringes of areas at high risk of floods. Even in the absence of pronounced droughts, long dry spells are common during the rainy season in many parts of the country. Such dry spells are reported to cause 20 to 30 percent of total yield losses per hectare when experienced at the most crucial development stage (UN, 2010). In 2010, earthquakes affected the livelihoods of people in some parts of the northern region, especially Karonga district.

The Government realizes how disasters harm the economy and the lives of vulnerable people. Social protection and disaster risk management is therefore among the themes in the MGDS. The government's long-term goal is to reduce the socio-economic impacts of disasters by protecting the most vulnerable groups of people and improving disaster risk management. In collaboration with development partners, the Government is also implementing several projects to reduce the impact of disasters on rural people. Responses include relief and recovery interventions and management and preventive activities.

### **2.2.3 POVERTY, GROWTH AND MDGs**

Economic growth in Malawi has been erratic, and poverty remains a major development challenge. Growth rates in real GDP in the 1990s and early 2000s were dismal, averaging less than 1.5 percent annually, and growth in per capita real domestic product declined. In 2005 it was estimated that 52 percent of the population was living below the poverty line, with rural poverty estimated at 55.9 percent (GoM and World Bank, 2007). Household vulnerability is high due to the agricultural basis of the economy. About 95 percent of households in Malawi experienced at least one economic shock between 2000 and 2005, and most experienced more than one type

of shock (GoM, 2006). The slow growth and pervasive poverty have also been attributed to low human capital, including low rates of literacy. These problems led the Government to focus on sustainable economic growth as the main pillar of development in the MGDS. This reflected the realization that growth has to be sustainable and inclusive to translate into meaningful poverty reduction. This requires economic empowerment of all Malawians so they can fully participate in productive economic activities.

Since 2006, economic performance has improved, with growth rates in real domestic product averaging above 6 percent per year. Macroeconomic stability has also improved, with inflation averaging below 10 percent. Projections indicate that poverty has declined from 52 percent in 2005 to 39 percent in 2009. The adult illiteracy rate remains high, but the proportion of literate adults has increased from 51 percent in 1998 to 64 percent in 2005. Welfare monitoring surveys show a further improvement to 70 percent in 2009. Among women literacy has increased from 54 percent in 2005 to 60 percent in 2009 (NSO, 2010).

Malawi remains highly committed to achieving the Millennium Development Goals (MDGs) by 2015, through the implementation of the MGDS. The 2010 Malawi MDGs Report shows progress has been made. Five of the goals are likely to be achieved: Goal 1, eradicating extreme poverty; Goal 4, reducing child mortality; Goal 6, combating HIV and AIDS, malaria and other diseases; Goal 7, ensuring environmental sustainability; and Goal 8, developing a global partnership for development. Significant progress has been made on the other three: Goal 2, achieve universal primary education; Goal 3, reduce gender inequality; and Goal 5, improve maternal health. However, achievement of these goals by 2015 remains in doubt, given that the country had a much lower starting base compared to other countries (GoM, 2010a).

### **2.2.4 ACCESS TO SOCIAL SERVICES**

Government development strategies have articulated the need to improve access to basic social services by poor people, especially health and

education, leading to a focus on social development. The ratio of physicians per population has been falling; childhood immunization declined from 82 percent in 1992 to 64 percent in 2004; and maternal mortality rates increased from 620 per 100,000 live births in 1992 to 960 in 2004. Some of these problems have been attributed to the HIV and AIDS pandemic. Thus the Government seeks to not only halt and reverse the spread of HIV and AIDS but also to decrease the negative impact on people living with the disease and reduce the economic and social burden on those who care for them (GoM, 2006).

### 2.3 DEVELOPMENT PARTNERS AND FINANCING

The country depends heavily on donor assistance, with 30 percent of the national budget typically coming from official development assistance (EIU, 2010). Aid in Malawi has risen significantly, from an average of 4.6 percent of GDP over the period 1970-1986 to over 25 percent of GDP during the 2008/2009 financial year (GoM 2009a). In 2006, aid per capita stood at \$29 (see Tables 7 and 8).

A number of international donors pool their resources under the umbrella of the Common Approach to Budgetary Support (CABS),

including the European Union, United Kingdom, Norway and the World Bank. The CABS group currently accounts for approximately 40 percent of total international assistance to Malawi (EIU, 2010).

In 2006, the Government developed a Development Assistance Strategy (DAS, 2006-2011) that sets out the policy and strategies for increasing efficiency and effectiveness in mobilizing and using aid to achieve the development results set out in the MGDS. The total volume of aid made available to the Government should increase if efficiency and effectiveness are achieved. The DAS seeks to achieve these results primarily by implementing reforms to fulfil the five principles of the Paris Declaration on Aid Effectiveness:

- National ownership of the development agenda
- Alignment of development partners to the national development strategy and government systems
- Harmonization of development partners' systems and activities
- Managing resources and decision-making for results
- Mutual accountability for development results.

<b>Table 7. Aid Development Indicators, 2004-2009 (percent)</b>					
<b>Indicator</b>	<b>2005/05</b>	<b>2005/06</b>	<b>2006/07</b>	<b>2007/08</b>	<b>2008/09</b>
Aid/nominal GDP	11	16	14	17	19
Aid/real GDP	13	16	16	21	26
Aid/total government expenditure	22	22	29	29	43
Aid/total imports	34	34	34	44	58

Source: Government of Malawi, Aid Management Platform, DAD, Ministry of Finance, 2009

**Table 8. Total Disbursements by Donor, 2006-2010 (US\$)**

Donor	Actual Disbursement			Projections
	FY 2006/07	FY 2007/08	FY 2008/09	FY 2009/10Y
African Development Bank	24,594,108	26,075,644	71,850,195	47,425,616
Canadian International Development Agency	6,098,795	9,256,861	10,859,976	9,765,952
UK Department for International Development	143,423,554	145,492,367	112,716,639	157,897,340
European Union	57,205,173	70,727,387	138,817,040	90,181,924
Flemish International Cooperation Agency	0	2,787,586	3,063,731	436,681
Food and Agriculture Organization of the United Nations	1,957,960	1,098,402	4,189,730	--
Global Development Corporation	14,950,034	15,581,281	21,273,495	32,646,570
German Technical Cooperation	8,433,158	12,610,359	12,615,856	9,578,814
Kreditanstalt für Wiederaufbau	6,516,876	2,970,922	8,657,639	23,067,756
Global Fund to Fight AIDS, Tuberculosis and Malaria	0	0	111,770,649	88,579,335
Icelandic International Development Agency	3,120,014	4,957,935	3,199,162	2,488,252
International Fund for Agricultural Development	0	8,000,000	122,766	--
Irish Aid	0	4,854,226	9,488,284	17,565,468
Japan International Cooperation Agency	10,262,728	14,627,943	28,959,028	8,152,424

Source: MoDPC (2010), Review of MGDS, Final Report, table 15, p. 48; Saasa and Atema (2010), table 15, p. 48.

Note: -- indicates no data

# UNDP RESPONSE AND STRATEGIES

## 3.1 BACKGROUND

### 3.1.1 THE UN SYSTEM AND THE UNDAF

The UN system supports the Government and people of Malawi to use their development resources effectively and accountably. The overall goal is to achieve the objectives of the MDGs and adequately respond to the right to development entrenched in the Constitution. During the last decade, the UN system has continued to improve its support to the Government and its partners. More recently, UN partners have sought to ensure that Malawi is optimally placed to benefit from the rapidly changing aid environment of budget support, donor alignment with national systems and increases in global aid flow.

In 2008, the United Nations country team (UNCT) prepared the UNDAF for 2008-2011, which supports the goals of the MGDS. The UNDAF has five priority outcomes: (1) equitable economic growth and achievement of food and nutrition security; (2) care and protection for the ultra-poor and reduction in the impact of economic shocks and disasters on the most vulnerable; (3) increased equitable access and use of basic social services; (4) scale-up in the national response to HIV and AIDS; and (5) good governance. Common to all five outcomes are four cross-cutting challenges: gender equality, human rights, disaster risk management and capacity development.<sup>3</sup>

### 3.1.2 UNDP STRATEGY AND PROJECTS

UNDP has been contributing to 4 of the 5 UNDAF results (all except outcome 4), supporting 6 CPD outcomes and 16 outputs. The focus has been on deepening national ownership and developing implementation capacity and initiatives that model new policy approaches. Under UNDAF outcome 1, UNDP emphasizes environment and energy for sustainable economic development; for outcome 2, capacity to care for the ultra-poor and protect the vulnerable from shocks and hazards; for outcome 3, national and district capacity to coordinate, manage and monitor HIV and AIDS responses in line with the Three Ones principles;<sup>4</sup> and for outcome 5, accountability systems (both economic and political), including elections, human rights and access to justice. In pursuing results in these areas, the UNDAF commits UNDP to take into account the four cross-cutting themes (UNDP 2008).

In 1977, the Government of Malawi and UNDP entered into a Standard Basic Assistance Agreement to govern UNDP assistance to Malawi. Since then UNDP has engaged in well over 75 projects in Malawi, addressing poverty reduction (microfinance, private sector development); democratic governance (electoral systems and processes; justice and human rights; decentralization and local governance; public administration reform and anti-corruption); energy and environment (access to services; conservation and sustainable use of biodiversity); and response to HIV and AIDS.

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3 See United Nations (2008).

4 One agreed HIV/AIDS action framework that provides the basis for coordinating the work of all partners; one national AIDS coordinating authority, with a broad-based, multi-sector mandate; one agreed country level monitoring and evaluation system.



In December 2007, the Government and UNDP agreed on the CPD/CPAP for 2008-2011. The framework for cooperation is based on:

- Furthering cooperation for realization of the Millennium Declaration and the MDGs and implementation of United Nations conventions to which the Government is a party
- Supporting implementation and monitoring of national development goals as prioritized in the MGDS
- Supporting the government's follow-up to the Rome Declaration on Harmonization and Paris Declaration on Aid Effectiveness
- Fulfilling UNDP responsibilities and commitments as reflected in the 'One UN' approach of the UNDAF
- Building upon the progress made during implementation of the previous country programme (2002 to 2007).

The majority of UNDP projects in Malawi are implemented by national partners under the NEX/NIM modality, chosen to aid in strengthening national capacities. UNDP manages financial resources from various sources, including

UNDP core funding and resources mobilized from other contributors (government, development partners, private sector) and resources from global trust funds such as the Global Environment Facility (GEF).

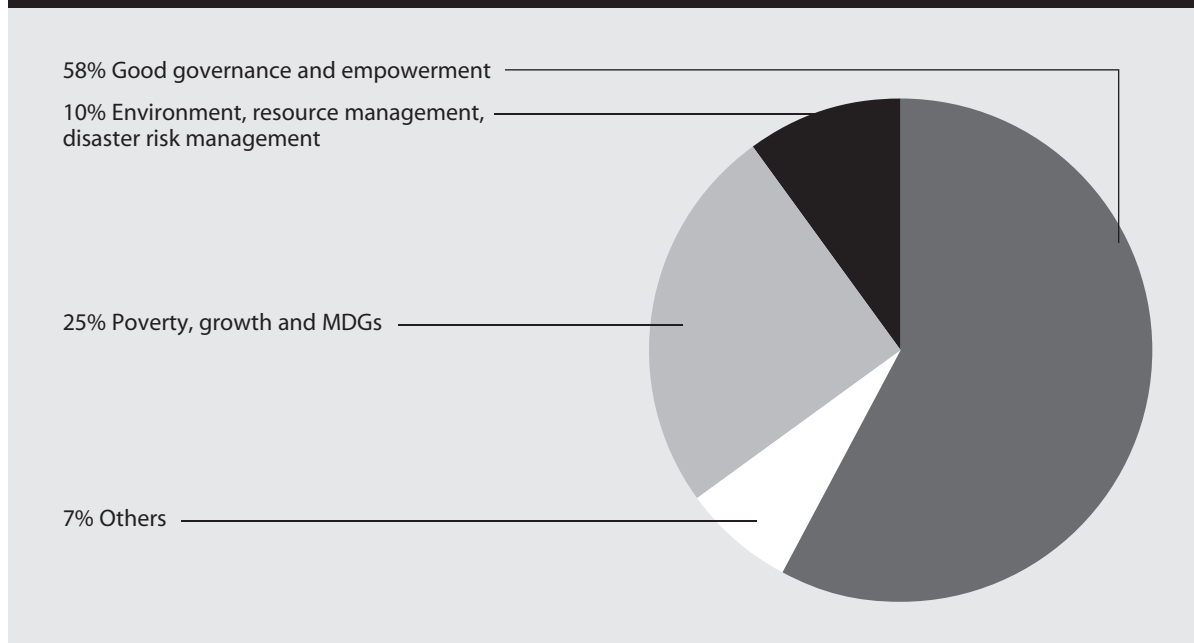
For the period between 2004 and 2010, UNDP approved a total budget of \$214,897,000. It had an actual spending limit (ASL), or actual available resources, of \$212,524,000 (see Table 9) and expenditures of \$144,656,000, reflecting a 67 percent expenditure rate (UNDP 2011). The delivery rate improved from 62 percent between 2004 and 2006 to 71 percent between 2007 and 2010. Analysis of the distribution of financing indicates that 62 percent of funds came from non-core resources.

Democratic governance received the largest proportion of UNDP resources for 2004-2010 (see Figure 1). The pattern is the same across years, with the largest increases observed in 2004 and 2009. (These were years in which presidential elections took place; UNDP enjoys a comparative advantage in providing electoral support and elections tend to attract funds from development partners, which require quick disbursement to conduct the elections on schedule.)

**Table 9. Executive Snapshot Budget and Expenditures, 2004-2010 (US\$)**

Year	Budget	ASL Actual Spending Limit	Expenditure	Delivery against ASL (percent)	Delivery against budget (percent)
2004	19,485,000	20,868,000	12,972,000	62.2	66.6
2005	18,654,000	23,069,000	14,715,000	63.8	78.9
2006	25,684,000	22,676,000	13,271,000	58.5	51.7
2007	27,775,000	27,652,000	20,362,000	73.6	73.3
2008	46,874,000	38,755,000	26,477,000	68.3	56.5
2009	39,427,000	42,270,000	30,943,000	73.2	78.5
2010	36,998,000	37,234,000	25,916,000	69.6	70.0
Total	214,897,000	212,524,000	144,656,000	67.0	67.9

**Figure 1. Programme Expenditure, 2004-2010**



As noted in section 1.3.1, the evaluation team grouped the programmatic themes into three main areas to reconcile the two country programmes covered by the evaluation. These groupings are used below to describe the nature of UNDP's response and strategies. They also provide the framework for analysing the UNDP contribution in subsequent chapters.

### **3.2 GOOD GOVERNANCE AND EMPOWERMENT**

Outcome 5 of the UNDAF calls for good governance, gender equality and a rights-based approach to development to be enhanced by 2011. UNDP contributes to this outcome with three main outcomes of its own, also to be achieved by 2011: (1) An informed public actively claiming good governance and human rights; (2) improved national capacity to formulate policy and manage, monitor and deliver services to protect the rights of vulnerable people; and (3) gender equality and women's empowerment enhanced.

#### **3.2.1 GOOD GOVERNANCE, DEMOCRATIZATION AND EMPOWERMENT**

The UNDP response to governance challenges has been shaped by the UNDAF and MGDS. The interventions were designed to help create a supportive environment for sustainable development processes at national and district levels. In other words, the programmes were conceived to support the Government in building national capacity for sustainable development, in line with the acknowledgement in the MGDS that good governance is critical for achievement of its goals.

The interventions were designed to address both the demand and supply sides of the governance challenges. The supply side concerns state capacity and responsiveness while the demand side focuses on empowering institutions outside government. Several projects have been supported covering elections, the legislature, access to justice, decentralized governance, human rights awareness and democracy consolidation.

Under the first UNDP outcome, “an informed public actively claiming good governance and human rights by 2011”, interventions have been clustered into three broad areas to strike a strategic balance between the supply and demand components of the requirements for sustainable democratic transformation. These include (1) participatory democracy, (2) decentralized governance and (3) access to justice. Participatory democracy aims at increased and more effective participation of communities in (a) making policies and decisions; (b) advocating for changes to policies, laws and practices that affect their livelihoods and rights; and (c) holding public bodies accountable. Decentralized governance targets refinement of policy and regulatory frameworks for decentralization and local development, including service delivery and investment at district levels. Access to justice focuses on improving access to affordable and equitable justice, especially for poor and vulnerable people and marginalized groups.

The three focal areas are justified as an attempt to make UNDP governance interventions more systematic in order to maximize impact. In practice, however, the interventions in each focal area are not limited to the supply or demand side. They often overlap and interact in many ways that contribute to attainment of the intended outcome. The underlying programmatic assumption is that good governance, democratic transformation and empowerment depend on the establishment and effective functioning of governance institutions.

### **3.2.2 PUBLIC SECTOR REFORM AND SERVICE DELIVERY**

UNDP has been a major partner in assisting the Government to improve capacities in the public sector. Since 2002, UNDP has established a number of programmes and projects aimed at strengthening capacity in central and line ministries, departments and agencies to improve public services. This is in response to the second country programme outcome under UNDAF outcome 5, “improved national capacity to formulate policy, manage, monitor and deliver services to protect the rights of vulnerable people”. UNDP supports this outcome through the following five outputs:

1. Strengthened capacity of central and local government to formulate policies and strategic plans, deliver services and be more visibly accountable to the populace
2. Strengthened national systems for monitoring and evaluation of development strategies and programmes
3. Strengthened capacity to deliver medical services in district and central hospitals
4. Strengthened technical capacity in the Malawi Electoral Commission (MEC) to support the organization and implementation of free, fair and credible elections
5. Strengthened capacity in the Government to coordinate and manage development assistance in line with the Paris Declaration on Aid Effectiveness.

To achieve the first output, UNDP is supporting implementation of a capacity development programme to strengthen public sector management capacity. The goal is for personnel to be able to formulate policies and strategic plans; deliver services and nurture accountability in procurement, financial management, information and communication technology, human resources and project administration; and build national capacity in monitoring, evaluation and audit. The programme supports sector-wide approaches and management and coordination within the MGDS implementation framework in the Ministries of Water, Health, Education and Agriculture. UNDP is supporting the Government to mobilize further substantial resources for this programme, only part of which are being channelled through UNDP. Support to establishment of a volunteer policy for health workers is inducing volunteers within and outside the country to help reduce the gap in health services delivery.

The Public Sector Capacity Development Programme (PSCDP) is implemented by the Public Sector Reform Unit under the Office of the President and Cabinet. Its overall aim is to strengthen public sector management and administration for sustained improvement in delivering

services. Its intended outcome is improved national capacity to formulate policies; manage, monitor and deliver services; and be more visibly accountable to the people. The focus is on developing strong leadership, good management and sound administration. The programme covers six thematic areas: (1) human resource management and development; (2) financial management; (3) audit; (4) project and programme management; (5) procurement; and (6) information and communication technology.

In addressing the second output the Government has established the project on Joint Support for Strengthening National Monitoring and Evaluation (JPSME). UNDP has assisted in developing a national M&E framework connecting central and line ministries as well as district assemblies. Its objective is to monitor and track results of the MGDS and other national and sectoral development programmes (including trends in core well-being outcomes) and conduct impact assessments of key policies and programmes. UNDP also supports the JPSME to address needed improvements in standardization, quality and timeliness of data; capacity to collect, analyse and disseminate data; coordination between data collection institutions; and M&E structures in decentralized institutions.

The third output was to be achieved by maintaining 50 United Nations Volunteers (UNV) doctors in 12 hospitals as part of the national six-year emergency human resources programme in the health sector. This goal was achieved in 2010. The doctors were filling critical gaps essential to providing medical services while also transferring knowledge to medical staff. In this respect, this output was expected to contribute substantially to UNDAF outcome 3.1, “equitable access to essential health services increased by 2011”.

To achieve the fourth output UNDP assisted the MEC to establish a computerized registry of voters, provide voter education and coordinate donor support to make the MEC more effective, responsive and accountable in managing elections.

This initiative directly supported the general election of 2009 and was to support other major electoral events up to 2011, such as local elections and by-elections and demarcation of ward and constituency boundaries.

For the fifth output a Development Assistance Coordination Unit (DACU) has been established in the Ministry of Finance with UNDP assistance. UNDP will support strengthening of the DACU’s capacity to formulate policy and manage and monitor development assistance (from domestic revenue and international aid) within a new coherent aid coordination framework.

### **3.3 ENERGY, ENVIRONMENT, NATURAL RESOURCES MANAGEMENT AND DISASTER RISK MANAGEMENT**

#### **3.3.1 ENERGY, ENVIRONMENT AND NATURAL RESOURCES MANAGEMENT**

The MGDS recognizes that sustainable economic growth requires reversing environmental degradation and lowering energy consumption. Environmental degradation will be worsened by climate change, with disproportionate impacts on the livelihoods of the poorest people, unless timely remedial action is taken. UNDP has been supporting the government’s efforts to address environmental degradation, climate change and expansion of access to environmental and energy services by poor people as integral components of efforts to accelerate pro-poor economic growth.

Specifically, UNDP assistance has focused on supporting the Government to coordinate partnerships with civil society and other development actors. The objective is to prepare results-oriented plans to implement the environmental provisions of the MGDS and climate change plans; articulate or revise environmental policies; and assess and develop capacities. This work has been undertaken in collaboration with the GEF, United Nations Environment Programme (UNEP), World Bank and Food and Agriculture Organization of the United Nations.

UNDP support in energy and environment issues is articulated in country programme outcome 1, “enhanced conservation of the natural resource base by 2011”, which is consistent with the UNDAF. The CPD specified five outputs that would contribute to this outcome. On further analysis, it became apparent that UNDP staffing and financial resources would be stretched too thinly in pursuit of all five outputs, so it was decided (in consultation with the Government) to focus on four outputs:

1. National strategies, policies and action plans that integrate the environmental provisions of the MGDS are implemented in meaningful partnerships with civil society and with effective coordination of development partners.
2. At least two programmes that meaningfully link good governance with poverty reduction and environmental management are prepared with national partners, approved and under implementation.
3. Business-led solutions for sustainable resource management and poverty reduction are developed.
4. One MDG-based integrated rural development programme is implemented in at least two districts, contributing to improved livelihoods and higher incomes among poor people.

UNDP believes that departments with line responsibilities – including the Departments of Environment, Disaster Management Affairs, Forestry, National Parks and Wildlife, Fisheries and Energy – should ensure that inclusive and results-oriented partnerships are developed and sustained. These need to embrace CSOs, the private sector and the donor community, including actors such as the United Nations Capital Development Fund (UNCDF), UNEP, GEF (including its Small Grants Programme), African Development Bank, World Bank, European Union (EU) and bilateral donors. Particular attention has been given to supporting participation by groups that amplify the voices of women and poor people in determining priorities and implementation plans.

Specific interventions include support through the Growing Sustainable Business (GSB) programme to strengthen the capacity of the Malawi Investment Promotion Agency (MIPA) to identify and market investment opportunities. In addition is assistance to a limited number of pro-poor business opportunities that could have a major positive social impact, such as in alternative technology and agribusiness/food processing. This support is intended to showcase and model approaches, for example in strengthening supply chains to aid smallholder farmers and local entrepreneurs.

In addition to the commitment demonstrated in the CPD, UNDP has been implementing programmes in energy and environment. These include phasing out ozone-depleting substances such as methyl bromide; the Renewable Energy Programme/Barrier Removal to Renewable Energy in Malawi (BARREM) project; Environment and Energy for Pro-Poor Growth; Poverty and Environment Initiative; Private-Public Sector Partnership on Capacity Building for Sustainable Land Management in the Shire River Basin; and Second National Communication to the United Nations Framework Convention on Climate Change (UNFCCC). BARREM is a major highlight in the energy sector, having raised awareness of and technical capabilities in renewable energy. It is one of the most significant projects supported by UNDP in Malawi during CCF II.

### 3.3.2 DISASTER RISK MANAGEMENT

Disaster is a major source of shock to the economy and to vulnerable people, especially women. Moreover, disaster-related risks and impacts are likely to be exacerbated by climate change, highlighting the need for a more fully gender-integrated disaster risk management approach. It should both be informed by and inform climate change adaptation strategies and programmes.

Disaster risk reduction is the second major theme in the MGDS. However, pending its elaboration, national disaster management continues to be reactive rather than proactive, with an emphasis on coordinating emergency responses. Furthermore, roles and responsibilities in disaster mitigation, preparedness and response remain unclear.

The UNDP programme outcome reflects the need to build the capacity of national and district-level authorities to improve disaster risk management, including mitigation, preparedness and response systems, with the objective of reducing future impacts and ensuring effective humanitarian response. UNDP is supporting elaboration of a national disaster risk management strategy. It will include the development of a gender-sensitive disaster risk reduction policy, emergency preparedness plans and institutional frameworks at national and district levels. Integral to this strategy is the reflection of disaster risk reduction in other government policies, programmes and training. The strategy will also include the development of gender-disaggregated information management systems that reflect both the impact of past disasters and the risks associated with climate change.

In response to outcome 2, “strengthened disaster risk reduction and emergency management systems and practices for efficient response at national and subnational levels”, UNDP supported the preparation of a draft disaster risk reduction policy, emergency and preparedness plans, and an institutional framework including planning mechanisms, regulations and reviewed legislation ready for implementation by December 2011. UNDP is directly supporting efforts to build the capacity of national and district-level authorities to improve emergency management and response systems. The emphasis is on coordination mechanisms and effective mainstreaming of gender in planning, policies and programmes.

UNDP support is systematically structured and sequenced through successive annual work plans, with an initial focus on promoting understanding of disaster risk reduction, strengthening implementation capacity and formulating operational guidelines. UNDP is coordinating its support with other UN agencies through the UNCT’s thematic cluster group and with the Government through the National Platform for Disaster Reduction, Food Security Joint Task Force and Social Protection Steering and Technical Committee.

UNDP has supported the Government to formulate the Malawi National Disaster Risk Management Framework (2010–2015) and supported the Department of Disaster Management to develop operational guidelines for disaster risk management. Through NGOs, the Department also implemented a disaster risk reduction mainstreaming project in Nsanje and Chikhwawa districts.

### **3.4 POVERTY, GROWTH AND THE MDGs**

#### **3.4.1 PRO-POOR ECONOMIC GROWTH**

Since 2000, UNDP has implemented several projects focusing on the social and economic empowerment of poor people and other vulnerable groups in Malawi. The MGDS contains a number of strategies, particularly under the sustainable economic growth pillar, that are consistent with UNDP responses to the country’s challenges. These strategies include creating an enabling environment for private sector-led growth, improving the entrepreneurial environment for indigenous Malawians and promoting economic empowerment by increasing the participation of women, youth and people with disabilities in productive activities.

UNDP has focused on poverty reduction through empowerment of vulnerable groups under CCF II and through environment and energy and good governance in the CPD. Although enhancing growth and poverty reduction is not a specified outcome in the CPD, UNDP organized some of its programmes under energy and environment and gender equality and empowerment into a growth and MDGs cluster in response to the government’s emphasis on poverty reduction.

Several projects have been implemented that address growth and poverty both upstream and downstream. These include development of the MDG-based national strategy, policy communication support to the agriculture sector, gender mainstreaming in UN agencies and partners, the

Sustainable Social Economic and Empowerment Programme (SSEEP), Functional Literacy and Integrated Rural Development (FLIRD) programme, Millennium Villages Project (MVP) and GSB.

The project on MDG-based national strategies helped to facilitate integration of the Millennium Development Goals into the MGDS, and it clearly articulates how they are to be achieved (GoM, 2006). To monitor alignment of national development strategies with the MDGs, the Government produces an annual Malawi MDGs Report. The project to provide support on policy communication to the agriculture sector assisted in developing communication materials and encouraged policy engagement for implementation of the agricultural subsidy programme. It has become a key success in efforts to reduce hunger, promote growth and reduce poverty over the past five years. The MVP is a rural development programme that provides basic services to communities, such as better seeds and fertilizers, health services and school feeding. Its goal is to transform subsistence agriculture into sustainable commercial agriculture (Buse et al., 2008). In the pro-poor economic growth portfolio, FLIRD and GSB were selected for in-depth assessment of development results.

UNDP is continuing its support to the Government to implement the MVP. This initiative is intended to demonstrate that the MDGs can be achieved by 2015 through partnerships between communities, government and donors and an appropriate level of scientific, technical and financial support. The objective is to identify best practices so they can be scaled up nationally. UNDP will support efforts to ensure that the projects benefit from and contribute to broader efforts in rural development. For example, support is provided to ensure that these projects incorporate functional literacy successes learned from the SSEEP programme to empower women and enhance gender equality. UNDP has developed a model that the Government can use to scale up the MVP.

### **3.4.2 GENDER EQUALITY AND WOMEN'S EMPOWERMENT**

The UNDP response to gender issues and women's empowerment changed between the two programme cycles. Under CCF II, gender was addressed as part of cross-cutting issues, with an emphasis on mainstreaming. Under this approach it was difficult to measure progress. Crawford et al. (2005) noted the lack of focus on gender issues under CCF II. In the CPD, gender issues and women's empowerment emerged as a thematic area. This was appropriate in the context of the MDGs, which articulate gender equality and women's empowerment as social development issues.

UNDP interventions in this area consisted of two projects: Gender Mainstreaming in all UN and Partner Institutions, and FIMA. The former project involved strengthening UN and partner institutions to mainstream gender issues in planning, programming and budgeting. FIMA supports provision of inclusive financial services by private sector microfinance organizations. The goal is to provide access to financial services for poor people and other vulnerable groups, through grants, loans and guarantee schemes.

To prepare and implement a national strategy for a more inclusive financial sector, UNCDF and UNDP established mechanisms to encourage policy dialogue and supported innovations in financial institutions and markets that extend services to low-income groups, especially to women in rural markets. UNDP has also attracted funding from other donors, such as Cordaid and the Arab Gulf Programme for Development (AGFUND), as well as the Government of Malawi. With resources from other partners, a total of \$5.8 million has been committed to FIMA activities.

### **3.5 CROSS-CUTTING THEMES**

Mirroring the UNDAF, the CPD draws attention to four cross-cutting challenges: gender equality, human rights, disaster risk management, and capacity development. UNDP has designated focal points for each theme, and they assist

programme analysts to ensure that the themes are integrated into interventions under their responsibility. Annual reviews, monitoring and evaluations seek evidence of the extent to which each theme has been mainstreamed in pursuit of the six outcomes of the UNDP country programme and suggest corrective actions if required. To facilitate this, UNDP works with the Government to identify indicators that track the extent to which mainstreaming is practised. These four challenges also are expected to be integral to UNDP interventions to support national and sector-wide approaches.

### 3.5.1 HIV AND AIDS

HIV and AIDS are addressed under country programme outcome 3, “improved national and district level capacity to coordinate, manage and monitor HIV responses in line with the Three Ones principles by 2011.” Through this outcome, the CPD commits UNDP to deliver one output: “strengthened capacity to implement, coordinate and monitor and evaluate the HIV and AIDS response at national and subnational level”. In collaboration with other development partners, UNDP funds the National AIDS Commission (NAC) through its integrated annual work plan. It elaborates how the NAC should implement the National Action Framework 2005-2011, the government’s blueprint for responding to HIV and AIDS. It includes eight priority areas: prevention and behaviour change; treatment, care and support; mitigation of the socio-economic and psychosocial impact of the epidemic; research and development; monitoring and evaluation; resource mobilization; national policy coordination; and programme planning. UNDP and other development partners finance the complete work plan.

Through the work plan UNDP aims to increase the number of public and private institutions, including CSOs, that mainstream HIV and AIDS interventions into their core policies, strategies and programmes. UNDP also promotes capacity assessments to determine barriers to implementation of mainstreaming policies and to inform policy and strategy reviews.

UNDP also supports efforts to build the capacity of local assemblies to manage HIV and AIDS interventions and the NAC’s ability to coordinate the national response. Previously UNDP supported strengthening of the NAC’s technical expertise to formulate action plans for decentralizing management of interventions to all 40 local assemblies. But now it is moving away from NAC institutional capacity development to support policy initiatives. The ultimate objective is for local assemblies to coordinate the work of CSOs that support people who are infected, affected or at risk of being infected with HIV.

### 3.5.2 PARTNERSHIPS

Effective partnership strategies are crucial for achievement of the results expected from the country programme and the UNDAF. To ensure that the country programme remains aligned to the MGDS, harmonized with the programmes of other development partners and sufficiently funded, UNDP has operationalized its programme of support under the government’s leadership. This partnership is intended to yield high dividends by increasing resources for Malawi, coordinating approaches involving all relevant development partners and increasing the focus on capacity development with the objective of transferring skills and promoting national ownership.

The UNDP partnership strategy seeks to strengthen leadership by working with the Government to develop partnership networks. It also aims to support mobilization of human, financial and technical assets and capacities and help the Government to use them more cost effectively and transparently and with full accountability. In pursuit of these aims, UNDP seeks to work with each of the groups listed in Annex 4. Key partnerships are summarized below.

**Government of Malawi:** The key UNDP partner, stakeholder and client for building capacity is the Government, at both national and local levels. A fundamental goal of the UNDP country programme is strengthened capacity in the ministries and agencies that are the main



implementing partners. The Ministry of Finance, as the government's coordinating authority for UN agencies, provides overall policy direction and leadership in monitoring progress. More generally, government institutions contribute to achievement of the results expected from the UNDAF and the UNDP country programme through (a) leadership and coordination of the partnership strategy and programme implementation; (b) an enabling policy and a legal and political environment defined by accountability, transparency and responsive governance; (c) involvement of civil society and the private sector in formulating, implementing, monitoring and evaluating programmes; (d) local funding and resource mobilization; and (e) physical and organizational infrastructure.

**The UN system:** UNDP and the other UN agencies in Malawi are committed to managing their programmes so as to contribute to the five UNDAF outcomes. The Resident Coordinator works to mobilize additional resources for the UN system as a whole. The UN agencies are also committed, within the context of 'Delivering as One' (DaO), to increasingly work together to enhance the UN impact in Malawi and reduce the government's costs to oversee UN operations. Progress towards the UNDAF outcomes is jointly monitored and evaluated by the Government and the UNCT, and the monitoring and evaluation of the UNDP country programme are aligned to this process. UNDAF implementation is supported by the five UNDAF clusters, convened by heads of agencies. The Resident Coordinator serves as the overall leader and is accountable to the Government for delivery of the UNDAF, though he/she delegates responsibility to the cluster conveners. UNDP plays an active role in a number of these clusters.

On gender issues, DaO has enhanced coordination among the UN agencies and has led to the development of a UN gender strategy. In addition, DaO encouraged capacity development in gender budgeting, incorporating gender into cluster activities and ensuring that gender issues are part of UNCT operations. The Joint United

Nations Programme on HIV/AIDS (UNAIDS) also involves inter-agency cooperation, with all resident agencies working together.

The One UN Fund provides additional funds for the UN system, allowing expansion of its work. The Fund is perceived to have boosted opportunities for collaboration among UN agencies. Through the annual joint exercise to select and cost activities and distribute One UN Fund resources, the agencies are encouraged to work together in identifying UNDAF funding gaps. To qualify for One UN Fund resources, an activity must involve collaboration between two or more UN agencies. This allows them to rationalize their participation, reducing duplication and overlap. It also provides some flexibility in deployment of funds since they are not rigidly earmarked by donors.

To the extent possible, UNDP is establishing joint programmes with other UN agencies. UNVs are participating in programme implementation, which contributes to capacity development and promotes volunteerism.

Challenges that have emerged in the One UN Fund include:

- Lack of a structure for managing funds, which frustrates local agencies and other stakeholders and donors. Even when resources are channeled through UNDP, cumbersome headquarters procedures coupled with local capacity constraints have led to lengthy delays in implementation
- Tendency for individual agencies to compete to further their own interests when it comes to disbursement of funds
- An impression among some donors that it is difficult to transfer resources into the Fund because procedures have not been clarified
- Delays in providing financial reports to donors due to administrative bottlenecks and capacity constraints at UNDP.

**Civil society:** UNDP has focused on developing stronger partnerships with civil society groups,

recognizing their pivotal role in building a sustainable democracy, advocating for development and promoting responsive governance. CSOs complement the limited outreach of government agencies in reaching the poorest and most marginalized groups and are valuable partners in community mobilization and local interventions. Civil society is contributing to partnership networks through (a) identifying alternative methods of service delivery; (b) implementing programmes jointly with other partners and identifying mechanisms to improve programme sustainability; (c) mobilizing communities and vulnerable groups and beneficiaries; (d) mobilizing local in-kind contributions and financial resources; and (e) collaborating on advocacy initiatives. UNDP engages with CSOs to advance the MDGs in order to:

- Raise the profile of MDGs at key civil society events nationally
- Commission analytical work from CSOs and support community-based initiatives
- Strengthen the internal capacity of selected CSOs through training and by supporting their representation at international meetings, UN conferences and government events
- Foster broad-based CSO participation to encourage national ownership of the MGDS.

UNDP also engages CSO umbrella organizations to consolidate democracy and promote responsive governance, human rights and access to justice. CSOs, including press clubs, are being engaged to use print and broadcast media to discuss topics pertinent to democratic governance and human rights in order to inform the general public. UNVs are also helping CSOs as mandated by UNDP.

**Donors:** Building on existing partnerships and areas of common interest, UNDP is closely coordinating its support with development partners in Malawi. These include the World Bank, EU, Canada, Germany, Ireland, Japan, Norway, United Kingdom and United States. Programme co-financing is being sought with some partners. Donors are also expected to contribute to

partnership networks by (a) providing advisory services; (b) contributing to in-kind or direct financial resources; (c) collaborating in advocacy initiatives; (d) leading and contributing to policy discussions; (e) implementing complementary programmes in support of the MGDS; and (f) participating in international working groups, the UNDAF Steering Committee and thematic groups.

**Private sector:** UNDP initiated a dialogue with private sector companies with a view to mobilizing resources and other support for the programme. Through the GSB programme UNDP is helping to broker partnerships that enable the private sector to engage with the Government, the donor community and investment partners to achieve pro-poor economic growth and contribute to the MDGs. The private sector perspective is also being sought in policy dialogue.

Corporate social responsibility provides a platform for stakeholders to come together to contribute to supply and value chains so as to improve livelihoods. So far this has included the commercial banks, TAMA and BAT. UNDP is building on such private sector investments to combat child labour and HIV/AIDS and address the needs of orphaned and vulnerable children and women. UNDP also seeks to partner with corporations in supporting universal environmental and social principles and human rights and fighting corruption. UNDP encourages public-private partnerships at all levels to link policy objectives, provide funding and undertake initiatives that support human development.

UNDP's role in contributing to partnership networks includes:

- Assisting the Government to coordinate donors' financial and technical resources
- Identifying key partners and facilitating access to global and local policy, practice and advocacy networks
- Making available to partners the knowledge accumulated from the experience of

UNDP and others through its network of country offices

- Supporting partners' participation and leadership in advocacy initiatives and policy dialogues
- Complementing and supporting the government's resource mobilization efforts
- Supporting the design and formulation of new programmes in accordance with MGDS priorities
- Providing services such as training, procurement and evaluation
- Conducting internal evaluations and reviews of programme components and their management.

UNDP partnerships are facilitated through forums such as the UNDAF Steering Committee, at which strategic issues related to the UNDAF and country programme are discussed and strategies adjusted. The UNCT and the UNDAF thematic and cluster groups collaborate on issues related to the UNDAF, country programme and joint programmes through annual cluster work plans. Issues related to the formulation, implementation, monitoring and evaluation of programme components are discussed in inter-agency working groups. The Global Compact<sup>5</sup> provides an opportunity for discussion of issues involving corporate social responsibility, including how the private sector can contribute to achievement of the MDGs.

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<sup>5</sup> A policy initiative for businesses that are committed to aligning their operations and strategies with 10 universally accepted principles in human rights, labour, environment and anti-corruption.

# UNDP PROGRAMME PERFORMANCE

## 4.1 OVERALL ASSESSMENT OF PERFORMANCE

The overall performance of UNDP in terms of contribution to development results is slightly above average, with a rating of 3.4 across the five programmes and across the four criteria of assessment (see Table 10). However, there are substantial variations in performance, with ratings ranging from 2.6 (overall efficiency) to 4.6 (relevance of programmes).

The high rating for relevance can be attributed to strong national leadership. The Government provided clear direction on development priorities through policy documents such as Vision 2020, the Malawi Growth and Development Strategy and the Development Assistance Strategy. Hence, UNDP programmes are addressing issues that are highly relevant to the development challenges articulated by the Government.

In terms of effectiveness, the UNDP programme has a score of 3.7 (fully satisfactory performance), with 67 percent of programmes registering above-average performance.

However, the efficiency and sustainability rankings fall below average, and these low ratings are consistent across programme areas. The average efficiency score is 2.6 (below average), with only 50 percent of programme areas registering average performance. The rating of 2.8 (below average) on sustainability is worrying. It partly reflects a lack of exit strategies at the design stage for most of the programmes.

UNDP approaches are widely acknowledged as sound, but their catalytic ability is limited by the nature of financing and the rigidity of UNDP systems, processes and procedures. This has been greatly manifested in delayed disbursement of

**Table 10. Summary of Programme Performance Ratings on ADR Criteria**

Programme areas	Relevance	Effectiveness	Efficiency	Sustainability	Average
Good governance, democratization and empowerment	4.5	3	2.5	3	3.2
Public sector reform and service delivery	4	4	2	4	3.5
Energy, environment and natural resource management	5	4	3	2	3.5
Disaster risk management	4	4	3	2	3.2
Pro-poor economic growth	5	3	2	2	3.0
Gender equality and women's empowerment	5	4	3	4	4
<b>Average</b>	<b>4.6</b>	<b>3.7</b>	<b>2.6</b>	<b>2.8</b>	<b>3.4</b>

Rating scale: 5 = highly satisfactory/outstanding, 4 = above average/excellent, 3 = average/moderately satisfactory, 2 = below average/unsatisfactory; 1 = poor/highly unsatisfactory

resources to implementing partners, which has significantly limited the efficiency and effectiveness of UNDP operations.

The analysis reveals that the best performing programme is Gender Equality and Women's Empowerment, ranked 4 (above average). It is followed by Public Sector Reform and Service Delivery, and Energy and Environment, both with slightly above average performance (3.5). Good Governance and Empowerment is tied for third place with Crisis Prevention and Recovery, with a rating of 3.2 (average). The Pro-poor Economic Growth programme area comes last with a score of 3 (average).

The main success factors for Gender and Women's Empowerment are the commitment of the Government and senior officials at the Reserve Bank and Ministry of Finance; low turnover of UNDP staff; and increasing reliance on private sector institutions already delivering services to vulnerable groups. However, delays in the start of project activities and in fund disbursements and uncertainty in funding have weakened the performance of this programme.

The Pro-poor Economic Growth programme, which has the lowest performance rating, is found to be highly relevant in addressing the government's priority areas of development and in its use of approaches that are participatory, capacitating and reflective of gender issues. UNDP performance has also been enhanced by the commitment of implementing partners, even under difficult circumstances, and the private sector's role in service delivery. Performance has been hampered by poor programme design (linked to the inability to enhance synergies across projects); poor indicators for some activities, such as pro-poor investments; substantial delays in funding or inadequate funding (by more than three months in GSB and FLIRD); capacity constraints among implementing partners; weak engagement with institutions that were expected to provide specialized services; lack of demonstrated government ownership of programmes due to the lack of institutionalized funding in the national budget;

and high staff turnover at UNDP and in government departments.

The Good Governance and Empowerment programme, which absorbs 80 percent of resources, is rated average and scores poorly in efficiency. The effectiveness rating comes from the lack of adoption and implementation of policies developed under the programme, which could have created an environment conducive to achieving outcomes. Similar to other programmes, the governance programme experienced delays in receiving funds and in resolving issues that arose during implementation.

The overall average or satisfactory performance of the UNDP programme has been affected by several positive and negative factors. On the positive side, development results have been facilitated by three main factors:

- Strategic leadership by both UNDP and partner institutions, facilitating smooth implementation of projects such as in the governance and gender programmes
- Willingness among development partners, UNDP and government institutions to engage in dialogue, some serious challenges notwithstanding, particularly in the governance programme
- The presence of many stakeholders working in the same areas and the use of existing service providers.

Yet many factors hindered achievement of development results, including:

- Frequent changes in senior leadership both in UNDP and implementing agencies, especially in the Government
- Increasing emphasis on compliance with standard operating procedures in UNDP, resulting in delays in disbursement of funds and procurement of essential items and services
- Excessive reliance on short-term consultants for technical backstopping of project activities,

despite the recognition that capacity development is a continuous and long-term exercise

- The political climate, which created unfavourable conditions for programmes that promote human rights, democratic accountability and active citizenship
- Donor politics, which often created a competitive rather than a cooperative atmosphere for strategic partnerships
- Limited capacity of partner institutions due to constant redeployment of staff, especially in highly specialized areas, such as elections.

## 4.2 GOOD GOVERNANCE, DEMOCRATIZATION AND EMPOWERMENT

**Relevance:** The Good Governance, Democratization and Empowerment programme is ranked high (4.5) in terms of relevance to the country's national development priorities as articulated in the MGDS. In particular, the programme responds to pillar 5 of the MGDS, which espouses good governance as an essential prerequisite for sustainable development. According to the Government (GoM 2006) pillar 5 aims to enhance good public sector management; ensure absence of corruption and fraud; stimulate decentralization; enforce justice and the rule of law; ensure security; stimulate good corporate governance; and enhance dissemination of information and communication technologies (ICT). There is a great level of alignment between the priorities of the MGDS and UNDP interventions.

The evaluation observes that the relevance of UNDP governance interventions would on its face seem questionable, since the MGDS is principally growth oriented. However, the programme is relevant because its interventions, clustered around the three focal areas, contribute to creating a democratic framework that supports sustainable development. Moreover, the programme portfolio addresses both the demand and the supply sides of the good governance equation. Evidence demonstrates that the interventions

have tremendous potential to promote active citizenship, as seen in the Democracy Consolidation Programme (DCP). Active citizenship is vital for sustainable development since it is the bulwark for responsive, accountable and transparent government structures; equity and fairness; justice and freedom; and respect for the rule of law and human rights.

**Effectiveness:** UNDP contributions to achievements in governance have been considerable. Programme performance is rated as average (score of 3). The evaluation finds that the programme has supported – and in some cases set in motion – dynamic processes that will eventually contribute to the intended outcome. There are, however, considerable variations in the degree of effectiveness across projects and programmes. Downstream-oriented projects and programmes have generally been much more effective than those oriented upstream. Yet UNDP has made significant contributions in policy reforms, institutional development, democratic accountability, access to justice and promotion of human rights and public awareness.

The effectiveness of UNDP interventions in achieving outcomes is rather limited. Implementation of policies, systems and processes has been weak, due to the lack of implementation capacity or an enabling environment. The inability to implement policies, systems and processes has greatly limited the achievement of intended outcomes. Yet consistent implementation of policies, systems and processes is a critical prerequisite for transformation of the structures that constrain realization of the intended outcomes. The DCP has contributed tremendously to promoting a culture of active citizenship, especially in 17 of the country's 28 districts, where its activities have been fully rolled out. This is illustrated by two examples drawn from the focus group discussions with beneficiary communities (Box 1).

UNDP support greatly contributed to fairly credible elections in May 2009, in partnership with the Government, development partners and

## Box 1. Successes in Promoting Active Citizenship

### Confronting gender and domestic violence

At Group Village Headman (GVH) Paulos, villagers have been able to confront gender and domestic violence as a result of extensive training in human rights provided by the DCP. The community succeeded in diagnosing the root cause of gender and domestic violence: lack of easy access to potable water. Women were spending most of their time fetching water. This made men suspicious of their wives' fidelity, which led to widespread incidents of gender and domestic violence. Dealing with the water problem has led to a dramatic decline in domestic violence.

### Holding officials accountable

At GVH Benga, the health centre often opened late because health personnel lived far away. This limited the community's access to health services. In one case a woman was forced to deliver her baby on the grounds of the centre because personnel were late in arriving for work. Yet five years earlier a project had been initiated to build houses for the staff near the health centre. The project had completely stalled. The community, newly informed about human rights, successfully brought the issue to the attention of appropriate authorities, who intervened.

civil society. UNDP played a key coordinating role through the Elections Task Force. Despite some challenges, the May 2009 elections were widely evaluated as a major improvement over the 2004 elections. UNDP further contributed to building the capacities of the MEC to hold elections.

The UNDP-supported Decentralized Governance Programme has been instrumental in developing and refining the framework for decentralization policy reforms in the country. From 1993 until the turn of the century, UNDP was the only agency working in decentralization. The evaluation found that other development partners were encouraged to support government decentralization efforts because of the apparent success of the UNDP interventions.

The programme developed systems, institutions and policies in 13 of the country's 28 districts, and the Government has since scaled up to all the remaining districts. UNDP provided financial and technical support for development of the decentralization policy and the new Local Government Act. Stakeholders consider the UNDP contribution extremely significant since it initiated the effort; other development partners have contributed to perfecting the systems, institutions and policies. The District Development Fund was particularly singled out by most stakeholders as a funding mechanism for local level development interventions. Previously there was no dedicated

funding mechanism for grass-roots interventions. The District Development Fund was a precursor to the Local Development Fund, the principal funding mechanism for local level development interventions within the framework of decentralization policy reforms.

In human rights, UNDP support has helped to expand the civil society network on human rights under the umbrella of the Human Rights Consultative Committee (HRCC). Its membership expanded from 41 to 91 while UNDP was working with it on a project to support public awareness. UNDP also contributed to increasing the capacity of the Malawi Human Rights Commission in its mandate to promote, protect and enhance the enjoyment of human rights, especially among vulnerable and marginalized people.

The MHRC's major constraint is lack of funding, which prevents it from executing its constitutional obligations in some parts of the country. UNDP is currently the major partner supporting its activities. At the time of this assessment, UNDP had helped the MHRC to reach 55 communities defined as trading centres. The MHRC has engaged traditional authorities/group village headmen in its human rights sensitization programmes; reached 20 community-based organizations; trained 250 primary school teachers; investigated over 60 human rights abuse cases, 32 of which have been taken to court; and monitored the status of prisons

on six occasions. The public is now allowed to visit and inspect prisons.

UNDP support has also enabled the MHRC to join in high-profile cases with potentially significant impacts on the shape and form of human rights legislation. Two cases were consistently highlighted in this regard: the Mchesi murder case, in which the MHRC is working to establish the relationship between excessive police force and human rights, and the human rights and property case by Women and Law in Southern Africa/Malawi. Its determination will substantially influence the stature of the law in terms of human rights, divorce and property. The MHRC is arguing for the legislative framework to fully recognize equality between men and women.

In terms of access to justice, UNDP support has set the pace for institutionalizing the government's sector working groups. The public sector is being reorganized into 16 working groups to increase coordination and eliminate duplication of activities. The justice sub-sector, which UNDP is supporting, is seen as a model for the other working groups to emulate. It has evolved into the democratic governance working group. Substantial progress has been made in developing systems, institutions and policies that will eventually culminate in strengthening formal and informal justice systems. UNDP is taking the lead in providing technical support to the justice sub-sector working group while other partners, notably the EU, are providing financial support.

**Efficiency:** The Good Governance, Democratization and Empowerment programme did not score well on efficiency, with a 2.5 rating. The low rating was attributed mainly to two factors: (1) delays in resource disbursement from UNDP, which affected both planning and the pace of implementation (because delays meant that significant resources had to be absorbed too quickly); and (2) delays in resolving issues that arose in the course of project implementation, though most stakeholders acknowledged tremendous improvements in recent years. The delays were attributed to issues with UNDP

systems, processes and procedures. The negative effects were worsened by the frequent turnover in the partners' focal point at UNDP. Implementation of the project to support public awareness was almost derailed due to the turnover of four focal points in two years. The resulting gaps in implementation affected the efficiency of project implementation.

There was great potential for synergies among UNDP-supported projects. In addition to joint project reviews between UNDP and its implementing partners in the governance sector, UNDP also held joint training and capacity-building exercises for them. Implementing partners found this approach tremendously useful for sharing lessons and exchanging experiences, but observed that it resulted in limited impact on enhancing efficiency in project implementation. There were variations across projects in terms of the extent to which lessons and experiences from joint initiatives were integrated into subsequent efforts. Most stakeholders felt that the scope for doing so was generally limited due to the inflexibility of UNDP systems, processes and procedures. There was consensus that the beginning of new project cycles presented the best opportunity to integrate lessons learned.

**Sustainability:** Most stakeholders felt that UNDP-supported projects had reasonable prospects for sustainability. For instance, the governance programme had an average rating in sustainability, with a score of 3. However, most stakeholders felt that it was difficult to comment meaningfully on sustainability because most of the projects were still being implemented – of the six projects chosen for in-depth analysis, only two had been completed. Most stakeholders were concerned that sustainability was not often given attention at the design stage, and only one project had a demonstrable exit strategy. The concern for sustainability was widely described as an afterthought that assumed centre stage only during project completion formalities.

Prospects for sustainability were enhanced through the emphasis on capacity building and



the use of national institutions and systems for implementation. However, capacity building enhanced prospects for sustainability not by design but by sheer coincidence, since it was seen more as a strategy for delivering on project outputs. The degree to which the considerable lessons and experiences were integrated into subsequent implementation efforts, particularly in the interest of sustainability, was rather limited, again largely due to UNDP procedures.

The evaluation found that working with and through national institutions and systems enhanced prospects for sustainability by cultivating national ownership. Consequently, most such project activities had a good likelihood of being sustained beyond the expiry of the projects because they had more or less been internalized as an integral part of the government's day-to-day activities. According to most stakeholders, the recent UNDP innovation of hosting technical assistance at the implementing partners' institutions had further enhanced the prospects for sustainability. This initiative was not only facilitating skills transfer but also supporting continued mentoring and coaching as technical assistance was phased out.

In a few cases UNDP progressively disengaged from providing technical and financial support to pilot projects, particularly in the decentralized governance programme. UNDP support was scaled up from 6 districts to 13 across the country, and the Government replicated the systems, institutions and policies developed in all districts. In the initial phases of the programme, UNDP support was channelled through the decentralization secretariat, which at its peak had about 70 employees. The secretariat was successfully phased out, replaced by a decentralization unit in the Ministry of Local Government and Rural Development. It has only three UNDP-supported staff members; the remaining employees in the unit were on the government payroll.

UNDP had its greatest impact on sustainability through its catalytic role in developing new programmes within UNDP and among

implementing partners. Stakeholders cited several examples. For instance, through the experiences of a project to support elections, UNDP conceived of a project to support political parties as a means to ensure successful elections. The project supporting elections had demonstrated that, without strong parties, electoral processes were more likely to encounter challenges that could threaten the legitimacy and integrity of the outcomes.

The in-depth review of selected projects suggested that those with demonstrated benefits stood a better chance of being sustained. A very good example was the Democracy Consolidation Project. In two focus group discussions, communities emphasized that they would continue with the activities beyond expiry of the projects because of the substantial benefit that resulted from their involvement. They had acquired the skills to engage with duty-bearers at various levels, improving delivery of a wide range of basic services while promoting a culture of active citizenship. This involvement also boosted their self-esteem and confidence. Overall, however, the prospects for sustainability were constrained by a culture of dependency among implementing partners and lack of a clear strategy on the part of UNDP.

### **4.3 PUBLIC SECTOR REFORM AND SERVICE DELIVERY**

**Relevance:** Earlier initiatives to build public service capacity in Malawi, and indeed elsewhere, tended to be sector specific. They targeted issues such as governance, financial management or human resources management, as well as some cross-cutting issues relating to gender and environmental management. In 2009, a number of capacity assessments were undertaken in the public sector, through the PSCDP, which highlighted a range of issues affecting capacity development. These issues brought to the fore the need for a more holistic and comprehensive approach to capacity development within the context of overall public sector reform.

In this respect, UNDP's three-pronged approach to capacity development – focusing on improving the policy environment, developing/strengthening institutions and developing human resources – was seen as appropriate for Malawi, along with the broad-based development approach through strengthening decentralization. These were seen as useful for responding to the country's capacity development problems and weak policy environment and institutions at both central and decentralized levels.

The PSCDP is credited with a number of key achievements, including (1) recognition by stakeholders, including government, of one public sector capacity building programme (earlier there had been several), which has improved focus and synergies; (2) government acceptance of the need to put resources into a few core areas, thereby avoiding spreading its resources too thinly; and (3) pushing donors, including UNDP, to move in tandem and with one voice with the Government on capacity development issues. Yet a number of weaknesses remain, including in programme management, especially with respect to reporting, work plans and monitoring and evaluation, as well as poor sequencing of programme activities.

The relevance of UNDP performance in supporting Malawi with public sector reforms and service delivery is ranked as excellent, with an overall rating of 4. The UNDP intervention is responding to one of the key constraints to achievement of development results in Malawi: inadequate capacity to implement the MGDS. In addition, the programme addresses strengthening the capacity of government officials to coordinate and manage development assistance while embracing the key principles of the Paris Declaration on Aid Effectiveness. This is very important given that Malawi relies heavily on official development assistance for implementation of its development agenda.

At the same time, public sector reform was seen to be consistent with the outcomes of the UNDAF and the UNDP country programme. While most of the critical capacity development activities

were adequately covered in the thematic area, it was felt that there was need to consolidate all of them into a single programme to avoid overlap, duplication and dilution.

**Effectiveness:** UNDP has assisted in enhancing capacity in a number of strategic areas in public sector reform. The JPSME has succeeded in:

- Enhancing capacity to collect, analyse and disseminate data for MGDS annual reviews and MDG-based planning
- Developing and installing databases in all 28 districts to facilitate data storage and achieving consistent progress reporting
- Participating in systematic assessment of public programmes by 13 CSOs and more than 25 communities
- Training 60 people at local assembly level on the community scorecard methodology and training 13 CSOs to use it in implementing community-based monitoring
- Updating the Malawi socio-economic database and uploading it to the Internet to facilitate access by stakeholders and users
- Conducting a public expenditure tracking survey for the Ministry of Agriculture and Food Security
- Establishing planning and M&E structures in all districts.

A broader benefit of UNDP support is its creation of an appetite for information at all levels, promoting a culture of evidence-based decision-making.

Although M&E training has been provided to most district-level M&E staff, it has not proved effective. This is because staff have been assigned non-M&E tasks or lack necessary equipment, particularly computers and software.

The Malawi country office is recognized at the UNDP corporate level for its successes in capacity development, particularly in financial

management. The finance specialist has assisted other country office finance units, including in Angola and Namibia. The capacity development cluster has done well in supporting PSCDP, aid effectiveness efforts and the JPSME. In addition, the Regional Bureau for Africa (RBA) asked the capacity development cluster leader to share the Malawi experience within UNDP. Thus, the effectiveness of UNDP support is rated above average (score of 4).

**Efficiency:** Most of the stakeholders found UNDP support wanting in terms of efficiency, largely because of delays in delivering inputs, and the rating was 2, reflecting below average performance. While most of these shortcomings cannot be attributed to UNDP alone (some are due to poor performance by implementing partners), most stakeholders felt that UNDP was not making best use of its advocacy and leverage (as a preferred partner) to get best performance from implementing partners.

For example, improvements in data collection are hampered by a lack of resources, as few resources for this function are included in the national budget. As a result, there is too much dependence on donor funding to carry out a fundamental government function. Capacity to implement project activities is inadequate across the board, due to poor structuring of incentives and lack of leadership to influence consistent programme implementation. This shows up in policy reversals and weak follow-through on policy directives. These are areas in which UNDP could intensify its advocacy with the Government to improve results.

**Sustainability:** UNDP support to the Public Sector Reform and Service Delivery programme is rated above average in sustainability, with a score of 4. One reason is strong government ownership, especially with the MGDS as the binding force and the alignment of the country programme with national development priorities. Over the past few years there has been a movement away from project

implementation units (PIUs)<sup>6</sup> across the board. Within ministries, government employees are running the programmes, while UNDP provides the resources, oversees resource use and monitors utilization and compliance with requirements. The Government is raising pay for personnel and improving other conditions (empowerment, leadership, vision, performance contracts, less bureaucracy). In addition, the various programmes (PSCDP, JPSME, DACU, etc.) are being implemented with government co-financing. At the same time, capacity development programmes are being implemented within the framework of the government's public sector reforms.

Within the JPSME, the Government has established a robust master plan for M&E that makes it easier to galvanize commitment from donors. Capacity building at all levels (central, line ministry and district) ensures continuity of project activities after support from UNDP and other donors concludes.

#### 4.4 ENERGY, ENVIRONMENT AND NATURAL RESOURCES MANAGEMENT

**Relevance:** The performance of the Energy, Environment and Natural Resources Management programme in terms of relevance to development priorities is rated as outstanding, earning a score of 5, and the programme is well aligned to the development plans articulated in the MGDS. Stakeholders and researchers consulted note that the programme is consistent with both the UNDAF and the MGDS. Given the country's principally agrarian economy, UNDP support to natural resource management is critical, especially as the threat posed by climate change on the economy increases (UNDP, 2010).

The relevance of the programme results from its institutionalized nature, which ensures the sustainability of natural resource management at national and sectoral levels through the

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6 Units set up outside the government management structure to manage a specific donor-funded project, fully supported by the donor.

## Box 2. Barrier Removal to Renewable Energy in Malawi

The BARREM project was funded by UNDP in response to barriers that were identified as hampering the renewable energy sector in Malawi. It had funding of \$10,721,800 from UNDP and the GEF. The project aimed at improving rural livelihoods by increasing access to affordable and renewable energy sources. Launched in 2002, the project was spearheaded by the Department of Energy Affairs. The other stakeholders are the Malawi Energy Regulatory Authority, Mzuzu University and Southern Bottlers Limited.

BARREM has succeeded in removing significant barriers to photovoltaic energy, including import duties on renewable energy systems. Financial mechanisms were developed and the systems were promoted. The number of photovoltaic systems installed and operating increased by 400 percent from the baseline year to project completion. A training programme in renewable energy was developed at Mzuzu University, along with a testing and training centre for renewable energy technology. Renewable energy policies, legal frameworks and strategies have been formulated and reviewed, and several renewable energy companies have been started.

BARREM is a major highlight in the energy sector, succeeding in raising awareness on the use of renewable energy, especially solar. The project also led to development of technical capacity on renewable energy technologies.

implementing institutions. Most stakeholders consulted appreciated programme implementation using government machinery, which signifies UNDP adherence to aid effectiveness agreements and the DAS. However, some stakeholders felt that UNDP has concentrated too much on upstream activities. One stakeholder noted: “We appreciate the software support that the UNDP has been providing, but we also need the hardware to really change the lives of the poor people in the rural areas. Too many studies have been done, but we now need something that directly transforms the life of the poor person.”

**Effectiveness:** The programme aims to enhance conservation of natural resources, and it was rated excellent (score of 4) in effectiveness. It was concluded that the natural resource management programmes generally achieved over 75 percent of the stated outputs, some of which have contributed to development results (UNDP, 2010).

For example, under the BARREM project, stakeholders cited increased rates of school enrolment and completion due to provision of electricity in schools, as well as higher household incomes from tobacco processing and refrigeration. Under the Poverty and Environment Initiative, participants noted that making briquettes from paper had made energy more accessible. Challenges

result from bureaucratic delays in programme implementation. Stakeholders reported that delays forced some projects, such as BARREM, to be phased out without accomplishing some of their intended tasks. Another group of stakeholders felt that the programme had been very effective. One example cited was the government’s adoption of renewable energy technologies, including implementation of some ‘solar villages’, including Chigunda Solar Village in Nkhotakota (see Box 2).

**Efficiency:** The analysis identified a number of areas of inefficiencies, including late disbursements of funds, which affected timely completion of the projects. UNDP has made strides in resolving some management inefficiencies by strengthening capacity in the country office. Stakeholders also acknowledged that UNDP is increasingly responsive to calls for disbursement at gradual rates. Overall disbursement rates have been very low, at 30 percent for 2008 and 34 percent for 2009. This compromised the level of outputs compared to what could have been achieved if resources had been disbursed in a timely fashion. While these delays are attributed to the strict UNDP procurement systems, it emerged that some implementing partners did not have the capacity to compile and submit

timely reports (both technical and financial) as required in the procurement process.

**Sustainability:** Stakeholders had varied reactions regarding the sustainability of energy and environment projects. Overall, the results were above average, with a score of 4. Most stakeholders consulted reported that UNDP has helped to develop long-term structures and regulatory frameworks as well as institutions to regulate environmental management policies and activities. In addition, UNDP support to develop the capacities of various stakeholders, including in rural communities, has helped them to acquire knowledge and technical skills to manage the relevant technologies. For example, through a course developed at Mzuzu University under the BARREM project, students can pursue a degree in renewable energy. The programme also trained local entrepreneurs to make briquettes from paper.

Another reason for the above-average rating is the participation of stakeholders in designing and implementing activities. However, it was evident from field visits that some of the projects would not be sustained despite the skills of communities. For example, demand for solar dryers for curing tobacco has been lower than expected, partly due to high investment costs.

In terms of scaling up projects, stakeholders noted that some project activities were too small to make a significant impact, including activities under the Poverty and Environment Initiative. There is, therefore, a need to design an up-scaling mechanism for the initiatives.

#### 4.5 DISASTER RISK MANAGEMENT

**Relevance:** UNDP has positioned itself to help the Government in reducing the impact of disasters on vulnerable households. Disaster risk management is among the four cross-cutting issues addressed in the UNDAF and is a component of the 2008-2011 CPD/CPAP. The CPAP outcome for the disaster risk management is to ensure that disaster risk reduction and emergency management systems and practices

are strengthened for efficient response at national and subnational levels.

To this end, UNDP has implemented projects geared to building capacity at national and district levels and developing the Disaster Risk Management Policy. Since 2001 UNDP has supported the Government through the Department of Disaster Management Affairs (DoDMA) to strengthen national capacity to respond to floods and other emergencies.

UNDP is working with the World Food Programme (WFP) and other UN partners to ensure that structures and systems comply with the minimum standards stipulated in the UN's Humanitarian Charter, which Malawi has signed. A focus is strengthening of the DoDMA. UNDP is collaborating with it and other line ministries and civil society partners to ensure effective development of emergency management, preparedness, mitigation and response systems, including those aimed at strengthening flood contingency plans.

A project was initiated to mainstream disaster risk reduction and strengthen flood mitigation and preparedness at national, district and local levels through support to DoDMA, district assemblies and NGOs. Its key outcomes are (a) strengthen DoDMA coordination and monitoring capacity at national and district levels, focusing on districts that are most vulnerable to floods; (b) mainstream disaster risk management by improving understanding of preparedness and mitigation programming; and (c) develop targeted mitigation and preparedness programmes for the flood-prone districts of Nsanje and Chikhwawa. Such activities are being implemented through partners such as the Evangelical Association of Malawi and Action Against Hunger in Chikhwawa district, and Action Aid and the Irish NGO GOAL Malawi in Nsanje district.

The performance of the disaster risk management programme is rated above average, with a score of 4. Stakeholders rated the UNDP contribution as highly relevant in that the interventions are properly aligned to sub-theme 2 of the

MGDS, which covers disaster risk reduction. In terms of the relevance of the approaches used, UNDP programmes work with national institutions and systems. However, UNDP's inability to work directly with NGOs and CSOs presents a challenge for timely implementation of disaster recovery initiatives, given the critical role those groups play.

**Effectiveness:** The intended outcome of the UNDP intervention is strengthened disaster risk management and emergency management systems and practices for efficient response at national and subnational levels. The programme's effectiveness was rated as highly satisfactory (score of 4) in achieving the outcomes. Through UNDP support the National Disaster Risk Reduction Framework is now in place. Several important documents have been produced, including Operational Guidelines for Disaster Risk Management, Financial and Economic Decision Making in Disaster Risk Reduction and the Draft Disaster Risk Management Policy. These documents provide stakeholders with appropriate guidance for managing disaster risk.

To complement these policy frameworks, the programme has also embarked on capacity development of district assemblies and communities in dealing with disasters. For example, communities in Chikhwawa were trained to 'read' impending floods using flood monitors installed in the main rivers. Communities are now advised to move to upland areas before floods, reducing loss of life and property damage.

To enhance the impact of its efforts, UNDP has concentrated the disaster recovery programme in the two districts most prone to floods. Specific interventions, even though lasting just one year, were reported to have improved rural livelihoods. Project beneficiaries reported that the results included enhanced food production (and food security) from climate adaptation interventions, especially irrigation implemented by the Evangelical Association of Malawi. Detailed evaluation of the DRM estimated that 0.4 hectares produced on average 18 bags of maize, preventing suffering

during the 'hungry months' of January and February. A farmer would normally get no more than 4 bags in a good year and less than 1 bag in a bad year, according to people in the community (Phiri, 2010). Other activities, including dyke construction, river dredging and river bank fortification, have reduced flooding losses to schools, crops and livestock. Stakeholders were also optimistic about the programme's effectiveness, especially on policy formulation and capacity building in districts.

**Efficiency:** Stakeholders reported some inefficiencies in management of the disaster risk management programme, largely due to late disbursement of funds to implementing partners. These delays hampered timely implementation of the programme, making it difficult for implementing partners to adhere to UNDP financial management and reporting requirements (UNDP, 2010). Speeding up disbursement hinges on improving the ability of implementing partners to implement/spend and report, as UNDP could not advance funds until use of previously disbursed funds is reported. However, implementing partners attribute poor disbursement to UNDP inflexibility in resource use and procurement procedures.

Another issue was the length of the intervention. Some stakeholders said that most disaster management activities could have reduced disasters from floods and eliminated the need for relief operations if they had been designed as long-term, integrated interventions rather than one-year activities. They felt that most projects run for one year, too short a time to demonstrate results of the interventions.

In terms of efficiency, stakeholders expressed concern about inefficiencies resulting from working through the Government. They felt these could be prevented by working with civil society organizations already in disaster-prone areas. While this view is proactive, it does not conform to the the government's DAS, which seeks to enhance donor coherence. The suggestion could be adapted in such a way as to strengthen

the links between government and civil society in these areas.

**Sustainability:** Sustainability in terms of maintaining the activities after the conclusion of UNDP support was reported as below average (rating of 2). UNDP provided some support for short-term disaster recovery at the expense of sustainable long-term development interventions. In terms of capacity building and support to policy, UNDP has made positive strides that will ensure both sustainability and local ownership of disaster risk management interventions.

Implementation of activities within the district relied on partners such as the Evangelical Association of Malawi. This arrangement is considered unsustainable as the activities will not continue after the project phases out. For example, Action against Hunger pulled out of Chikhwawa district because it was winding up its programme in the district (Phiri, 2010). The ideal would be to integrate DRM activities into district development plans to ensure continuity. This would be especially helpful considering that some of the activities could help in long-term mitigation of climate change.

## 4.6 POVERTY, GROWTH AND MDGs

### 4.6.1 PRO-POOR ECONOMIC GROWTH

**Relevance:** Project activities under the pro-poor growth programme contribute to the UNDAF outcome focusing on equitable, sustainable economic growth, nutrition and food security. Both the UNDP and UNDAF outcomes are highly aligned with the MGDS priority area of sustainable economic growth, particularly the sub-themes on private sector-led growth and development of medium-size and small-scale enterprises. Stakeholders interviewed gave high ratings to the relevance of projects and approaches in interventions aimed at encouraging pro-poor growth. The project activities were judged as relevant to government priorities and UN efforts to help the Government achieve development goals. Overall,

the relevance of the pro-poor growth programme is rated as outstanding, with a score of 5.

The approaches used to implement projects in this area are seen as highly relevant. Most of the activities embodied participation, capacity development of stakeholders involved in implementation, gender mainstreaming and fostering of private sector partnerships. The participatory approach has been most evident in the literacy and livelihood programme, in which literacy manuals reflect the livelihoods identified as desirable by the participants. However, some areas for improvement were noted, including the lack of synergies across project activities. Yet it was noted that a project to grow sustainable businesses targeted the same areas where the FLIRD project is being implemented. National ownership has been enhanced by implementation under the NEX modality, although some programmes, including FLIRD, still have PIUs and some, such as the MVP, use direct execution.

**Effectiveness:** The intended outcome of the Pro-Poor Economic Growth and MDGS programme is to enhance pro-poor growth. UNDP interventions are expected to achieve two main outputs: (1) Business-led solutions for sustainable resource management and poverty reduction are developed; and (2) one MDG-based integrated rural development programme is developed and implemented in at least two districts.

The integrated rural development outputs have been implemented: FLIRD in 12 districts and MVP in 3 districts. There has been progress in implementing business-led solutions, although the outputs in this area are difficult to determine.

The project under business-led solutions has two components: building capacity for investment promotion and pro-poor investment brokerage. One activity under the GSB programme is promotion of investments for sustainable resource management. However, not even the implementing agency knows to what extent foreign direct investment can be attributed to UNDP interventions. Mataya et al. (2010) makes

a similar observation that the outputs of investment promotion are very broad and in most cases are in fact investment pledges rather than actual investments. Nor is it known whether the foreign investments that have been attracted have contributed to sustainable resource management. These issues make it difficult to determine the contribution of UNDP interventions.

UNDP interventions to pro-poor growth have contributed to development results in several ways. First, most interventions have been implemented in communities, creating livelihood opportunities for vulnerable people. This is the case for FLIRD, GSB and MVP.

Second, the interventions have built communities' ability to identify problems and suggest solutions in a participatory manner with or without external support. This capacity building through participatory approaches is evident in FLIRD, in which livelihood activities and learning modules are based on local solutions.

Third, some of the interventions in pro-poor growth have fed into the development of national policies. For instance, the National Adult Literacy Policy, which has been submitted to the Cabinet for approval, proposes the use of the REFLECT approach used in SSEE/FLIRD. This participatory approach to adult learning and social change incorporates livelihood promotion in its learning outcomes.

Fourth, the challenges of acquiring funds to support investments, experienced particularly in the GSB in efforts to promote medium-scale enterprises, has motivated the private sector to augment UNDP funding in the next programming cycle. The mobilization of funds from the private sector to support investment programmes is an unintended outcome of UNDP interventions in this area. The programmes are generally reaching out to poor households in rural areas, some of which have never before operated a business enterprise.

However, UNDP interventions have been less effective in contributing to pro-poor growth

outcome in some areas. First, the extent to which UNDP funding has helped to attract investments in natural resource management is not known, although it was generally appreciated that it has helped the MIPA to develop promotional materials.

Second, although FLIRD has made substantial progress in promoting livelihood activities, most of the livelihood groups have not received seed capital that could have enabled them to expand and operate sustainable livelihood activities.

Third, while policies have been developed with UNDP interventions, UNDP has not used its strategic position to lobby the Government to implement these policies. This has limited the scaling up of innovative ways to address development issues. For example, the REFLECT approach in FLIRD, which is implemented in 12 districts and 12 traditional authorities, could have replaced the traditional adult literacy approach that is implemented nationwide.

The outcomes of UNDP interventions in the pro-poor growth area are not broad based relative to the extent of the problems being addressed. For example, over eight years the SSEE/FLIRD project has reached 67,000 individuals (86 percent women). It has not expanded beyond one traditional authority in the 12 districts. The GSB has so far operationalized 5 of the 10 pro-poor investment brokering activities, and these reached out to less than 500 beneficiaries.

**Efficiency:** Efficiency in achieving development results was poorly rated by stakeholders and monitoring reports. Overall, efficiency recorded a score of 2, below average performance. The most common explanation for this disappointing result is the delay in funding projects, particularly at the beginning of the year, and these delays tended to continue throughout the implementation. Among the projects selected for in-depth interviews, stakeholders commonly complained about delays of more than three months in receiving funds, and most projects typically received funds meant for the first quarter at the beginning or middle of



the second quarter. While implementing agencies strived to absorb the resources regardless of the delays, irregular replenishment of funds hampered implementation of project activities. Some of these delays discouraged project personnel paid from UNDP project activities. For example, FLIRD project staff working in communities faced long delays in receiving payment.

Stakeholders also complained about inadequate funding and unexplained budget cuts, creating uncertainties in project implementation. Despite funding delays, there is evidence that the projects had high absorption rates, and implementing partners generally doubled their efforts to implement the backlog of activities.

Other issues affecting the efficiency of UNDP interventions were high staff turnover at UNDP and staff transfers in government departments. Some government units had limited capacity to deliver services to the communities. For example, some of the activities requiring the services of the Ministry of Industry and Trade (MIT) were hampered by its capacity issues. MIT is barely visible at district level; only 8 of 28 districts have district trade officers. In FLIRD, MIT was expected to use its district officers to train livelihood groups in cooperative activities as a precondition for their registration. However, due to staff shortages none of the livelihood groups has transformed into a cooperative.

Sometimes inadequate facilities led to inefficient implementation and monitoring. The FLIRD project, for instance, provided one vehicle per two districts to facilitate implementation and monitoring. The vehicle tended to overstay in one district, hampering work in the other district.

**Sustainability:** The long-term effects of UNDP interventions are strongly undermined by the lack of sustainability of most of the activities due to design and programming problems and issues of national ownership. The sustainability rating for UNDP interventions in pro-poor growth is 2, below average performance. There is no evidence that exit strategies were incorporated into the

design of any project activities that were reviewed in detail.

Several other issues are likely to affect the sustainability of outcomes once UNDP assistance is phased out. First, where interventions involve downstream activities, national ownership is limited by the lack of funding in national budgets. This implies that the continuation of activities relies solely on UNDP funding.

Second, in some projects, staff members involved in implementation are directly funded by UNDP, with no guarantee that the Government will absorb these personnel.

Third, sustainability of some activities is threatened by changes in government policy. For example, the Government decided to move adult literacy from the Ministry of Women and Child Development to the Ministry of Education, Science and Technology beginning in 2010. This implies that the little funding provided to the women's ministry in the national budget is no longer available to support FLIRD activities (the programme is expected to conclude in 2011). There is uncertainty about whether the education ministry will embrace the REFLECT approach when it starts implementing adult literacy programmes.

Fourth, there is little partnership with private sector providers. For example, most of the livelihood and business groups created under the FLIRD and GSB programmes have not been linked to financial service providers. The activities of most of these groups are likely to collapse in the absence of financial support. Nonetheless, efforts have been made in the GSB project to link the business groups with the private sector, though the success of such partnerships has been mixed.

Fifth, there is the potential for a dependency mind-set because UNDP has provided seed capital directly to beneficiary groups rather than through third-party institutions. Under FLIRD, most of the livelihood groups are still waiting for project funds to expand their businesses to a level that has the potential for sustainability.

#### 4.6.2 GENDER EQUITY AND WOMEN'S EMPOWERMENT

**Relevance:** The activities in the Gender Equity and Women's Empowerment programme were highly relevant to the country's development problems, achieving an outstanding score of 5. Gender and women's empowerment is also a priority in the MGDS under themes 1 and 3. Theme 1 stipulates that one means of achieving sustainable economic growth is through the economic empowerment of Malawians. Under the sub-theme of economic empowerment, one expected outcome is an increase in the participation of women, young people and people with disabilities in productive activities. Theme 3 of the MGDS, social development, and the sub-theme on gender both emphasize ensuring equitable access to productive resources, particularly by women. Under social development the expected outcome is reduction in gender inequalities in access to services.

Gender issues are generally cross-cutting in most UNDP interventions. Under CCF II, gender issues were mainstreamed into poverty reduction and empowerment interventions. However, the CPD elevated gender and women's empowerment to a thematic area that included specific projects, in addition to a continued emphasis on gender mainstreaming in interventions generally.

The formulation of a specific gender outcome is in line with MDG 3 (gender equality and empowerment). Programmes that have taken gender as a cross-cutting issue, such as FLIRD and GSB, have contributed to promotion of gender equality and women's economic empowerment. UNDP has also supported gender equality in the governance sector through the Support to Elections Project. It supported the 50/50 campaign, whose goal was to achieve equal representation of men and women in the legislature.

A flagship UNDP project that has contributed to gender equality and women's empowerment is FIMA. It aims to help in poverty reduction by increasing access to financial services for poor and vulnerable people in Malawi. The project gives

priority to increasing women's access to financial services in rural areas. It has three components: promoting policy dialogue on development of an inclusive financial sector; promoting innovations in financial markets that serve low-income groups; and increasing outreach and sustainability of financial service providers.

The FIMA project is highly relevant to the MGDS priorities of sustainable economic growth and social development. One of its strategies is strengthening the policy environment for microfinance, including better coordination of donor programmes to decrease market distortions, support innovative credit schemes and create a network of practitioners. It also includes improving mechanisms to decrease the default rate (GoM, 2006). Promoting savings and credit enables small businesses to expand and grow and reduces the vulnerability of poor households through consumption smoothing (optimizing the balance between spending and saving).

The UNDP approach to gender and women's empowerment involves creating an environment conducive to sustainable provision of financial services. It focuses on developing policies and strategies and building capacities in key policy institutions and among private providers of financial services by enhancing systems and improving the image of microfinance services. There is also demonstrated national ownership of activities through financial resources in the national budget and creation of microfinance departments in the Ministry of Finance and the Reserve Bank of Malawi. In addition the approach has involved developing partnerships with private providers of financial services. Small interventions at central and service-provider level provide incentives for private providers to extend outreach using their own resources.

**Effectiveness:** The stated outcome of the UNDP intervention is to enhance gender equality and women's empowerment by 2011, with two main outputs: (1) Project partners are enabled to practice gender analysis, gender mainstreaming and gender budgeting; and (2) policies, institutional capacity

and systems are in place to increase women's access to financial services and markets.

Remarkable progress has been made in gender analysis and mainstreaming in government departments. Although mainstreaming in planning is evident, the problem remains that budgets do not have funds to support gender programming, a common issue among UN agencies (UNDP, 2010).

FIMA aims to promote gender equality and women's empowerment through innovation, outreach and sustainability of financial services. The project has three outputs: (1) policy, institutional capacity and systems that increase women's access to financial services and markets; (2) capacity building and infrastructure support to the Reserve Bank of Malawi, Malawi Microfinance Network and Government of Malawi; and (3) provision of grants and loans to microfinance institutions and other financial service providers to increase outreach and build capacity. Several donors support FIMA activities, including UNDP, UNCDF, CORDAID and AGFUND, in addition to resources provided in the budget in 2010.

Interviews with stakeholders revealed that UNDP interventions are generating both intended and unintended outcomes. In terms of policy, FIMA activities have led to development of the National Strategy for Financial Inclusion (2010-2014), which has been launched by the Ministry of Finance. This follows parliamentary passage of the Microfinance Bill in 2010. Through training of senior officials in the Ministry of Finance and Reserve Bank, FIMA has helped institutionalize microfinance services in the regulatory system. Capacity building activities have contributed to changing the mindset of senior policymakers and monetary authorities towards microfinance.

Although most of the activities are recent, there is high likelihood that UNDP interventions will contribute to development results. There is also evidence that financial support through grants and loan capital provided under the FIMA Fund

is creating new economic activities for women who have never operated a business, helping them to save money. The creation of value-addition activities for women previously excluded from financial services will promote growth and help reduce poverty. FIMA has provided grants (\$1.4 million) and lending capital (\$600,000) to more than 10 institutions. After one year of FIMA implementation, the number of active women borrowers increased by 7 percent, and voluntary women depositors increased by 16 percent.

A number of unintended outcomes have also been observed. First, there is evidence that most of the microfinance providers are adopting good practices. These include preparation of business plans; development of branch models and product pricing models; adoption of best practice definitions of portfolios at risk; and recognition of the importance of efficient monitoring systems.

Second, the strict criteria for access to funding and performance-based contracts have facilitated the development of benchmarks for assessing performance. For example, some of the microfinance institutions did not have records on the extent of their outreach to women clients. With the UNDP interventions, most of the microfinance providers and the Malawi Microfinance Network have adopted gender outreach as a performance indicator.

Third, some microfinance institutions have expanded their outreach to women microentrepreneurs and started developing special products for women clients. For example, Bvumbwe Savings and Credit Cooperative (SACCO) in Thyolo designed a savings and credit product known as *pamtondo* for women's groups.

Fourth, funds provided to build capacity among microfinance service providers are changing the image of microfinance services as 'poor banking places'. Refurbishment of the Bvumbwe SACCO offices has increased the number of customers, and it is competing favourably with commercial banks in the area. This increase in the customer base has enabled Bvumbwe SACCO to open a

second branch, in Mwanza district (in addition to the branch in Mulanje district).

Fifth, due to FIMA promotion of microfinance activities, some commercial banks have demonstrated interest in providing inclusive services. One good example is development of a microfinance policy by NBS Bank, a high-street bank.

UNDP promotion of access to financial services is catalytic in encouraging microfinance providers to reach out to vulnerable groups and rural areas. The soundness of microfinance providers, inclusiveness of financial services offered by commercial banks, and confidence in the sector due to oversight by the monetary authorities will have far-reaching implications for promotion of gender equality in access to financial services.

Discussions with stakeholders and the evidence of progress within a short period of implementation led to an effectiveness score of 4, above-average performance, for UNDP interventions in promoting gender equality and women's empowerment. By improving the microfinance architecture and partnerships with private-sector providers that use their own resources, UNDP interventions have the potential to reach a broader base of potential customers who are currently excluded from financial services.

**Efficiency:** As with all activities, there are challenges in achieving efficient implementation of activities in gender equity and women's empowerment. The programme was rated average in efficiency, with a score of 3.

Project activities, particularly those intended to improve access to services, have not been implemented according to schedule due to various financial and logistical problems. First, most of the activities in the FIMA project started late, including recruitment of project technical staff and disbursement of funds. Although the project was launched in mid-2007, activities did not begin until August 2008. According to FIMA, 30 months after the launch, project activities had taken place in only 16 percent of the months.

Second, there have been substantial delays in funds disbursement, particularly at the beginning of the year. According to stakeholder interviews and project documents, in March of 2009 UNDP had not yet funded committed project activities for the year, and the funds for first-quarter activities were disbursed only in the second quarter (FIMA, 2009). Despite funding delays, utilization rates of available funds are as high as 85 percent.

Third, unexplained cuts in annual budgets and top-ups within the year created uncertainty in implementation of project activities.

Another problem is high turnover of senior staff in the Ministry of Finance. Since the commencement of project activities, FIMA has had three directors of economic affairs. Nonetheless, all the directors have been supportive of the project. The continuity of programme staff in the UNDP and UNCDF country offices has helped the efficiency of UNDP interventions in women's empowerment, and several cooperating partners have also facilitated efficient implementation.

**Sustainability:** The design of UNDP interventions in gender equity and women's empowerment did not consider exit strategies. However, several features indicate that development results from project activities are highly sustainable, resulting in a rating of 4.

First, UNDP has been able to lobby the Government to provide budget for implementation of activities, in addition to in-kind contributions. This implies national ownership of activities aimed at improving access to financial services in Malawi.

Second, microfinance activities have been institutionalized in the Ministry of Finance and the Reserve Bank of Malawi through formation of dedicated departments. Institutionalization is also reinforced by training of core staff in microfinance operations. This is also encouraging acceptance of microfinance by policymakers.

Third, there are partnerships vertically among donors and horizontally with private sector microfinance service providers. Greater involvement of

the private sector and promotion of best practices in the sector help the long-term sustainability of microfinance service providers and access to financial services by vulnerable groups.

Fourth, private sector providers are already using their own funding to promote outreach in rural areas and among women. Raising the capacities of providers and improving their liquidity encourages outreach beyond the original UNDP funding. As a result, UNDP resources are being leveraged with private sector resources.

Fifth, the better image of microfinance providers and greater competition are increasing savings, which is critical for sustainability.

Finally, the strengthening of the Malawi Microfinance Network as an industry institution that promotes best practices is likely to help sustain development results.

# UNDP STRATEGIC POSITIONING

### 5.1 STRATEGIC RELEVANCE

The evaluation found that UNDP projects and activities were highly relevant because of their alignment to national goals and the Malawi Growth and Development Strategy. The UNDP programme is based on the United Nations Development Assistance Framework, which provides a collective, coherent and integrated UN system response to national priorities and needs within the framework of the MDGs and other commitments. The five clusters of the Malawi UNDAF are derived from the MDG thematic areas. UNDP interventions are relevant to national development priorities because they represent the UNDP contribution to the UNDAF and are developed with reference to and in alignment with the country's development planning framework.

UNDP relevance is bolstered by its approaches to engaging with the country's development processes. UNDP works with and through national institutions and systems and also in partnership with development partners, CSOs and the private sector. These partnerships enhance the strategic relevance of UNDP by ensuring coordination, policy support, technical advice, capacity development, implementation support, resource mobilization and emergency relief and disaster preparedness. Both the Government and development partners noted that this approach is consistent with the spirit of the Paris Declaration on Aid Effectiveness and enhances national ownership of development interventions while promoting capacity development.

The main concern among stakeholders is that UNDP tends to spread itself too thinly on the ground. This violates the division of labour reflected in the agreements with Malawi and

compromises the organization's strategic relevance and effectiveness. In a number of programme areas UNDP presence is not necessary due to the presence of other development partners, such as in programming on HIV/AIDS and data collection and analysis.

Although traditionally UNDP has a comparative advantage in upstream work, stakeholders argue that a pragmatic balance between upstream and downstream work would substantially bolster its strategic relevance because of the symbiotic relationship between the two: Downstream activities provide the basis for testing the systems, policies and institutions developed upstream, which presents opportunities for organizational learning. Moreover, evidence from this evaluation indicates that UNDP has registered greater success in downstream projects. This is largely because these projects encourage work through partners such as civil society and community-based groups with broad experience working at the grass-roots level.

Stakeholders bemoaned the relatively low level of UNDP support at the grass roots, especially in the disaster risk reduction programme. There is concern that UNDP involvement has concentrated too much on central policy issues and institution building to the detriment of the local level, where capacities for service delivery are thin. For a more effective implementation of projects downstream, stakeholders called for a well-established and transparent framework for partnership with other implementers, including a learning system linking implementation and policy. They also suggested that UNDP should add to its upstream work a focus on ensuring that policies are adopted and implemented as well as developed.

## 5.2 RESPONSIVENESS TO NATIONAL PRIORITIES AND CHANGING CONTEXTS

Overall, the UNDP programme responds to the key national development priorities articulated in the MGDS, which has five strategic pillars. Four of the five UNDAF outcomes respond to four of the MGDS pillars. An additional outcome addresses HIV and AIDS at national and subnational levels. The CPD outcomes are, therefore, fully aligned to national priorities (see Table 11).

The assessment indicates several areas in which UNDP is responsive to the changing context, especially in the governance area, while ensuring it remains engaged with national priorities. For instance, UNDP has reorganized its project portfolio into three focal areas so it can respond pragmatically to the changing situation. Prior to the reorganization, UNDP-supported projects were very much stand-alones. This made it difficult to adjust to changing conditions because it lacked a picture of how individual projects fit into the wider development scheme. UNDP has worked to keep decentralization firmly on

the agenda despite strong anti-decentralization sentiments. It has been able to steer the decentralization agenda in a rather difficult environment by adjusting its engagement strategies. Decentralization is extremely important for creating conditions for sustainable development and democratic transformation.

UNDP has also facilitated the evolution of the justice sector working group into the democratic governance sector working group, with justice now a sub-sector of that group. However, UNDP has not been very active in responding to emerging human rights concerns, particularly in gender-based violence, protection of minority rights and freedom of expression, including freedom of the press. UNDP has also been rather mute on corruption and accountability.

While pro-poor economic growth and gender equality and empowerment of women will continue to be at the heart of the government agenda in the medium and long term, respondents felt that UNDP has been less responsive in addressing pro-poor economic growth. They felt that resource allocation had favoured

**Table 11. Linkages between MGDS, UNDAF and UNDP Country Programme**

MDGs thematic areas	UNDAF strategic areas	County programme outcomes (by 2011)
Sustainable economic growth	Sustainable economic development and food security (UNDAF outcome 1)	Outcome 1: Conservation of the natural resource base enhanced in targeted communities
Social protection	Social protection and disaster risk (UNDAF outcome 2)	Outcome 2: Strengthened disaster risk reduction and emergency management systems and practices for efficient response at national and subnational levels
Social development	HIV and AIDS (UNDAF outcome 4)	Outcome 3: Improved national and district level capacity to coordinate, manage and monitor HIV responses in line with the Three Ones principles
	Cross-cutting	Outcome 6: Gender equality and women's empowerment enhanced
Democratic governance	Good governance (UNDAF outcome 5)	Outcome 4: An informed public actively claiming good governance and human rights
		Outcome 5: Improved national capacity to formulate policy and manage, monitor and deliver services to protect the rights of vulnerable people

governance, social development and social protection. This suggests the need for UNDP to explore its comparative advantage in interventions that will help the Government to achieve equitable economic growth. It is important for UNDP to focus in areas that promote private-sector delivery of services to vulnerable groups. Projects such as GSB and FIMA are promoting livelihoods through partnership with the private sector. While GSB had an investment fund supporting livelihood activities, FIMA is working to strengthen the capacity of private institutions to deliver services to the poor, primarily through private sector resources leveraged by resources under FIMA. This implies that the two strategies are not complementary.

The evaluation found that UNDP does not adequately create links between its own programmes or between its programmes and those of other development partners to exploit synergies. This hinders optimal use of resources. The goals of FLIRD and GSB are ultimately the same: to create sustainable livelihood groups. However, due to the reliance on project resources to finance livelihood activities, the effectiveness of these projects has been severely hampered by lack of seed capital. Yet within the same country office cluster, FIMA is encouraging private-sector institutions to provide financial services to the same groups of beneficiaries.

Such synergies could have been enhanced through a programme approach rather than a project approach. For instance, GSB has managed to attract local private funds to establish a pro-poor revolving fund that will be operated by one of the microfinance providers supported by FIMA. However, instead of operating as a separate project, it would be better to leverage capacity building of the private sector through incentives that encourage private sector providers to reach out to vulnerable groups with their own resources. It will therefore be important to involve non-governmental organizations in creating enterprise groups and linking them to microfinance institutions working with FIMA.

UNDP response to the growth and wealth creation agenda emphasized in the MDGS is perceived by the Government and other stakeholders as rather weak during the country programme, with UNDP focusing more on social development, social protection and governance. While this may indeed be the case in a narrow sense, it could be argued that the areas supported by the UNDP country programme are the 'enablers' of the growth agenda. It goes without saying that strong social sectors such as education and health, coupled with a supportive governance environment, are beneficial to growth. At the same time, UNDP is supporting a number of capacity development efforts in the public sector that promote the growth and wealth creation agenda.

### **5.3 UNDP USE OF KNOWLEDGE NETWORKS AND COMPARATIVE ADVANTAGE**

While stakeholders indicated that UNDP has used networks and exploited its comparative advantage, the consensus was that there is room for considerable improvement. UNDP has used its networks especially to identify technical assistance and South-South partnerships and exchanges. However, its effectiveness has been limited due to the lack of a well-articulated strategy to guide its activities. UNDP has used its comparative advantage in elections management through the Elections Trust Fund, coordinating UN agencies and brokering engagement between government and development partners. While there have been some challenges, UNDP has successfully mediated between government and development partners.

According to stakeholders, the UNDP comparative advantage is its ability to offer needs-based capacity-building interventions. However, this strength could be further enhanced by reorienting from basic capacity building, which emphasizes training and study tours, to a higher level focus on improving the policy environment, developing and strengthening institutions, and supporting human resources development. UNDP has started to shift its approach consistent with



guidance from the Capacity Development Group at UNDP headquarters, for which the UNDP Resident Representative in Malawi serves as a capacity development champion.

UNDP has also been focusing on the broad-based participatory development approach, through strengthening decentralization. This is appropriate in Malawi, which has weaknesses in the policy environment; in institutions (both central and decentralized levels); and in personnel. This focus has contributed to development results, particularly at subnational levels, where challenges are more acute.

#### **5.4 PROMOTION OF UN VALUES FROM A HUMAN DEVELOPMENT PERSPECTIVE**

UNDP has played a key role in human development. This is reflected in its programming and implementation of its interventions. As a matter of principle, UNDP programming has concentrated on gender equality, women's rights and vulnerable groups. It has done so by assisting in formulating policies, strengthening institutional capacities and putting systems in place to increase women's access to financial services and markets. In addition, UNDP has been assisting in building the capacities of project partners so they can undertake gender analysis, mainstreaming and budgeting. During the 2008-2011 period, about 10 percent of UNDP regular and other resources were earmarked for gender equity and women's empowerment activities.

The study has made it apparent that UNDP promotes gender equity by mainstreaming gender issues in its projects as well as encouraging women to participate in development interventions. The stakeholders also rated UNDP highly in terms of enhancing gender equity. HIV and AIDS have also received some attention, mostly through UNAIDS and the Global Fund to Fight AIDS, Tuberculosis and Malaria. This support has emphasized prevention, management and treatment, despite a weak policy environment. While UNDP participates in UNAIDS activities, it is not part of the Global Fund support.

Through programmes such as the DCP, UNDP has addressed equity, justice, fairness and poverty reduction. The culture of active citizenship being propagated by the DCP has substantially improved the engagement between the public and duty-bearers. UNDP has further played a major role in implementation and monitoring of projects and programmes related to the MDGs.

UNDP is facilitating implementation of the Millennium Villages Project and has developed a model that can be adopted and scaled up across the country. It is meant to be a bold model for helping rural African communities to lift themselves out of extreme poverty through community-led development, with a goal of achieving the MDGs by 2015. Using advances in science and technology, project personnel work with villages to create and facilitate sustainable, community-led action plans that are tailored to the villages' specific needs. Simple solutions are preferred, such as providing high-yield seeds, fertilizers, medicines, wells for drinking water and materials to build schools and clinics. Agroforestry, insecticide-treated mosquito nets, antiretroviral drugs, the Internet, remote sensing and geographic information systems enrich this progress. While the project has been in operation in Malawi for less than four years, a number of commentators have already hailed it as a resounding success. One of the MVP sites was visited by the United Nations Secretary-General on his recent trip to Malawi.

UNDP is also supporting capacity building at the Ministry of Development Planning and Cooperation. The goal is to advance aid coordination and promote monitoring of progress towards attainment of the MDGs. UNDP has supported the production of regular national MDG progress reports. These have been instrumental in refocusing planning to increase the odds of achieving all the Goals by 2015. The main observation of stakeholders is that UNDP needs to address the integrity of official statistics to ensure they accurately capture the situation on the ground.

Regarding support for policy formulation, UNDP has been very effective. In the energy and

environment sector, UNDP supported development of the energy policy and is helping with the review of it. UNDP is also spearheading formulation of the disaster risk management policy.

## 5.5 STRATEGIC PARTNERSHIPS

The stakeholders expressed the opinion that UNDP works normally with the Government to implement its programmes. The relationship has been strong, largely due to that fact that most UNDP programmes are implemented under the NEX modality, while the Government is moving away from the use of PIUs. Relationships are rather weak at district and community levels, as UNDP has concentrated on upstream work. It is important for UNDP to strengthen its partnerships with NGOs and the private sector, especially in disaster risk reduction and pro-poor growth programmes, where there is greater need to reach out to communities.

Participation of UNDP in CABS, sector-wide approaches and sector working groups has strengthened its relationships and standing with other development partners. At the same time, a number of UNDP-supported programmes are financed under 'basket' funding arrangements in which funds from several donors are grouped and administered by UNDP. Such arrangements have strengthened the UNDP coordination role among development partners. However, there are instances in which, despite pooled or basket funding arrangements, development partners also use parallel funding, leading to uncertainties in funding for such programmes. Stakeholders lamented the inadequate coordination among development partners in a number of jointly funded programmes, such as the disaster risk reduction activities. This often leads to duplication of efforts and inability to support some vulnerable people.

Malawi is a self starter in the Delivering as One initiative, which has strengthened relationships among UN agencies and enhanced the strategic position of the UN system. UNDP has played leadership and coordination roles under the DaO arrangement, and the UNDP Resident Representative is also the UN Resident Coordinator. The resident coordinator is a separate entity from UNDP. However it gets support from the UNDP Resident Representative in managing implementation of DaO. The UNDP country office also shoulders some DaO responsibilities, especially management of funds for administering the resident coordinator system and the finances in support of DaO programme activities. This includes the UN One Fund.

Success has been mixed with respect to the UNDP role in coordinating development assistance, which is meant to aid implementation of the Paris Declaration on Aid Effectiveness. On the positive side, through the DACU, excellent progress has been made in updating the ICT network in the Ministry of Finance as well as providing equipment to it and strengthening its security infrastructure. Similarly, progress in monitoring donor-funded projects has been very satisfactory, with development and implementation of the DAS and production of strong reports, such as the Malawi Aid Atlas. In addition, an Aid and Debt Policy was submitted to the Cabinet. The Cabinet agreed to it in principle but requested two separate policies, one on aid and one on debt. The two policies have since been prepared but have not yet been endorsed by the Cabinet. But efforts to bolster human resources in the DACU have not been successful, as a majority of the 44 established posts in the Debt and Aid Division remain vacant, while some are filled by non-established (non-core) staff.



# CONCLUSIONS AND RECOMMENDATIONS

## 6.1 CONCLUSIONS

The evaluation sought to determine the degree to which UNDP has effectively responded to the development challenges facing Malawi and contributed to achievement of its national development goals. Synthesis of the observed results on programme performance and strategic positioning shows that UNDP performs at a slightly above average level in achieving development results and adding value to such results. **The evaluation concludes that the overall UNDP contribution to development results in Malawi is fully satisfactory.** The following paragraphs elaborate on this conclusion and highlight considerations for enhancing success.

### **Conclusion 1. UNDP has been highly responsive to development needs and changing priorities.**

UNDP supported the implementation of relevant projects and programmes. The ADR has demonstrated that the country programme is highly relevant to national development priorities and the overall mandate of promoting sustainable human-centred development underpinned by poverty reduction, equity, fairness and justice. In addition, UNDP has demonstrated a great deal of responsiveness to the country's changing context, by adjusting its programme portfolio to reflect national development priorities. UNDP has also demonstrated its responsiveness to emerging needs, including the need to strengthen human capacities. Its programmes have paid particular attention to the human development dimensions of gender equality, women's rights and vulnerable groups. In achieving these objectives, however, it has not focused on selected areas of strategic significance; it has been reactive rather than proactive and has not been as well targeted, deliberate or transparent as it might have been. Events of the past few years indicate a shift to a more measured and strategic response.

### **Conclusion 2. UNDP effectiveness in attaining outcomes is satisfactory. However, the programmes lack coherence, and UNDP has not taken advantage of complementarities among its interventions.**

Major successes include the key role UNDP has played in human development, as reflected in its overall programming and implementation. UNDP has used national structures and personnel to deliver most of its activities through the NEX modality. However, the ADR noted weak links between outputs, indicators and programme outcomes in the results framework. This contributes to an apparent lack of coherence among the interventions as well as mixed effectiveness of some interventions. A well-articulated programme framework might have helped highlight external and risk factors and necessary conditions for success. The latter would have helped highlight the potential role of partners in jointly achieving outcomes. Likewise such a framework would have helped highlight the complementarities in the strategies of FIMA and GSB.

### **Conclusion 3. UNDP has not fully balanced the demand for upstream and downstream activities. It has not used its coordination advantage and leadership role to enhance coherence and partnerships in carrying out upstream and downstream work.**

UNDP programmes are skewed towards upstream activities in response to government demand because the Government articulates its demands more strongly for upstream policy advice and support. UNDP engages in a number of downstream activities, which some informants suggested operated without a clearly defined strategy or policy framework. More recently UNDP has concentrated its downstream work in areas where policy development is one of the pre-conditions for providing sustainable solutions to development problems. This is the case in strengthening

the microfinance system. UNDP is working in partnership with other donors to strengthen the policy and institutional environment conducive to pro-poor provision of microfinance services using best practices.

Despite a greater emphasis on upstream work, the results show that UNDP is more successful in its downstream interventions, partly because upstream activities face more obstacles to efficacy. Most of the upstream work has succeeded in producing outputs, such as policies and strategies, but not many of them have been approved by the Government or implemented. This is because UNDP has not generally exploited its role as a trusted government partner to influence institutional changes, particularly implementation of sectoral policies developed with UNDP support.

**Conclusion 4. The partnership continues to be biased towards the central government. UNDP needs to expand its work with local authorities or make clear its comparative advantage and how it will seek partnerships to enhance links with the local level.**

Most of the capacity-building interventions have targeted the central government. The ADR has found that programmes involving work with local authorities and non-state actors have been more successful and have a high prospect of sustainability. Expanding the DaO initiative has the potential to enhance these linkages.

**Conclusion 5. UNDP programmes lack well-designed, comprehensive strategies to ensure sustainability of outcomes.**

Although most programmes are designed to include capacity development and use of NEX/NIM to ensure sustainability, most have no explicit exit strategies. Often the absence of government funding hampers sustainability. Some downstream activities have been highly dependent on UNDP, demonstrating little government commitment in terms of counter-part funding or integration of innovations into mainstream government activities. As a result, opportunities are few for downstream activities to scale up after UNDP funding is phased out.

**Conclusion 6. UNDP performance and contribution are greatly hampered by inefficiency, due to issues involving dependence on resource mobilization and internal UNDP systems.**

UNDP approaches are widely acknowledged as sound, but their ability to catalyse other activities is constrained by what are perceived as rigidities in systems, processes and procedures. This has manifested itself in delayed disbursement of resources to implementing partners, which has seriously hampered the efficiency and effectiveness of UNDP operations.

## 6.2 RECOMMENDATIONS

The ADR makes three sets of recommendations, addressing programme focus, strategic approach and programme design and management.

### 6.2.1 PROGRAMME FOCUS

**Recommendation 1: UNDP needs to rationalize its programme portfolio in line with its comparative advantage and to respond to emerging issues that are critical to UNDP and to Malawi in each of the three programmes.**

**Governance:** UNDP needs to refocus its governance portfolio. Governance remains one of the most critical development challenges for the country and thus warrants significant emphasis. Going forward, UNDP should not necessarily scale down its involvement in the governance areas where it currently works but should consider extending its focus to economic governance, particularly on corporate governance.

However, UNDP also needs to streamline the breadth of its focus. While reorganizing UNDP governance interventions into three focal areas improved the linkages and synergies between and among interventions, a strong case remains for UNDP to streamline its activities. This is especially true in areas that are being addressed by other development partners.

UNDP should also concentrate on capacity building and coordination of multi-stakeholder governance activities, especially in elections. This

would help UNDP to exploit its comparative advantage as the government's trusted partner.

**Pro-poor Growth:** The ADR has noted the slow pace towards achievement of the MDGs and other human development targets. As the MDG 'scorekeeper', UNDP needs to scale up its advocacy in such areas as poverty reduction and human rights.

**Partnerships:** UNDP partnerships with civil society, the private sector and local institutions are weak. These partnerships need strengthening.

### 6.2.2 STRATEGIC APPROACH

**Recommendation 2: UNDP should expand its capacities for policy analysis and engagement so it can fully exploit its comparative advantage in upstream work.**

The advantages UNDP brings to issues involving policy and establishment of an enabling framework include its ability to ensure that policies address human development, including vulnerable groups, human rights and equality. They also include capacity development to ensure the country has sustained abilities to develop and implement effective policies, formulate strategies and manage. When the ADR was undertaken, the UNDP country office was lacking a senior economic advisor to undertake most of the strategic and policy advisory work.

UNDP should promote its own systematic approach to internal capacity building across all its programmes in policy analysis, negotiation and advocacy as a means to enhance their efficiency and effectiveness. As a first step in designing a capacity-building programme UNDP should undertake an assessment of its existing capacities. This will be critical to guide the technical work involved in policy advice and in programme development and management, including partnership development.

This assessment should be preceded by a clear determination of UNDP priorities or a balanced approach to upstream and downstream activities. For while UNDP should continue some of its upstream work, particularly in capacity strengthening, it is recommended that such activities be

extended to lower level institutions, such as district councils and NGOs, through existing structures. This would enhance the quality and efficiency of service delivery in line with the decentralization policy. UNDP capacity for this type of expansion needs full assessment followed by a well-defined programme of capacity building for both UNDP and implementing partners.

The ADR noted with satisfaction current UNDP efforts to work with national universities and other institutions, such as the Malawi Institute of Management. This collaboration helps to develop the capacities of implementing agencies and their staff in such areas as results-based management, financial management, procurement management and policy management. These partnerships should be extended to private consulting companies and professional networks.

**Recommendation 3: UNDP should use its privileged position with the Government to engage in dialogue to facilitate adoption of policies already developed and implementation of policies already adopted, along with other key initiatives.**

Advocacy for policy adoption is particularly necessary for policies that have been supported by UNDP but are yet to be approved by the Government. This requires a new orientation – moving from a focus on outputs and aid effectiveness to one on development effectiveness and acceptance of responsibility for partnerships. UNDP should exploit its position as a trusted partner to encourage the Government to implement policies that support achievement of the MDGs and fulfilment of other human development values.

**Recommendation 4: In its downstream activities, UNDP should shift its approach from direct interaction with beneficiaries to building the capacity of service providers such as the private sector, NGOs and other non-state actors.**

In FIMA, UNDP supports improvements to the environment in which service providers operate and capacity development through improvement in systems and best practices. This approach encourages private sector providers to reach out to marginalized groups and is an effective model. UNDP should move away from funding

livelihood activities directly using programme funds, as in FLIRD and GSB. In programmes that promote entrepreneurship, the best option is to link livelihood or enterprise groups to private providers. This approach is likely to enhance local ownership of economic activities and ensure sustainability of results.

### 6.2.3 PROGRAMME DESIGN AND MANAGEMENT

**Recommendation 5: UNDP should consider adopting a political economy approach, which entails understanding the realities of power relations, incentives and change processes, to the analysis of development challenges in order to inform overall programme design.**

The political economy approach helps stakeholders to appreciate the political and economic rules of the game and the political factors that shape development challenges and outcomes. It further sheds light on the processes that create, sustain and transform relationships among key segments of society over time. The political economy approach to programming adds value by helping stakeholders to grasp the political, economic and social processes that promote or block pro-poor change. For example, most of the policy documents developed under UNDP support have not been implemented, partly due to lack of appreciation for the institutional and political economy issues that promote or hinder policy implementation.

**Recommendation 6: UNDP should move away from a project approach and towards a programme approach. This will encourage integration of related activities into one programme and ensure coherence and strategic focus.**

The project approach has limited ability to harness synergies across projects, even within a thematic area. For example, UNDP projects in functional literacy, growing sustainable businesses and financial inclusion have synergies and would have been more effective if implemented as one programme. In this way the financial inclusion component would have addressed the problems accessing capital experienced by enterprise or livelihood groups created

under the programmes addressing functional literacy and sustainable business development. This would help substantially in streamlining and focusing UNDP activities to ensure the greatest possible impact. A programme theory with a clearly conceptualized logic model is a useful instrument that would enhance not just coherence but also the articulation of a clear results framework and performance indicators.

**Recommendation 7: UNDP should design programmes with realistic budgets to improve efficiency.**

UNDP reliance on midstream mobilization of resources to fill funding gaps introduces uncertainties and inefficiencies in supporting implementing partners. This greatly compromises attainment of desired results. It would be better to wait to implement a project or programme until full funding is guaranteed.

**Recommendation 8: UNDP should endeavour to strengthen the capacity of its implementing partners in monitoring, evaluation, financial management and report writing.**

UNDP should ensure that implementing partners have the ability to monitor and evaluate development results rather than just report achievement of outputs. Most partner reports are deficient in articulating the extent to which programme outputs are translating into intended (or unintended) outcomes. UNDP is currently supporting the Government to implement a training programme on financial management. However, the training should also enhance capacities for good planning; effective monitoring and reporting of progress and finances; and understanding the UNDP budget structure, resource mobilization strategy, standards and compliance procedures. Similarities and differences between UNDP and government systems need to be understood, and when possible the two should be harmonized. Equally important is enhancing leadership in financial management and in improving staff performance. UNDP could also play a more dynamic role, including by dedicating a staff member to regularly check the financial records of implementing partners and provide them with needed support.

# TERMS OF REFERENCE

## 1. INTRODUCTION

The Evaluation Office (EO) of the United Nations Development Programme (UNDP) conducts country evaluations called Assessments of Development Results (ADRs), which present evaluative evidence of UNDP's contributions to development results at the country level and the appropriateness of UNDP overall approach and strategy in supporting national effort for achieving development results. ADRs are carried out within the overall provisions contained in the UNDP Evaluation Policy.<sup>7</sup> Based on the principle of national ownership, EO seeks to conduct ADRs in collaboration with the national Government and independent institutions whenever agreed and possible.

The purpose of an ADR is to:

- Provide substantive support to the Administrator's accountability function in reporting to the Executive Board;
- Support greater UNDP accountability to national stakeholders and partners in the programme country;
- Serve as a means of quality assurance for UNDP interventions at the country level; and
- Contribute to learning at corporate, regional and country levels.

The ADR in Malawi will be conducted in 2010 towards the end of three programme cycles of 2002-2011 with a view to contributing to the preparation of the new country programme starting from 2012. The evaluation will extend

upon or use existing reviews and analyses of the UNDP country programme. When assessed to be appropriate, it will also use evidence coming from the Mid-Term Evaluation of the second CCF 2002-2006, the Mid-Term Evaluation of the UNDP Country Programme (2008-2010), and the ongoing review of the government's national development strategy, i.e. the Malawi Growth and Development Strategy,

The ADR in Malawi will be led and conducted by a team of independent national consultants who are associated with the private sector and academia. It will be guided by an independent advisory panel and an ADR Reference Group with a strong government representation. This group will play a key role in enhancing government and national input in the decision making processes of the evaluation as reflected in the terms of reference for the evaluation, the evaluation inception report on scope and design, the final evaluation report, and the use of the evaluation. The ADR will seek and ensure the involvement of government systems which have a mandate for independent evaluation.

## 2. THE NATIONAL CONTEXT

In recent years, Malawi has recorded encouraging levels of economic growth up from 1.6 percent in 2000 to a high in 2008 at 9.7 percent.<sup>8</sup> Despite this notable growth Malawi still ranks among the poorest countries in the world. Poverty head count has declined by 5 percent from 2006 to 2008; however 40 percent of the population still lives on less than US\$1.00 per day.<sup>9</sup> Malawi has

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7 <[www.undp.org/eo/documents/Evaluation-Policy.pdf](http://www.undp.org/eo/documents/Evaluation-Policy.pdf)>.

8 World Bank Data Profile: Malawi 2000-2008.

9 UNDG/Government of Malawi, 'Millennium Development Goals Report 2009'.



a Human Development Index rating of 0.493, placing it at 160 out of the 177 countries assessed.

Malawi is a landlocked country, approximately 118,000 km<sup>2</sup>. It does not have many resources and it is rain dependent. The population of 14,846,000 (2008)<sup>10</sup> is predominantly rural with a rapidly urbanising sector and with high population growth rates. Malawi is highly dependent on agriculture with around 85 percent of the population consisting of agricultural smallholders and their dependents.<sup>11</sup> Farming generates 35 to 40 percent of GDP, mainly tobacco, maize, sugar and tea, and agricultural exports account for over 90 percent of export earnings.<sup>12</sup> Malawi's agricultural production is highly dependent on environmental factors and several times in recent years, drought, exacerbated by lack of fertilizer, caused production to fall below self-sufficiency levels. The country's production of food crops is estimated to have fallen by 10 percent in 2009 as a result of poor rains in some parts of the country and outbreaks of disease in others.<sup>13</sup> In light of increasingly volatile weather conditions expected in the future, the Government of Malawi is seeking programmes now which will support vulnerable communities with coping strategies to mitigate and adapt to the diverse effects of climate change.<sup>14</sup> Failure to adequately consider, plan for, and mitigate the impact of shocks of this type would undermine the attainment of the goals of the Malawi Growth and Development Strategy (MGDS) and the MDGs.

Malawi has a constitution which enshrines the separation of power, the independence of constitutional bodies, the rule of law, and a human rights charter. Despite this enabling policy environment, several issues remain to be addressed

in democratic accountability, access to justice, and access to social services especially for the most vulnerable groups. The country is heavily dependent on donor assistance, with 30 percent of the national fiscal budget typically coming from official development assistance.<sup>15</sup> A number of international donors pool their resources under the umbrella of the CABS (including the EC, the UK, Norway and the World Bank). The CABS group currently accounts for approximately 40 percent of total international assistance to Malawi.<sup>16</sup> The respect for human rights is one of the fundamental principles of budget support to Malawi and violations are taken seriously.

Malawi reached the Highly Indebted Poor Country completion point in August 2006. This is noted to signal the Government's success in restoring fiscal discipline and improving economic management. The MGDS recognized that the Paris Declaration represents an opportunity for the Government to exercise greater national leadership towards achievement of the MDGs and for strengthening financial management and accountability. It is noted that one key challenge now facing Malawi is whether it can sustain improved fiscal discipline and high economic growth, attract investment, and reduce poverty and insecurity in a way that strengthens democracy and human rights. Critical factors in the attainment of economic growth and social development include empowering women, inclusiveness in the contribution to and benefit from economic growth, social services and social protection, and strengthened capacity development at all levels - policy environment, institutional and individual levels. A top priority is to strengthen capacities to implement the MDGs for service delivery and for accountability.

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10 UN population estimate, 2008.

11 Economist Intelligence Unit, 'Country Profile 2008: Malawi'.

12 Ibid.

13 Economist Intelligence Unit, 'Country Report: Malawi', April 2010.

14 UNDG/Government of Malawi, 'Millennium Development Goals Report 2009'.

15 Economist Intelligence Unit, 'Country Report: Malawi', April 2010.

16 Ibid.

### 3. THE UN AND UNDP RESPONSE

During the last decade, the UN system has continued to improve its support to the Government and its partners to achieve development goals. More recently it seeks to ensure that Malawi is optimally placed to benefit from the rapidly changing aid environment of budget support, donor alignment with national systems, and the prospects of absolute increases in global aid flow. It has been supporting the country use its development resources effectively and accountably to achieve the objectives of the MDG and respond to the right to development entrenched in the Constitution. Through its work over the previous two CCFs (1997-2001 and 2002-2006), UNDP Malawi focused its contributions to the development of the country in three core areas, namely, (a) fostering democratic governance, (b) poverty reduction and (c) the prevention and mitigation of HIV/AIDS. The CCF II also explicitly focused on livelihoods, gender and environment and natural resource management.<sup>17</sup>

In 2008, the UNCT established the current United Nations Development Assistance Framework (UNDAF) 2008-2011 for Malawi to help the government achieve the goals of its Growth and Development Strategy 2006-2011 (MDGS). The UNDAF 2008-2011 aligned the current UN country programme with the following outcomes:

- Equitable economic growth and the achievement of food and nutrition security;
- Care and protection for the ultra poor and reduction in the impact of economic shocks and disasters on the most vulnerable;
- Increased equitable access and use of basic social services;
- Scale up in the national response to HIV and AIDS; and

- Good governance, gender equity and a human rights-based approach to development.<sup>18</sup>

Within the UNCT, the UNDP Country Programme 2008-2011 made its overarching objectives to support UNDAF outcomes 1, 2, 4 and 5. UNDP's programme also focuses on capacity development, particularly in pro-poor growth and governance<sup>19</sup> and on the delivery of results that deepen national ownership.

Thus, between 2004 and 2009, it is estimated that UNDP expenditures totalled \$112,200 million with a general increase of about \$3.5 million on a yearly basis. About 80 percent of expenditures was in democratic governance (addressing decentralization, elections and human rights and public administration reform). Ten percent was in energy and environment including natural resource management. The other areas of focus of the UNDP programme included MDGs, poverty reduction and vulnerability management, HIV AIDs, and crisis prevention and reduction. Cross-cutting themes include capacity development, upstream policy and planning, and gender equality. South-south cooperation is also an area of increasing engagement.

### 4. EVALUATION QUESTIONS

During the inception phase of the ADR, an inception report will be developed which will provide a detailed set of evaluation questions, matrixed with expected information sources (e.g. interviews, documents and site visits). At this initial stage, the following general questions and concerns are pertinent:

- Whether UNDP has played a relevant role in assisting Malawi address its development challenges based on the comparative strength that UNDP brings to the country;

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17 UNDP, Second Common Country Framework for Malawi, 2002-2006, 2001.

18 United Nations, UNDAF for Malawi, 2008-2011, 2008.

19 UNDP, Country Programme Document for Malawi, 2008-2011, 2008.

- Whether UNDP rendered such assistance in an effective, efficient and sustainable manner, and to what extent UNDP's assistance yielded development results;
- Whether UNDP has responded appropriately to the evolving country situation and government goals for Malawi by transforming its role and approaches.

## 5. SCOPE AND METHODOLOGY

The ADR will review the UNDP experience in Malawi under its three most recent country programmes (CCFs 2002-2006 and CPD 2008-2011), and assess its contribution to the national effort in addressing its development challenges, encompassing social, economic, and political spheres. It will assess key results, specifically outcomes – anticipated and unanticipated, positive and negative, intended and un-intended, and will cover UNDP assistance funded from both core and non-core resources. The preparation mission raised several questions about the value of such a broad scope, particularly given rapid changes since 2002. It however recognized the need to examine success over time and trends in selected areas of UNDP work, for example in capacity development, coordination, and decentralization, and to draw lessons of success. The scoping mission will examine these issues further to enhance a focus on significant areas of the UNDP portfolio.

The evaluation has two main components: the evaluation of the UNDP's contribution to development results through its programme outcomes; and the evaluation of how UNDP has positioned itself in its approach and interventions to respond to the development challenges, needs and opportunities of Malawi. For each component, the ADR will present its findings and assessment according to the set criteria provided below. Further elaboration of the criteria will be found in ADR Manual

2010. The EO Aide Memoire of May 2010 based on the preparation mission for the evaluation also provides details from key stakeholders on significant areas to be addressed in the evaluation some of which are highlighted below.

### UNDP'S CONTRIBUTION TO DEVELOPMENT RESULTS BY THEMATIC/ PROGRAMMATIC AREAS

Analyses will be made on the contribution of UNDP to development results in Malawi through its programme activities. The analyses will be presented by thematic/programme areas and according to the following criteria<sup>20</sup>:

#### Criteria

- Relevance
- Effectiveness
- Efficiency
- Sustainability

Within the analyses above, particular attention will be paid to UNDP's contribution in strengthening gender equality, South-South cooperation, capacity development, and partnerships for development, coordination of UN and other development assistance, and human rights. There is a keen interest on the part of government officials in understanding UNDP's capacity development perspective and role in enhancing institutional capacity. Capacity development is defined in some sectors of the Malawi government as a "process of change" and transformation. There is need to understand how UNDP engages the change process and the institutionalization of capacity. It is noted that the long-term role of UNDP in decentralization and local governance provides a good basis for an analysis of how UNDP has stayed the course during various stages of transformation and the importance of UNDP strategic focus on planning in the achievement of changes in peoples conditions. Equally important is an assessment of the role of PIUs in

20 If the assessments on efficiency and sustainability are found to be rather common across the thematic areas, the evaluation team may choose to present them in one place across thematic areas in order to avoid repetitions and enhance the readability of the report. Also, ADR does not require presentation and examination of all the projects and activities; a representative sample of them could be used to illustrate findings as appropriate.

enhancing sustainability in institutional capacity development.

In identifying the factors affecting performance, the evaluation will respect government request that UNDP internal factors as well as government and county contextual factors should be included in the analysis. While recognizing that this is a not an evaluation of the government of Malawi, an understanding of the country contextual factors is recognized by national partners to be of equal importance given that both UNDP and the country should learn from the evaluation.

## UNDP'S POSITIONING

The strategic positioning of UNDP is analysed both from the perspective of the organization's mandate<sup>21</sup> and the development needs and priorities in the country. This would entail systematic analyses of UNDP's place and niche within the development and policy space in the country, as well as strategies used by UNDP to maximize its contribution. The following criteria will be applied:

### Criteria

- Relevance and responsiveness
- Exploiting comparative strengths
- Promoting UN values from a human development perspective

The preparation mission highlighted the need to examine the widespread nature of UNDP's programmes and non-project activities and to assess the added value of such an approach from a strategic point of view. Critical questions include whether there is a common thread across the wide range of UNDP activities. It is conjectured that while disparate, there is a common thread that defines UNDP core actions and its is conjectured that these are associated with enhancing gender equality, capacity development, and a focus on upstream work on planning and developing

strategies across themes. UNDP's catalytic work in initiating reflection or action in innovative areas is also an important core cross-cutting activity. A particular interest is expressed for a better understanding from the evaluation of the nature and results of UNDP upstream work, its capacities and comparative advantage for this kind of work in a context where other donors are providing high level technical support for developing policies and strategies. Equally important at a general level, is a need to address the nature of UNDP funding mechanism and its cost-sharing modalities.

In addressing aid coordination, the following points are identified as important areas to be addressed in the evaluation: the leadership role of UNDP in driving coordination in the context of its programmatic areas of focus and in strengthening coordination with development partners. This includes addressing the nature of coordination at various levels and among various development parties; coordination at the level of implementation at the local level; the importance of an oversight role from UNDP; and the assumptions governing UNDP exit strategies which at times are premature and at others times unnecessarily prolonged. The emergent leadership role of UNDP with sector working groups and its past work with the trust funds on elections are note worthy for investigation in addressing strategic direction setting for UNDP.

## 6. EVALUATION GUIDING PRINCIPLES, METHODS AND APPROACHES

### PRINCIPLES AND GUIDELINES

The ADR Malawi will be conducted in adherence to the principles in the UNDP Evaluation Policy, UNEG Norms and the Standards<sup>22</sup> and the ethical Code of Conduct<sup>23</sup> established by the United Nations Evaluation Group (UNEG). Most significant in this respect are the following

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21 For UNDP's Strategic Plan, see <[www.undp.org/execbrd/pdf/dp07-43Rev1.pdf](http://www.undp.org/execbrd/pdf/dp07-43Rev1.pdf)>.

22 <[www.uneval.org/normsandstandards/index.jsp?doc\\_cat\\_source\\_id=4](http://www.uneval.org/normsandstandards/index.jsp?doc_cat_source_id=4)>.

23 <[www.uneval.org/papersandpubs/documentdetail.jsp?doc\\_id=102](http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=102)>.

principles in defining the approach for the evaluation: human development, national ownership and capacity development, managing for development results, evaluation for development effectiveness, and UN coherence.

## KEY METHODS

Key methods for consideration include: portfolio analysis including evaluability assessment; the use of inductive qualitative evaluation methods including; (i) the programme theory, contribution analysis and rival hypothesis analysis as opposed to the use of counterfactual analysis; and (ii) enhancing content validity and utility by engaging the services of national consultants to lead and conduct the evaluation, and a national reference group with national and development partner representation. Both these are important in ensuring a good grounding of the development context and the application of appropriate norms for evaluation. Triangulation in data collection will also provide an additional basis for enhancing internal validity. Existing EO guides and guidance in these areas will be shared and adapted for use.

## DATA GENERATION, COLLECTION AND VALIDATION

In answering the questions of the evaluation, the evaluation will use a multiple method approach. Applicable qualitative data generation methods would include document reviews, workshops and focus groups, focused interviews based on well defined interview protocols with key informants, and observations from field visits. Transparency in the analysis of qualitative data is expected and existing EO guide on rigor in qualitative data analysis will support this process. The evaluation will also include quantitative methods including structured questionnaires and surveys, and use of secondary data available for Malawi. All the findings must be supported by evidence and validated through consulting multiple sources of information. The evaluation team is required to use an appropriate tool (e.g., an evaluation matrix to present findings from multiple sources) to show that all the findings are validated and

verifiable. The set of methods for each evaluation criteria and questions will be defined in the inception report to be prepared by the evaluation team during the inception workshop to be held in Malawi in July 2010.

## STAKEHOLDER PARTICIPATION

A strong participatory approach, involving a broad range of stakeholders, will be taken to help in defining the scope of the evaluation and to enhance the credibility and utility of the evaluation. It is important to note that this is not a “participatory evaluation model” generally applicable for implementation evaluation. The conduct of the evaluation will be by an independent evaluation group. The ADR will however include a process of stakeholder mapping to identify both UNDP’s direct partners as well as stakeholders. These stakeholders will include government representatives of ministries/agencies, civil-society organizations, private-sector representatives, UN agencies, multilateral organizations, bilateral donors, and importantly, the beneficiaries of the programme. The stakeholder mapping will be used for general consultation, to help identify key informants for data collection as well as to help define the ADR Reference Group described below.

## THE ADR REFERENCE GROUP

This will include a representation of key stakeholders from government, national institutions, civil society organizations, and the donor community in Malawi convened to enhance the quality and utility of the evaluation. They will be asked to provide advice on key evaluation issues, and provide detailed comments and factual corrections on the terms of reference of the evaluation, on the inception report on scope and design and on the draft final ADR reports. The reference group will also participate in the stakeholder workshop(s), as well as initiatives designed for the dissemination of the evaluation. The group will include one representative from the following and will seek to have a gender balance: (i) Ministry of Development Planning and Cooperation, Department of Monitoring

and Evaluation; (ii) Ministry of Finance, Debt and Aid Management Department (to serve as chair of the reference group); (iii) The Office of the President and Cabinet, Office of Policy and Research; (iv) District Assembly (Thyolo); (v) Civil society representative group; (vi) UNDP (Deputy Director as co-chair); (v) UNCT (WFP); (vi) multilateral agency (EU); and (vii) bilateral agency (Irish Aid).

Draft terms of reference for the reference group will be finalized during the inception mission in July 2010. Consultations with members of the group indicates that the group will be decided on its structure, responsibilities and ways of working together to carry out its work. The structures to be developed would ensure commitment that is supportive of the timeline of the evaluation. The reference group will be supported by the UNDP and the government designated focal point from the Department of Monitoring and Evaluation.

## 7. THE EVALUATION TEAM

The Evaluation Office is responsible for selecting the team that will carry out the Malawi ADR. The team will consist of the following members:

- Co-team leaders of two Malawi national consultants who will be responsible for overall ADR implementation and report quality. They have direct responsibility for managing the ADR team, developing the inception report, collecting information and drafting the ADR report. They will be supported in this work by the EO task manager.
- Three Malawi evaluation team specialists, who will report to the co-team leaders, providing expertise in specific subject areas of the evaluation, and responsible for drafting relevant parts of the report. Technical expertise will be especially sought in the areas of governance, energy and environment, MDG and national development planning and management. The evaluation team members will be responsible for addressing other significant areas of UNDP's work in disaster risk

management, HIV and AIDs, and human rights. It will also address cross-cutting areas including capacity development, gender equality, and south-south cooperation. When needed, additional technical support will be added to the evaluation.

### SPECIFIC RESPONSIBILITIES OF CO-TEAM LEADER AND DELIVERABLES

The co-team leaders will be responsible for the following key tasks:

- Lead the scoping of the evaluation in close cooperation with the EO task manager
- Develop the evaluation design and methodology for conducting the ADR, based on the existing ADR Methodology Manual and other EO methodology guides and the actual availability of data;
- Lead the drafting of the inception report, in consultation with the team members and the EO task manager;
- Participate in meetings with the ADR National Reference Group and use feedback to make adjustments in the design and conduct of the evaluation as well as in all evaluations and briefs.
- Oversee the conduct of in-country studies and surveys by team specialists as determined by the evaluability assessment and the scoping mission;
- Conduct data collection for specified areas of work as defined by the design of the evaluation.
- Lead discussions and data generation with the RBA in NY and Regional Service Centre in South Africa as determined by the scope and design of the evaluation for the assessment of institutional factors affecting performance.
- Lead and participate fully in the synthesis workshop compiling all existing evidence and completing all analyses and preparing summary of main findings

- Draft the final report, with support from the team members and in consultation with the EO task manager;
- Revise the report as per comments received from EO, UNDP CO and RBA and the ADR Reference Group.

The team leaders will be responsible for ensuring the overall quality of the evaluation, including the timely delivery of the final evaluation report. These will be finalized in consultation with the team members and EO task manager. The deliverables include:

- **Inception report** (12-15 pages) prepared using the EO guidance on the content and format of an Inception report.
- **Draft evaluation report**
- **Comprehensive Final Report** (max 50 pages main text, annexes excluded).
- **Dissemination brief** (2 pages) synthesizing key findings, conclusions and lessons learned.

The drafts and final version of the ADR report will follow the standards UNDP/EO publication guidelines.

#### **SPECIFIC RESPONSIBILITIES OF THE TEAM SPECIALISTS AND DELIVERABLES**

The team specialists will provide expertise in the key themes of the UNDP country programme. They will be responsible for working with the evaluation team leaders in reviewing the content and structure of the overall country programme. They will take a lead role in the assessment of UNDP's performance in the assigned theme for the evaluation. They will apply sound methods of evaluation consistent with methodology guidance from EO and from team leaders and team members. They will participate in all team meetings as well as in meetings with reference groups or stakeholders as deemed necessary by the team leaders and EO task manager. They will prepare analytical reports and also assigned sections of the overall evaluation report or other notes and briefs for the evaluation.

The key outputs are:

- Input in development of programme theory and portfolio assessment as well as input in the inception report on scope and design with particular attention to the assessment of their thematic area;
- Collection of information and data using both secondary and primary data sources for specified thematic areas of focus;
- Analysis according to guidelines for qualitative and quantitative analysis and participation in an analysis and synthesis workshop;
- Completion of designated sections of the evaluation report; and
- Input in notes for meetings with stakeholders or reference groups as needed by the Team Leaders and participation in meetings as needed.

#### **QUALIFICATIONS**

The Malawi evaluation team leaders must satisfy the following qualifications:

- Senior consultant with excellent team leadership and coordination abilities, detailed knowledge of development strategic direction, issues and challenges in Malawi as well as substantial knowledge of the key themes of UNDP's work;
- In-depth understanding of the workings of the Malawi government, development assistance and UN/UNDP in particular;
- Solid understanding of evaluation methodologies relevant to ADR, backed up by a proven expertise of research and evaluation in the social sciences;
- Excellent communication skills for report writing and presentation of research and evaluation projects backed by extensive technical reports and publications. Availability for working in a consolidated and intensive manner between July and September 2010

to prepare the inception report on scope and design, to carry out the data collection process, to prepare the preliminary set of findings and key messages for the evaluation and to share this with the UNDP CO and key stakeholders by mid August 2010.

The Malawi team specialists must satisfy the following qualifications:

- Expertise in one of the three key areas of UNDP work identified above - governance, energy and environment, MDG and national development planning and management, plus expertise or work experience in cross-cutting areas including capacity development, gender, human rights, and south-south cooperation.
- Solid understanding of methodologies for strategic evaluation and country programme evaluation like the ADR and/or a proven expertise of research in social science relevant for the evaluation;
- In-depth knowledge of development issues and challenges, as well as Malawi government policies, with specific expertise in at least one subject area relevant to the work of UNDP.

In order to avoid conflicts of interest, the members of the evaluation team should not have engaged in the design or implementation of the UNDP Malawi country programme.

## **8. MANAGEMENT ARRANGEMENTS**

### **UNDP EVALUATION OFFICE (EO)**

UNDP EO will conduct the ADR and has assigned an EO evaluation adviser to support the co-team leaders and to serve as the task manager (TM) for the evaluation. The EO TM will provide overall management of and technical backstopping to the evaluation. The TM will set the terms of reference for the evaluation, oversee the team selection process, review and work with the co-team leaders to finalize the inception report, provide guidance on the conduct of the evaluation, participate in key phases of the evaluation

including wrap up sessions with the Malawi Country Office, set up the national reference group, organize feedback sessions and a stakeholder meeting, review the draft ADR reports and decide on their acceptability, and manage the review and follow-up processes. The TM will support the rest of the evaluation team in understanding the scope, the process, the approach and the methodology of the ADR, provide ongoing advice and feedback to the team for quality assurance, and assist the co-team leaders in finalizing the report. The TM and co-team leaders will generally agree on the division of labour on various aspects of the evaluation. The UNDP EO will meet all costs directly related to the conduct of the ADR, including travel and per diems for team site visits and costs associated with technical or stakeholder workshops and report production.

### **GOVERNMENT AND NATIONAL SYSTEMS FOR INDEPENDENT EVALUATION**

The preparatory mission assessed the system of evaluation in Malawi in order to identify an independent partner in government to collaborate with EO in the management and conduct of the evaluation. The Office of the President and Cabinet has a Policy and Research unit that is focused on data analysis, monitoring and research. The M&E Department of the Ministry of Development Planning and Cooperation has a mandate for conducting independent evaluation of national policies, programmes and strategies and potentially provides an excellent partner for collaboration. It is however currently being supported by UNDP under the Joint Programme Support for the National Monitoring and Evaluation Systems in Malawi 2005-2010. Its independence for this evaluation was thus an issue. Further dialogue with the department during the scoping mission will clarify the role it will play in the evaluation.

### **INDEPENDENT ADVISORY PANEL**

Given the institutional learning and accountability function that the evaluation serves, it is



extremely important that its process and products are quality assured from within and outside Evaluation Office. Overall, the Assessments of Development Results quality assurance is a responsibility of the Evaluation Office task manager, but the key products, namely the inception report and the ADR draft final report are reviewed internally by two designated Evaluation Office colleagues and externally by an external advisory panel. The EO will establish an independent advisory panel with one independent national expert from the Center for Social Research at the University of Malawi, and one regional or international expert. The objective of the external review is to provide impartial and constructive feedback on the products of the evaluation, thus contributing to enhance the overall quality and utility of the Assessments of Development Results. Members of the advisory panel should complement each other, combining expertise in evaluation methodology and substantive knowledge of Malawi national development challenges, and the ongoing debate on opportunities and future directions. The advisory panel will review all key documents of the evaluation and provide substantive comments to the EO.

#### **UNDP COUNTRY OFFICE IN MALAWI**

The Malawi Country Office (CO) will support the evaluation team in liaison with key partners and stakeholders, make available to the evaluation team all necessary information regarding UNDP's programmes, projects and activities in the country, and provide factual verifications of the draft report. The CO will provide the evaluation team in-kind support (e.g. arranging meetings with project staff and beneficiaries; and assistance on setting up project site visits). To ensure the independence of the views expressed in interviews and meetings, CO staff are not expected to participate in data collection via interviews or focus groups during the conduct of the evaluation. The country office will provide a focal point as noted above who will work closely with a designated government focal point to support administration and stakeholder engagement.

## **9. EVALUATION PROCESS**

### **PHASE 1: PREPARATION**

The EO has carried out a preliminary desk research to prepare for the evaluation, and has set the basic documents into a SharePoint password protected internet site that team members will be able to access. A preparatory mission was carried out by the TM during May 10- 13 and 21-22, 2010. During this mission, potential independent national institutions and individual consultants were identified and meetings held with them to clarify the ADR and to solicit CVs for team members. A follow-up EO constituted panel reviewed all CVs that were received against defined criteria and made recommendations to EO on team composition and selection. It recommended a new model for co-team leadership by two national consultants with support by the EO TM on technical requirements.

A series of meetings with key stakeholders were also held to discuss the ADR objectives and approach, and to identify key issues to be addressed by evaluation. There was uniform endorsement for the approach in having national leadership in the conduct of the evaluation and membership in quality enhancement and quality assurance. Several recommendations were made for the selection of the evaluation team members and on how to structure and support the ADR Reference Group. These have been taken into consideration by the EO. Meetings with the UNDP Country Office highlighted the need to fast track the evaluation so as to produce evaluation findings that would feed into the Fall 2010 review of the national strategy and plans for partnerships. The country office has also started a re-alignment of its various projects and programmes consistent with a more explicit programme theory of change and contribution to development results.

An inception workshop of the evaluation team will be held in July 2010, for the team to agree on the scope, process, approach and methodology of the ADR, get feedback from the reference group on the key elements of the inception report, draft

interview protocols and schedule, set all data collection assignments and agree on the inception report outline and delivery date.

## PHASE 2: PRELIMINARY RESEARCH AND EVALUATION DESIGN

**Preliminary research: Desk review and briefings:** Based on the preparatory work by EO and other information and materials obtained from the Government, UNDP CO and other sources to be collected by the team, the evaluation team will analyse, inter alia, national documents and documents related to UNDP's programmes and projects over the period being examined. The evaluation team will also request and hold briefing sessions with CO programme staff to deepen understanding of their work, the portfolio of projects and non-project activities and the overall programme theory for achieving development results. With the preliminary research, the evaluation team will develop an understanding of the challenges that the country has been facing, and the responses and the achievements of UNDP through its country programme and other activities.

**Inception report:** Based on the preliminary research above, the evaluation team will develop an inception report. It will include:

- Brief overview of key development challenges, national strategies and UN and UNDP response to contextualize evaluation questions
- Evaluation questions for each evaluation criteria (see 2010 ADR Manual)
- Methods to be used and sources of information to be consulted in addressing each set of evaluation questions (see ADR Manual and other EO guides )
- Preliminary hypotheses reached from the desk study for each evaluation question, with an indication of the information source (e.g., an evaluation report) that led to the hypothesis

- Selection of projects/activities to be examined in-depth and selected project/field activity site visits
- A sampling frame for each of the questions of the evaluation and identification of key informants to be interviewed during the ADR data collection process.

The inception report will address these as well as other elements identified in the EO guidance on inception reports.

## PHASE 3: DATA COLLECTION AND ANALYSIS

**Data collection:** The process will include:

- During the inception workshop, the team will establish a tentative schedule of activities in consultation with the Country Office management and the ADR Reference Group. The schedule will be adjusted as needed during the data collection phase.
- The team will collect data according to the evaluation plan defined in the inception report, inter alia; a triangulation method will be pursued: reviewing documents, holding interviews with key informants and first-hand observation through site visits.
- During the data collection phase, the team will start the validation of emerging hypothesis and findings to facilitate the process and to ensure all of its findings are well supported.

**Data analysis and synthesis:** The evaluation team will analyse the data collected to reach preliminary assessments, conclusions and recommendations.

- Team members will complete analyses of designated areas. The whole evaluation team will meet periodically with the team leaders to address ongoing data collection and analytical work. This will culminate in a synthesis workshop to compile all analytical information and respond to the key questions of the evaluation in an integrated fashion. The task

manager will join the evaluation team during this analytic and synthesis workshop planned for mid-August 2010.

- The outcome of the data analysis will be preliminary assessments for each evaluation criterion/question, general conclusions to answer key questions and provide overarching findings from the analysis, and strategic and operational recommendations.

### **Stakeholder workshop(s)**

- Once the preliminary analysis, conclusions and recommendations are thus formulated, the evaluation team will debrief the Country Office and ADR Reference Group to obtain feedback so as to avoid factual inaccuracies and gross misinterpretation.

## **PHASE 4: DRAFTING AND REVIEWS OF THE MAIN EVALUATION REPORT**

**First draft and quality assurance:** The evaluation team will establish a draft report based on the data analysis and synthesis, and including any additional information from the stakeholder workshop(s). The draft report will be developed by the team members, under the guidance of the team leaders, and submitted to the Evaluation Office no later than two weeks after the completion of the synthesis workshop mission. The draft will be accepted by EO, after revisions if necessary, when it is in compliance with the terms of reference, the ADR Manual and other established guidelines, and it satisfies basic quality standards.

**Second draft and the verification and stakeholder comments:** The EO task manager will provide substantive comments and revisions on the first draft, to include internal quality assurance review at the EO and reviews by the external advisory panel. The co-team leaders will then be responsible to develop a second draft, which will be forwarded by EO to the UNDP CO, RBA, and

the reference group for factual verification and comments. The EO task manager will then be responsible for working with the co-team leaders to ensure that all comments are documented and fully taken into account in a revised draft. The EO task manager will provide an audit trail that indicates changes made to the draft based on comments. The conclusion of this process will be completion and submission to CO management and ADR Reference Group of a final draft ADR. The second draft will be prepared by October, and the formal comment period will conclude by the first week in November. The final draft will be completed by December 1, 2010.

**Headquarter briefings:** Prior to the Executive Board meeting in January, 2011, the EO task manager may be requested to conduct briefings for EO, Regional Bureau for Africa (RBAS) and other interested bureaus at the UNDP headquarters in New York. When necessary The team leaders will join the meetings via audio or video conferencing.

**In country briefings:** These will be determined by the Reference group to be constituted and a response to the evaluation will be provided by the reference group or other government or national unit deemed appropriate for giving this response.

## **PHASE 5: FOLLOW-UP**

**Management response:** During early December, 2010, UNDP CO will prepare a management response to the ADR under the oversight of RBA. RBA will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre<sup>24</sup>.

**Communication:** The ADR report and brief will be widely distributed in both hard and electronic versions. The evaluation report will be made available to UNDP Executive Board by the time of approving a new Country Programme

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24 <<http://erc.undp.org/>>.

Document. This is expected to be in January or June 2011. It will be widely distributed by UNDP EO and CO in collaboration with the ADR Reference Group and Malawi Ministry of Planning to stakeholders in the country and at UNDP headquarters, to evaluation outfits of other international organisations, and to evaluation societies and research institutions in the region. The report and the management response will be published on the UNDP website<sup>25</sup>.

## 10. TIME-FRAME

The time-frame and responsibilities for the evaluation process are tentatively outlined as follows. This will be updated periodically as the evaluation progresses towards the deadline of Board presentation in January 2011.

## 11. EXPECTED OUTPUTS

The expected outputs from the evaluation team in particular are:

- An inception report, providing the design and the plan for evaluation (as specified in the process section of this document).
- The first, second and final drafts of the report “Assessment of Development Results – Malawi” (approximately 50 pages for the main text, and annexes)
- Draft for the Evaluation Brief (2 pages)
- Presentations at debriefings, as required, and at the stakeholder meetings, this to be based on a clearly articulated dissemination and use model such as the Accelerating Results Together (ART) model.

## 12. TRAVEL

As part of the data collection process, it is anticipated that the evaluation team will schedule field trips in country for interviews, group discussions, surveys and/or project site observations. The field trips will be an integral part of the data collection phase of the evaluation, and their cost will be integrated into the overall costing of the exercise by the evaluation team. There are no expectations at this time for the team leaders or other team members or national counterparts to travel outside of Malawi. It is anticipated only that the EO task manager will travel internationally, from NY to Malawi. The evaluation will make extensive use of audio and video conference facilities.

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<sup>25</sup> <[www.undp.org/evaluation](http://www.undp.org/evaluation)>.

## Annex 2

# KEY EVALUATION CRITERIA AND QUESTIONS

Table A2.1 General Questions	
Area	Questions
General thematic	<p><b>What has UNDP done to support the national goals?</b></p> <ul style="list-style-type: none"> <li>UNDP objectives and programme logic for [name of thematic area] and approach or strategy including partnerships and collaborations, approach to cross-cutting themes etc.</li> <li>UNDP projects and non-project activities (portfolio and its configuration and scope)</li> <li>What has been changes in the portfolio and approach and why - how evolved?</li> </ul>
	<p><b>What are UNDP's main achievements in its areas of intervention (evidence)?</b></p> <ul style="list-style-type: none"> <li>How have these achievements been realized?</li> <li>What have been the results of these achievements? Evidence of achievements?</li> <li>To what extent has government contributed in achieving or under-achieving the objectives? (factors affecting results)</li> <li>Who or how else would have facilitated achievements of the UNDP intervention? (factors affecting achievement)</li> <li>What have been the UNDP achievements in this area or progress at the national level or progress toward the achievement of national objectives or priorities in [name of thematic area]? (supportive evidence of achievements)</li> <li>What have been significant features or drivers of this progress?</li> <li>What are challenges or future directions in this area?</li> </ul>
Factors Influencing Performance	<p><b>What are the capacities of UNDP-Malawi?</b></p> <ul style="list-style-type: none"> <li>What does UNDP-Malawi do best?</li> <li>What does it do least well?</li> <li>Does UNDP-Malawi have serious gaps or weaknesses in its capacity gaps? If so, then what are their causes, their consequences and their solutions?</li> <li>Do you have impediments from the government in achieving UNDP objectives or outcomes?</li> </ul> <p><b>Other factors affect performance</b></p> <ul style="list-style-type: none"> <li>What other factors operated at national level to affect the results/achievements</li> <li>What activities of donors affected the results observed?</li> <li>What would have been done to facilitate or enhance the achievement of the results?</li> </ul>
Strategic Positioning	<p><b>How much coherence and synergy is achieved among UNDP-Malawi's programming areas?</b></p> <ul style="list-style-type: none"> <li>How well do the different programming units support or reinforce each other?</li> <li>Do the different programming areas share common, mutually reinforcing approaches, for example, to capacity development and support for decentralization?</li> <li>Is UNDP still relevant? In what areas?</li> </ul>
	<p><b>What are / what should be UNDP-Malawi's core roles &amp; focus?</b></p> <ul style="list-style-type: none"> <li>Do UNDP-Malawi's roles and identity need to be more clearly defined? Do they need to be re-defined?</li> <li>Is UNDP Malawi involved in too wide a range of activities in energy and environment and NRM?</li> <li>What causes UNDP-Malawi to extend into new areas?</li> <li>What are the costs and benefits of doing so?</li> <li>Does UNDP-Malawi need to focus more sharply onto a fewer number of areas of real comparative advantage? Which are these areas?</li> <li>What are UNDP-Malawi's areas of comparative advantage?</li> </ul>

**Table A2.2 Assessment of Thematic Areas**

Criteria/Sub-criteria	Main Questions	Additional Questions
<b>A. RELEVANCE</b>		
<b>A.1 Relevance of the objectives</b>	<ul style="list-style-type: none"> <li>Are UNDP activities aligned with national strategies? Are they consistent with human development needs in that area (whether mentioned in strategies or not)?</li> </ul>	
<b>A.2 Relevance of the approaches</b>	<ul style="list-style-type: none"> <li>Are UNDP approaches, resources, models, conceptual framework relevant to achieve planned outcomes? Do they follow known good practices?</li> </ul>	
<b>B. EFFECTIVENESS</b>		
<b>B.1 Progress toward achievement of outcomes</b>	<ul style="list-style-type: none"> <li>Did the programme implementation contribute to progress toward the stated outcome? Or at least did it set dynamic processes and changes that move towards the long-term outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>To what extent have the intended results of UNDP interventions been attained?</li> <li>Have there been any multiplier effects or any externalities (intended or unintended, positive or negative, direct or indirect) generated out of the interventions?</li> <li>Do the efforts (human, financial or otherwise) put in the interventions reflect the outcomes?</li> <li>What other factors operated at national level to affect the results/achievements?</li> </ul>
<b>B.2 Outreach</b>	<ul style="list-style-type: none"> <li>How broad are outcomes (e.g. local community, district, region, national)?</li> </ul>	
<b>B.3 Poverty depth / equity</b>	<ul style="list-style-type: none"> <li>Who are the main beneficiaries (poor, non poor, disadvantaged groups)</li> </ul>	<ul style="list-style-type: none"> <li>To what extent do intended beneficiaries participate in the choice and design of the interventions?</li> </ul>
<b>C. EFFICIENCY</b>		
<b>C.1 Managerial efficiency</b>	<ul style="list-style-type: none"> <li>Have the programmes been implemented within deadlines, costs estimates?</li> <li>Have UNDP and its partners taken prompt actions to solve implementation issues?</li> </ul>	
<b>C.2 Programmatic efficiency</b>	<ul style="list-style-type: none"> <li>Were the UNDP resources focused on the set of activities that were expected to produce significant results?</li> <li>Was there any identified synergy between UNDP interventions that contributed to reducing costs while supporting results?</li> </ul>	
<b>D. SUSTAINABILITY</b>		
<b>D.1 Design for Sustainability</b>	<ul style="list-style-type: none"> <li>Were interventions designed to have sustainable results given the identifiable risks and did they include an exit strategy?</li> </ul>	<ul style="list-style-type: none"> <li>To what extent do the lessons learned from the interventions integrate or advance available knowledge and local capacities and inform the design of new interventions?</li> </ul>
<b>D.2 Implementation issues: capacity development and ownership</b>	<ul style="list-style-type: none"> <li>Has national capacity been developed so that UNDP may realistically plan progressive disengagement?</li> </ul>	
<b>D.3 Up-scaling of pilot initiatives</b>	<ul style="list-style-type: none"> <li>If there was testing of pilot initiatives, is a plan for up-scaling of such initiatives, if successful, being prepared?</li> </ul>	<ul style="list-style-type: none"> <li>Has the programme been catalytic in the development of other programmes?</li> </ul>

**Table A2.3 Assessment of UNDP Strategic Position**

Criteria/sub-criteria	Main Questions	Additional Questions
<b>STRATEGIC RELEVANCE AND RESPONSIVENESS</b>		
<b>A.1 Relevance against the national development challenges and priorities</b>	<ul style="list-style-type: none"> <li>▪ Did the UN system as a whole, and UNDP in particular, address the development challenges and priorities and support the national strategies and priorities?</li> <li>▪ Did the UNDP's programme facilitate the implementation of the national development strategies and policies and play a complementary role to the Government?</li> </ul>	
<b>A.2 Relevance of UNDP approaches</b>	<ul style="list-style-type: none"> <li>▪ Is there balance between upstream and downstream initiatives? Balance between capital and regional / local level interventions? Adequacy of resources? Quality of designs, conceptual models?</li> </ul>	
<b>A.3 Responsiveness to changes in context</b>	<ul style="list-style-type: none"> <li>▪ Was UNDP responsive to the evolution overtime of development challenges and the priorities in national strategies, or significant shifts due to external conditions?</li> <li>▪ Did UNDP have an adequate mechanism to respond to significant changes in the country situation, in particular in crisis and emergencies?</li> </ul>	
<b>A.4 Balance between short-term responsiveness and long-term development objectives</b>	<ul style="list-style-type: none"> <li>▪ How are the short-term requests for assistance by the Government balanced against long-term development needs?</li> </ul>	
<b>ASSESSING UNDP'S USE OF NETWORKS AND COMPARATIVE STRENGTHS</b>		
<b>B.1 Corporate networks and expertise</b>	<ul style="list-style-type: none"> <li>▪ Was the UNDP strategy designed to maximize the use of its corporate and comparative strengths? Expertise, Networks and contacts?</li> </ul>	
<b>B.2 Coordination and role sharing within the UN system, including associated funds and programmes</b>	<ul style="list-style-type: none"> <li>▪ Actual programmatic coordination with other UN agency in the framework of UNDAF, avoiding duplications?</li> <li>▪ Did UNDP help exploit comparative advantages of associated funds (UNV, UNIFEM, UNCDF), e.g.in specific technical matter?</li> </ul>	
<b>B.3 Assisting Government to use external partnerships and South-South cooperation</b>	<ul style="list-style-type: none"> <li>▪ Did UNDP use its network to bring about opportunities for South-South exchanges and cooperation?</li> </ul>	
<b>PROMOTION OF UN VALUES FROM A HUMAN DEVELOPMENT PERSPECTIVE</b>		
<b>C.1 UNDP's role in supporting policy dialogue on human development issues</b>	<ul style="list-style-type: none"> <li>▪ Is the UN system, and UNDP in particular, effectively supporting the Government monitoring on the achievement of the MDGs?</li> </ul>	
<b>C.2 Contribution to gender equality</b>	<ul style="list-style-type: none"> <li>▪ The extent to which the UNDP programme is designed to appropriately incorporate in each outcome area contributions to the attainment of gender equality?</li> <li>▪ The extent to which UNDP supported positive changes in terms of gender equality and were there any unintended effects?</li> </ul>	
<b>C.3 Addressing equity issues</b>	<ul style="list-style-type: none"> <li>▪ Did the UNDP programme take into account the plight and needs of vulnerable or disadvantaged to promote social equity?</li> </ul>	

## Annex 3

# PEOPLE CONSULTED

### **NATIONAL GOVERNMENT AND OTHER PUBLIC ORGANIZATIONS**

- Twaib Ali, Deputy Director, Debt and Aid Division, Ministry of Finance (MoF)
- David Bandawe, Chief Elections Officer, Malawi Electoral Commission (MEC)
- A. Behamuka, Technical Assistant, Ministry of Justice
- H. Bota, Deputy Director of Local Government Services, Ministry of Local Government and Rural Development (MoLGRD)
- Georgina Chikoko, Commissioner, MEC
- Moses Chirwa, Assistant Director, Debt and Aid Division, MoF
- Michael Kakatera, Deputy Director, Research and Documentation, Malawi Human Rights Commission (MHRC)
- Grant Kankhulungo, Director of Investigations, MHRC
- W. Kasakula, Senior Engineer (Renewable Energy), Malawi Energy Regulatory Authority (MERA)
- C. Kumbambe, Director, Malawi Investment Promotion Agency (MIPA)
- Dr. Hannock Kumwenda, Deputy Director for M&E, Ministry of Development Planning and Cooperation (MoDPC)
- S. Ligomeka, Director of Local Government Services, MoLGRD
- N. Lihiku, MIPA
- L. Longwe, Director of Finance, MEC
- Charles Machinjiri, Commissioner of Statistics, National Statistical Office
- L. Mhango, Deputy Director, Policy and Planning, Department of Energy Affairs, Ministry of Natural Resources, Energy and Environment
- G. Mkamanga, Director, Department of Community Development, Ministry of Gender, Children and Community Development (MoGCCD)
- Justice Anastasia Msosa, Chairperson, MEC
- H. Mukhondiya, Head of Electoral Services, MEC
- Ishmael Munthali, Programme Manager, Debt and Aid Division, MoF
- Dr. Aubrey Mvula, Executive Secretary, MHRC
- B. Pakila, Accountant, MHRC
- M. Phiri, Planning Officer, Democracy Consolidation Programme (DCP)
- G. Sibande, Deputy Director, Legal Services, MHRC
- Luckie Sikwese, Deputy Secretary, Public Sector Reform, Office of the President and Cabinet (OPC)
- Peter Simbani, Director, Debt and Aid Division, MoF
- Chauncy Simwaka, Director of M&E, MoDPC
- C. Tecce, GSB Broker, MIPA
- C. Thombozi, Economist, Ministry of Justice
- G. Valera, Deputy Programme Manager, DCP
- Patricia Zimpita, Director, Policy, Research, M&E Unit, OPC



## **LOCAL GOVERNMENT AND OTHER PUBLIC ORGANIZATIONS**

- J. Chipwete, District Community Development Officer (Machinga), MoGCCD
- A. Kaliati, Project Coordinator-District Community Development Officer, Machinga, MoGCCD
- Robert Kanyesi, District AIDS Coordinator, Dedza District Assembly
- Bester Mandere, District Commissioner, Thyolo
- E. Ngoma, Director of Finance, Local Government, Mchinji
- A. Phiri, District Commissioner, Local Government, Mchinji
- Stalin Shaba, Monitoring and Evaluation Officer, Dedza District Assembly
- E. Sohaya, Ag DPD, Local Government, Mchinji
- Muyepa, Group Village Headman/beneficiary, Nkhotakota
- Mrs. Nkhoma, Parent, Nkhotakota
- C. Phiri, Club member/beneficiary, Dedza
- B. Samuel, Club member/beneficiary, Dedza
- Mrs. Tchale, Businesswoman, Nkhotakota
- Zulu, Head teacher/beneficiary, Nkhotakota

## **BENEFICIARIES/VILLAGE REPRESENTATIVES/FOCUS GROUPS**

- C. Bema, Club member/beneficiary, Dedza
- V.H. Chakhaze, Village Headman/beneficiary, Nkhotakota
- T. Charles, Club member/beneficiary, Dedza
- W. Kamanga, Revenue Collector/beneficiary, Nkhotakota
- Mr. Kamponge, Businessman, Nkhotakota
- Mrs. Kawaya, Businesswoman, Nkhotakota
- S. Liwotcha, Club member/beneficiary, Dedza
- J. Madisi, Tobacco farmer/beneficiary, Kasungu
- K. Mafupa, Deputy Head teacher/beneficiary, Nkhotakota
- C. Maseko, Club member/beneficiary, Dedza
- J. Matipwiri, Businessman, Nkhotakota
- Moses Matipwiri, Power Operator, Nkhotakota
- K. Mauza, Club member/beneficiary, Dedza
- G. Mhone, Beneficiary, Nkhotakota
- CIVIL SOCIETY/ACADEMIA/  
PRIVATE SECTOR**
- M. Charles, Paralegal Officer, Nkhotakota Youth Organization (NYO)
- Precious Givah, Operations Director, Malawi Institute of Management (MIM)
- Dr. Don Kadzandila, Public Health Expert, Center for Social Research, University of Malawi
- D. Kaunda, Executive Director, Malawi Human Rights Resource Centre (MHRRC)
- Prof. Paul Kishindo, Executive Director, Center for Social Research, University of Malawi
- Sidon Konyani, Economist/Statistician, Center for Social Research, University of Malawi
- E. Lusiwa, Programme Manager, Human Rights Consultative Committee (HRCC)
- T. Mandala, Finance and Administration Manager, HRCC
- John Mataya, Executive Director, MIM
- J.B. Mayenda, Manager, Bvumbwe Savings and Credit Cooperative Organization
- R. Mbaya, Executive Director, NYO
- James Milner, Energy and Environment, Center for Social Research, University of Malawi
- Ronald Mtonga, Head of Programmes, Council for Non-Governmental Organizations of Malawi
- Dr. Peter Mvula, Livelihoods Expert, Center for Social Research, University of Malawi
- W. Mwafulirwa, Under Secretary, HRCC

## **DEVELOPMENT PARTNERS AND OTHER UN AGENCIES**

Sandra Bloemenkamp, Country Manager,  
World Bank

Anne Callanan, Deputy Country Director,  
World Food Programme

J. Carstens, Team Leader, GoM/EU Project

B. Chanza, Programme Officer, UNCDF

T. Chisala, Deputy Programme Manager, DfID

N. Chizani, Programme Officer, UNICEF

A. Dano, Child Protection Specialist, UNICEF

S. Curtins, National Coordinator, GTZ

Adrian Fitzgerald, Deputy Head of Programme,  
Irish Aid

H. Givah, Governance Advisor, NORAD

T. Gondwe, Economist (Private Sector), EU

K. Herrmann, Democracy and Governance  
Team Leader, USAID

Chrissie Kamwendo, Operations Officer,  
World Bank

J. Kayuni, Governance Advisor, Irish Aid

K. Kuo, Democracy and Governance  
Officer, USAID

F. Mkandawire, Financial Management  
Specialist, World Bank

S. Mwale, Programme Management  
Specialist, USAID

M. Nkuna, Child Protection Officer, UNICEF

B. Vandeputte, Good Governance Attaché, EU

## **UNDP MALAWI AND PROJECT PERSONNEL**

C. Alfazema, Programme Analyst, UNDP

F. Chilumpha, Programme Manager, Financial  
Inclusion in Malawi (FIMA)

A. Chimhiri, Cluster Leader, Growth and  
MDG Achievement, UNDP

A. C. Dzimadzi, Programme Manager,  
PMU-FLIRD

A. Kapile, Humanitarian Affairs Officer, UNDP

P. Kulemeka, Trust Fund Manager –  
JPSME, UNDP

C. Kundembo, District Officer,  
FLIRD-Machinga

E. M'buka, Programme Analyst, UNDP

E. Misomali, Assistant Resident Representative  
(Capacity Development), UNDP

T. Msowoya, Programme Analyst, UNDP

F. Mwathengere, Cluster Leader, UNDP

H. Oketch, Technical Advisor, FIMA

J. Rijpma, Cluster Leader, Energy and  
Environment, UNDP

R. Shankar, Deputy Resident Representative  
(Programmes), UNDP

M. Walter, Programme Analyst, UNDP

## Annex 4

# UNDP PARTNERS

### **GOVERNMENT MINISTRIES**

Agriculture and Food Security  
Development Planning and Cooperation  
Education, Science and Technology  
Finance  
Health  
Industry and Trade  
Internal Affairs and Public Security  
Information and Civic Education  
Irrigation and Water Development  
Justice and Constitutional Affairs  
Labour  
Natural Resources, Energy and Environment  
Local Government and Rural Development  
Gender, Children and Community Development  
Youth Development and Sports

### **OTHER GOVERNMENT ORGANIZATIONS**

Anti Corruption Bureau  
Blantyre City Assembly  
DEMAT  
Democracy Consolidation Programme  
Department of Energy Affairs  
Department of Environmental Affairs  
Department of Human Resource Management and Development  
Department of Information Systems and Technology Management Service

Department of Meteorology  
Department of National Parks and Wildlife  
Department of Nutrition, HIV and AIDS  
Department of Poverty and Disaster Management Affairs  
Lilongwe City Assembly  
Local Government Service Commission  
Malawi Bureau of Standards  
Malawi Electoral Commission  
Malawi Energy Regulatory Authority  
Malawi Entrepreneurs Development Institute  
Malawi Export Promotion Council  
Malawi Human Rights Commission  
Malawi Industrial Research and Technology Development Centre  
Malawi Institute of Management  
Malawi Investment Promotion Agency  
MASIP  
Mzuzu City Assembly  
National AIDS Commission  
National Assembly - Parliament Office  
National Local Government Finance Committee  
National Registration Bureau  
National Statistics Office  
National Youth Council of Malawi  
Office of the Director of Public Procurement  
Office of the Ombudsman  
Office of the President and Cabinet

Public Service Commission  
Reserve Bank of Malawi  
SEDOM  
Staff Development Institute  
University of Malawi  
Zomba City Assembly

### **CIVIL SOCIETY AND NGOs**

Action AID International  
AFRICARE  
Alliance of Mayors Initiative for Community  
Action on HIV/AIDS at Local Level  
Bridge Malawi  
CABS  
CARD  
CARE International  
CARER  
Catholic Relief Services  
Centre for Community Organization  
and Development  
Centre for Multiparty Democracy  
CHAM  
Civil Liberties Committee  
Coalition of Women Living with HIV and  
AIDS in Malawi  
Concern Universal  
COOPI/MALEZA  
Council for Non-Governmental Organizations  
CPAR Malawi  
CURE  
Danish Hunters Association  
EVARD  
Eye of a Child

GOAL  
Health Care Volunteer Organization  
HoM/LoG  
Human Rights Consultative Committee  
IFES  
Inter Aide Malawi  
International IDEA  
Inter Regions Organization  
Lilongwe Press Club  
Malawi AIDS Network of People Living  
with HIV/AIDS  
Malawi Congress of Trade Unions  
Malawi Economic Justice Network  
Malawi Economic Support Network  
Malawi Human Rights Resource Centre  
Malawi Interface AIDS Association  
Malawi Micro Finance Network  
Malawi Network of AIDS Service  
Organizations  
Malawi Network of Religious Leaders Living  
and Affected by HIV and AIDS  
Meet  
NAMISA - Media Institute of Southern Africa  
National Association for People Living with  
HIV/AIDS in Malawi  
National Elections Systems Trust  
National Initiative for Civic Education  
Natural Resources and Environment Centre  
NGO Gender Network  
OXFAM  
Plan International  
Population Services International  
Public Affairs Committee  
Save the Children

Self Help  
Self Help Development International  
TANARD  
The Story Workshop  
Transparency International  
WESM  
World Vision International

### **PRIVATE SECTOR**

Development Aid from People to People  
Editor's Forum of Malawi  
Electoral Institute of Southern Africa  
Evangelical Lutheran Development Services  
Malawi Confederation of Chamber of  
Commerce and Industry  
Malawi Red Cross  
Malawi Savings Bank  
Malawi Watch  
Malga  
MDG Youth Support Group  
National Bank of Malawi  
New Building Society

### **UNITED NATIONS SYSTEM**

Food and Agriculture Organization of the  
United Nations  
International Atomic Energy Agency  
International Fund for Agricultural Development  
International Labour Organization  
International Monetary Fund

Joint United Nations Programme on  
HIV/AIDS  
UN Habitat  
United Nations Capital Development Fund  
United Nations Children's Fund  
United Nations Educational, Scientific and  
Cultural Organization  
United Nations Entity for Gender Equality and  
the Empowerment of Women  
United Nations Environment Programme  
United Nations Office for Project Services  
United Nations Population Fund  
United Nations Volunteers  
United Nations High Commissioner for Refugees  
World Food Programme  
World Health Organization

### **INTERNATIONAL COOPERATING PARTNERS**

African Development Bank  
Canadian International Development Agency  
Commission of the European Communities  
GTZ  
Icelandic International Development Agency  
Irish Aid  
Japan International Cooperation Agency  
Millennium Challenge Corporation  
Norwegian Embassy  
UK Department for International Development  
USAID  
World Bank

## Annex 5

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