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NATIONAL REGISTRATION AND IDENTIFICATION SYSTEM (NRIS) PROJECT

Quarterly Progress report (01 July 2020 to 30 September 2020)

Project Title:	National Registration and Identification System
UNDP Project #:	00100113
Project Duration:	01 November 2016 – 31 December 2021
Project Resources:	Basket Fund
UNDP Focal Point:	Busekese Kilembe

UNDAF Outcome:	National institutions foster democratic governance and human rights to promote transparency, accountability, participation and access to justice for all, especially women and children
Corporate SP Outcome:	Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance
Project Specific Outcome:	The establishment of a permanent and continuous national registration and identification system in Malawi.
Output(s):	<ol style="list-style-type: none"> 1. Up to 9 million Malawians are registered and issued with a National Identity card in 2017. 2. NRIS inclusive of birth registration is transitioned to a permanent and continuous registration system. 3. Government MDAs and private institutions are assisted to adopt the use of the NRIS (unique ID and the Birth Certificates). 4. Up to 8.4 million Malawian children are registered with unique national identification (ID) numbers and issued with Birth Certificates by 2021 5. Project is efficiently managed, staffed and coordinated, and is implemented with national ownership.
Project Location(s):	Lilongwe, Malawi

Project Partners



Norwegian Embassy



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Acronyms

ADR	Assistant District Registrar
BRK	Biometric Registration Kit
COMESA	Common Market for Eastern and Southern Africa
CRB	Credit Reference Bureau
CRVS	Civil Registration and Vital Statistics
DFID	Department for International Development
DHRMD	Department of Human Resource Management and Development
DRO	District Registration Office
EBRS	Electronic Birth Registration System
ESCOM	Electricity Supply Commission of Malawi
EU	European Union
FCB	First Capital Bank
GWAN	Government Wide Area Network
HQ	Headquarters
ICAO	International Civil Aviation Organization
MEC	Malawi Electoral Commission
MDAs	Ministries, Departments and Agencies
MISO	Management Information System Officer
MoJ	Ministry of Justice
MoU	Memorandum of Understanding
MRA	Malawi Revenue Authority
NRB	National Registration Bureau
NRIS	National Registration and Identification System Project
PO	Post Office
RO	Registration Officers
PRO	Principal Registration Officer
SADC	Southern African Development Community
SDGs	Sustainable Development Goals
UNICEF	United Nations Children's Fund
UNDP	United Nations Development Programme
USAID	United States Agency for International Development

1. Executive Summary

The purpose of the National Registration and Identification System (NRIS) Project is to establish a permanent and continuous national registration and identification system in Malawi. The project will contribute to Government's efforts to guarantee the fundamental right to identity, entitlement and enjoyment of full citizenship in Malawi.

The initiative is consistent with Sustainable Development Goal (SDG) 16 to: "promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels." Specifically, the NRIS will address SDG Target 16.9 that refers to providing a legal identity for all and will also facilitate the goal of achieving comprehensive birth registration by 2030. The Whole of Government impact of the system will offer improvements in planning, service delivery, and the operation of administrative systems supported by a functional NRIS.

This progress report presents a summary of work completed for the NRIS project for the second quarter (01 July– 30 Sept.) of 2020.

Some of the key milestones achieved during the reporting period include the following:

- A Technical Working Group (TWG) has been formed, at the direction of the NRIS Technical Committee, to address low figures for continuous and birth registration during the covid-19 pandemic. The TWG have devised strategies and come up with some recommendations to increase both national ID and birth registrations.
- A verification exercise for the Malawi Government Pension Scheme was finalized using the National IDs to identify ghost pensioners. According to Ministry of Finance, the Government will now save over US\$ 400,000 per month as a result of this analysis of the pension fund.
- An MoU between the National Registration Bureau (NRB) and the Department of Immigration and Citizenship Services (DoICs) facilitated DoICs to adopt the National Identity Card as the mandatory form of identification for Malawian citizens in order to issue a passport.
- The Ministry of Agriculture (MoF) implemented the new Affordable Inputs Programme (AIP) using the biometric National IDs. The MoF team send the list of AIP beneficiaries to NRB for verification using national ID. After the verification process, NRB share the beneficiary list with MoF, on the basis of which they implement the AIP. The system is enabling 4 million farmers to procure fertilizer and maize seed from approved suppliers, thus improving food security and transparency of the food subsidy programme.
- UNDP procured then handed over ICT equipment worth over Malawi Kwacha 10 million to the Malawi University of Science and Technology's (MUST) innovations unit.

Students from MUST are developing mobile applications (Apps) which will help in the fight against the Covid-19 pandemic. This application will use national ID for a series of m-health initiatives developed by MUST students and overseen by NRIS technical team. One such application is geo-referencing to find out the hotspots of the pandemic and contain the spread.

- The Data Consolidation Servers, Application & Database Servers and SAN Storage for Child Registration have been delivered to NRB. The installation process for these backup servers is in progress.
- Planning and recruitment of the project staff required for the mass registration of children is in progress. Recruitments were paused due to the Covid-19 pandemic until a new start date for mass child registration could be arrived at. The mass registration of children is being prepared to start in early 2021 considering low COVID cases in Malawi and taking all the necessary precautions.

2. Implementation Progress

Brief Background

Malawi endures a structural development challenge in the absence of an authoritative, comprehensive and accurate system of national identification. Fundamentally undermining most citizens' right to identity, the consequences are multi-sectoral, where citizens' access and entitlement to services are uncertain.

Unlike many countries in the Southern African Development Community (SADC) or Common Market for Southern and Eastern Africa (COMESA), Malawi has had no functional national registry and identification system for decades. Moreover, Malawi is only now starting to re-establish its system of civil registration and vital statistics (CRVS), to comprehensively register births, deaths, and marriages. The absence of these two systems (NRIS and CRVS, collectively known as a population register), which are mandates of the NRB within the Ministry of Home Affairs and Internal Security, undermines an individual's ability to claim their citizen's rights and services, as well as Government's ability to fulfil its obligations to provide inclusive social services, accountable administrative systems, and to foster evidence-based policy formulation and decision-making.

Efforts in various arenas have led to fragmented initiatives, creating costly or unsustainable silos of information, while also imposing institutional and technical obstacles to interlink information. The Malawi National Registration Act (No. 13 of 2010) which entered into force in August 2015 requires all Malawians 16 years of age and older to be registered in a National Registry and to be issued with an identity card. The National Registration Bureau (NRB) is mandated to administer this task.

As such, UNDP – with financial and technical support from key Development Partners - and in partnership with the National Registration Bureau is implementing a multi-Donor Basket funded National Registration and Identification System (NRIS) Project (2016 – 2018). The Project seeks to actualize the Right to Identity, ensuring that all Malawians 16 years and older are uniquely registered in a permanent and continuous system that provides proof of their

identity, and to be issued with an identity card that is evidence of that identity. Correspondingly, the system will establish the management information systems that will allow Government and stakeholders to access and use that information in aggregate for planning, and as a central reference point for individual identity to be linked across multiple systems. Simultaneously, the management information systems and identity cards will enable the strengthening of accountability and verification processes within both the public and private sector domains that will enhance services for Malawi's citizens.

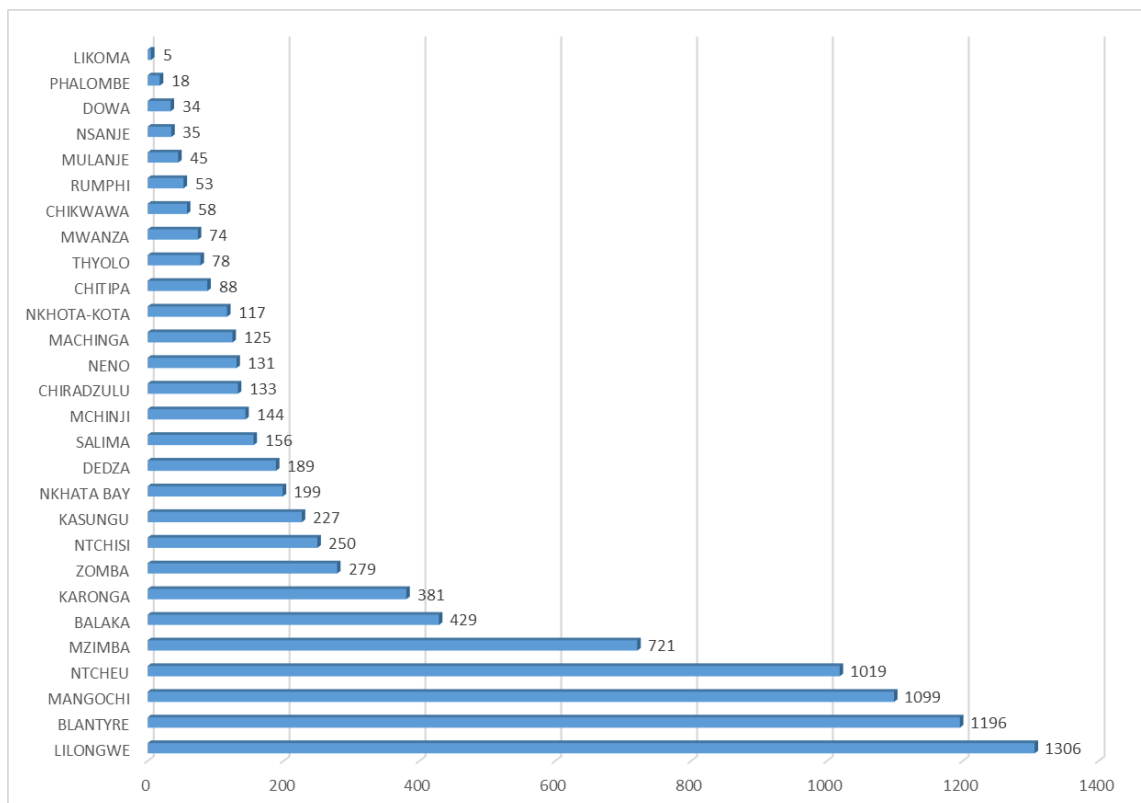
The expected results of the original Project were to: design, establish and manage the necessary systems, infrastructure and equipment for the National Registration and Identity System (NRIS), employing biometrically secure Smartcards; supervise the mass registration for all eligible Malawians (an estimated 9 million) within the country in 2017; transition the system to a continuous registration model in 2018 and to develop the capacity and systems of NRB to maintain and operate the system; provide an interface to other public and private sector systems that allow for appropriate data sharing within a legal framework that complies with international principles and standards for the right to privacy and data protection; and to ensure the effective management of the Project.

Following some amendments and addenda resulting from discussions with Government and donors, a one-year extension of the NRIS Project from 31 December 2019 was endorsed to support mass child registration. Cost-Sharing Agreements have been signed between UNDP and the Government of Malawi (USD \$28,747,497), DFID (GBP 15,485,000), Irish Aid (EUR 2,978,944), USAID (USD \$2,000,000), Norway (NOK 26,825,000) and the EU (EUR 10,800,000). UNDP has allocated USD \$4,350,000 from its core resources to the project. In addition, UNDP has signed an Inter-Agency Agreement with UNICEF (USD \$44,366). The entire project budget is now estimated at USD \$80,038,894.

The design of the card (shown in Figure 1, below) was approved by the Minister of Home Affairs to meet the three tier requirements. These are security features which are visible to the naked eye; enhanced security features that require minimal equipment to verify identity; and forensic analysis features that require high end equipment such as a microscope to verify identity. Security requirements of the International Civil Aviation Organization (ICAO) and the information requirements elaborated in Section 8 of the law are also met. Additionally, the card allows for data to be manually read, or for machine reading using QR code, swipe read, and chip read that will overcome traditional challenges with data accuracy. Overall, the design and features of the card draw on key technologies and processes that make forgery of the card improbable and enables mechanisms to verify its authenticity to ensure confidence that the card, as required by law, is prima facie evidence of the individual's recorded information.

campaign. Some district registration offices remained closed as NRB services were not regarded as being essential in the present circumstances. However, there did appear to be a slight rise in registration numbers because of NRB staff’s commitment to return to work while taking all recommended Covid-19 prevention measures. The total number of Malawian citizens registered for the national ID during the quarter was 8,589, out of which (57%) were male and 3,715 (43%) were female. District wise registration data for the quarter is shown below.

Fig: District Wise national ID registration figures from June to September 2020



Output 3

Government MDAs and private institutions are assisted to adopt the use of the NRIS (unique ID and the Birth Certificates).

Progress

- **Malawi Government Deleted 4,000 Pensioners from Pension Fund**

A physical verification exercise using National ID of pensioners was carried out by the Ministry of Finance in collaboration with National Audit office (NAO), Anti-Corruption Bureau (ACB), National Registration Bureau (NRB), Malawi Defence Force (MDF), Malawi Police Services (MPS) and the Department of Human Resources Management and Development (DHRMD) to identify possible ghost pensioners. The Malawi

government has 37,984 pensioners registered in the Pension Fund but only 33,960 presented for the verification exercise. The remaining 4,024 pensioners failed to present themselves for the verification exercise with their valid national ID. Reasons for not registering included corruption in the system, deaths, not updating the pensioners list for long time etc. These unverified individuals have been deleted from the Pension Fund effective from June 2020. The Treasury will be able to save over over US\$ 400,000 on pensioners monthly after completing this verification exercise using National ID.

- **Use of National ID and Birth Certificate for issuance of passport**

An MoU between the National Registration Bureau (NRB) and the Department of Immigration and Citizenship Services (DoICS) facilitated DoICS to adopt the National Identity Card as the mandatory form of identification for Malawian citizens for the issuance of a passport. DoICS will also use Birth Certificates issued by NRB to Malawians by birth and descent as a validation document in order to issue passports to persons under 16 years of age. DoICS shall confiscate National Identity cards and foreign resident cards if the owners are suspected of having been issued these cards illegally. Such ineligible National ID cases will be referred for further investigation for fraud and possible prosecution.

- **Use of National ID for AIP:**

The Ministry of Agriculture implemented the new Affordable Inputs Programme (AIP) using the biometric National IDs. The system is enabling 4 million farmers to procure fertilizer and maize seed from approved suppliers. This application of the National ID as an authentication mechanism has resulted in greater food security for these vulnerable farmers and their families. It has also increased the levels of accountability in managing food subsidy programmes such as AIP where the potential for fraud is minimised, if not eliminated altogether.

- **Development of a Sustainable E-payments System**

The Ministry of Finance, Economic Planning and Development (MoFEPD) is responding to the impact of Covid-19 through engaging with Social Protection, Urban Safety Net and Urban Resilience Programmes by implementing targeted Social Cash Transfers (SCT). Taking a longer-term view but using the current pandemic as a catalyst, UNDP and NRB are coordinating the development of a sustainable e-payments system with the Reserve Bank of Malawi. This initiative is centred on NRIS as the key authenticating mechanism for SCTs, with full accountability to both GoM and donors. In the reporting period technical discussions were held between the principle stakeholders to determine what possible shape this e-payment system might take and what steps would be required to establish the system.

- **Technical Discussion with Anti- Corruption Bureau:**

Technical discussions also took place with the Anti-Corruption Bureau (ACB), facilitated by UNDP NRIS Project, with the view of signing an MoU between NRB and

ACB. ACB will use the National ID as the main reliable source of information to verify the identity of Malawian citizens and non-citizens in conducting their investigations into fraud and corruption.

Output 4

Up to 8.4 million Malawian children are registered with unique national identification (ID) numbers and issued with Birth Certificates by 2021.

Progress

The annual plan for the implementation of the mass child registration has been modified and deadlines pushed out by about 9 months due to the Covid-19 crisis. The aim now is for the mass registration of children will be implemented in 2021 over 6 separate phases.

Numbers of birth registrations were also affected by the Covid-19 crisis and rates drastically declined across the country in the reporting period. The 27th Technical Committee meeting recommended to form a Technical Working Group (TWG) to discuss issues related to low rates of child registration and what strategies could be employed to reverse this trend. Accordingly, a TWG was formed which included representatives from UNICEF, NRB, UNDP and the Ministry of Health. Some of the actions both taken and planned are given below:

- ✓ Continuous registration is affected by the Pandemic as NRBs services are not included under the essential services. UNDP and NRB have requested the Ministry to elevate the status of NRB to an essential service, essentially allowing NRB to operate as normal and work towards increasing registration numbers.
- ✓ Clear the backlog of child registration entries for Balaka and Ntcheu. This clearance exercise has already started.
- ✓ Establish an automated approval clearance system for birth certificates. Records that are cleared by districts are automatically cleared by NRB HQ.
- ✓ Civic Education is being conducted using the Times and MBC radios. Public messaging is also being done through loud hailing in some districts.
- ✓ The electronic Birth Registration System (eBRS) software has been modified to allow for printing birth certificates village wise. This will help in printing and distribution of future birth certificates during the mass registration in 2021. Earlier, the printing of certificates was only possible by the health centres.
- ✓ NRB is planning to raise awareness on birth certificates before the mass registration exercise commences in order to motivate Malawians to engage in birth registration. NRB will submit a budget for distribution of birth certificates, for the consideration of UNDP.

The following preparatory activities for the mass registration of children is in progress:

- Civil Registration and Vital Statistics (CRVS) Standard Operating Protocols (SoPs) for Birth, Death, Marriage and Divorce and Adoption, with focus on Deaths (UNDP, UNICEF and NRB)
- CRVS software development for the mass registration of children
- CRVS Testing (Unit, System and User Acceptance)
- Legal Review of CRVS
- Development of ONE system servers, Integration of eBRS, birth, marriage, and divorce with NRIS.
- Developing content for Training of Data Entry Operators.
- Developing Civic Education Plan and contents for the mass registration.
- Developing Civic Education artifacts (poster designing, jingles prep etc.)
- Development of the RfP for hiring the civic education agency to conduct civic education
- Development of the content for the Training of Trainers (ToTs)
- Preparation for the hiring of HR agency to manage the Data Entry Clerks (DEC)
- Development of content the Data Entry Clerks
- Developing Content for Village Head Training

Output 5:

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

Progress

Under this Output, the following milestones were accomplished in the reporting period:

- **Actions on DFID Recommendations based on the 2020 NRIS Annual review**

The DFID Annual Review was undertaken between February and April 2020 before COVID-19 fully affected programmes. The review provided 6 major recommendations. NRB has proactively working on those recommendations. An update on the status of the recommendations are given below:

 - **Creation of demand for cards:** NRB had intensified discussions with various stakeholders on establishing Linkages with the National ID through the Public Sector Reform Program. Examples of which were the Affordable Input Program under the Ministry of Agriculture and Food Security and with the Department of Immigration and Citizenship Services where an MoU was signed to make the National ID a prerequisite for applying for an E-Passport.
 - **Network Challenges should be addressed:** NRB initiated engagement with Department of E-Government who have begun to address these connectivity issues

through the Digital Malawi Project, a World Bank initiative currently being implemented.

- **Ownership of the Programme by NRB:** NRB Budgetary funding from the GoM has been at the same level for the past three years. This freeze on NRB's budget is becoming a constraint. NRB is exploring options for the generation of its own revenue through charging small levies for the services provided.
 - **Political Will for Integration Agenda of MDAs:** NRB is working to have the integration agenda become part of the Public Sector Reforms Programme of GoM. This is expected to promote the ownership and integration process of NRB.
 - **Strategic Plan on Issue of Uncollected Cards:** Most of the uncollected cards currently sitting in the District Registration Offices belong to deceased people. NRB plans to destroy the uncollected cards as per the SOPs since the registrants, having failed to collect their cards after several reminders are presumed dead.
 - **Access for Disabled Persons in all NRB Facilities:** NRB is working to make all the facilities accessible for disabled person
- **Development of contact Tracing system using USSD:**

UNDP has entered into a partnership with the Malawi University of Science and Technology (MUST) to develop a suite of Covid-19 response applications to serve the public with information and updates. Several initiatives inspired by the need to respond to the pandemic by the students of MUST have resulted in a number of applications being developed within the Malawi context. The NRIS project has been supporting the students to develop these initiatives including national ID for geo-referencing the location of the covid suspect and patients to find out the hotspots which will help to contain the pandemic. Mobile Apps are being developed by MUST in collaboration with UNDP and Angle Dimension. Angle Dimension is the agency hired by Ministry of Health for developing the contract tracing application. Existing platforms to be used are WhatsApp, chatbot and USSD. This is being done in three main phases. The first phase has been completed by MUST. The second phase involving Android Mobile Apps is ongoing while phase three is due for completion by the end of October 2020. In this context, UNDP handed over ICT equipment worth over Malawi Kwacha 10 million to a group of students from Malawi University of Science and Technology (MUST) that are developing the Mobile Apps. The students attracted the attention of UNDP when then President, Professor Arthur Peter Mutharika and then Ministry of Health Principal Secretary Dr Dan Namarika, separately, visited MUST to appreciate the various innovations the university was doing around Covid-19. Since then, the six students behind the Covid-19 contact tracing, geo fencing, self-service Apps have been developing these innovative solutions with support from the Ministry of Health and UNDP.

- **Monitoring and Evaluation of project implementation:**

Due to COVID-19 crisis, no physical monitoring visit could be conducted during the quarter, but the national ID registration data has been analyzed continuously to track the progress. Only a few of the District Registration Offices (DROs) are now operational due to the Covid-19 crisis. Registration data has been analyzed and shared with the NRIS team to understand the registration trend. Based on this analysis the Technical Working Group is exploring ways to increase the registration during this pandemic.

The physical monitoring process will start in the last quarter of 2020 to check the registration processes in the District Registration Office (DROs). The second Technical Working Group meeting is scheduled to take place in November 2020 to discuss how to increase the registrations of births and national ID.

- **Challenges:**

The COVID 19 pandemic will continue to affect the registration rates for continuous national ID as well as birth registration in the next quarter. The registration figures have declined in the reporting period but are expected to increase in the next quarter as the Covid-19 cases appear to decline in Malawi. Civic education campaigns to raise awareness of the importance of child registration and National ID over the next quarter is expected to increase rates of registrations to reverse the declining trend.

3. Progress against Results Framework Indicators

Refer to Annex I.

4. Way forward

Moving ahead, the project will continue to prioritize:

- a. **Development of one integrated Civil Registration system**

NRIS is in the process of developing One Integrated Civil Registration system covering Birth (eBRS), National ID (NRIS), Marriage/Divorce and Death Registrations.

Preliminary work for the integration of the eBRS and NRIS has started. Several meetings with the contractor were held and strategies on how the equipment will be setup have been agreed. The work focused on eBRS integration into the NRIS system. This involves creating a REST API-endpoint which has now been completed. Elizabeth Glaser Paediatric AIDS Foundation (eGPAF) and NRB developers shall review the overall integration of eBRS and NRIS once a test environment has been set up. Subsequent integration of the electronic death register (eDRS) shall follow a similar approach. Preliminary work on the death register integration has already started. Implementation for the entire integration exercise of NRIS, eBRS and eDRS should be aligned to the mass registration for children, so that the same endpoint is used.

b. Management Courses to enhance NRB's capacity

The NRIS and NRB teams will continue to prioritise NRB's building on the internal capacity needs for sustainability of the NRIS including a smooth continuous registration process. Eight out of the 9 selected courses based on the Training Need Assessment and conducted by the Malawi Institute of Management (MIS) have been completed, but the final course is yet to start due to Covid-19 crisis.

c. Public awareness to create demand for continuous registration:

In view of the low continuous registration numbers, the NRIS project has planned for customised public awareness campaigns on continuous registration so that those that did not register during mass registration and those turning 16 years of age can still go and register. Once again, due to the Covid-19 crisis all the activities including the video infomercial, Radio Drama, Song/Jingle have been suspended. The civic education campaign will commence as soon as the current social distancing restrictions are lifted by the Government.

d. Legal framework:

The project will also continue its engagement with the Law Commission in the ongoing work on the amendment of both the Citizenship Act and the National Registration Act. Furthermore, the project will also prioritize support for the amendment of the National Registration Act.

e. Privacy and data protection:

This deliverable is part of a World Bank project in collaboration with the department of e-government. The consultancy firm Macmillan Keck Attorneys and Solicitors from the USA have drafted a review report on data protection in Malawi. This report has been approved and the consultant was then asked to draft the legislation. The consultant has managed to come up with a revised draft legislation document that was circulated to the Task force Members for their review. The plan is for the Task Force to discuss the revised draft legislation which the Consultant has started. Thereafter, the bill will be circulated to various Stakeholders for their review.

5. Conclusion

The third quarter of 2020 Progress Report has highlighted activities undertaken and achievements made against agreed milestones. As reported above many of the deliverables of the project have been affected by the Covid-19 crisis. The Technical Working Group continues its efforts to devise strategies to increase the birth and national ID registration services during this pandemic crisis.

6. Future Plans

The project has revised the 2020 Annual Work Plan (AWP) due to the Covid-19 crisis and examined the timings on how responses are to be implemented.

- **Recruitment of project staff:** The ToRs for the ICT Specialist and the Logistic Specialist have been finalised and these positions will be advertised in November 2020. Recruitment for the positions of Software Developer, Civic Education Specialist, System Network Administrator, Finance & Admin Associate, Logistics and Asset Associate, Field Coordinator/Labour Expert are almost completed.
- **Data consolidation Centre:** The Data Consolidation Servers, Application & Database Servers and SAN Storage for Child Registration has arrived and the installation process for the backup system is in progress.
- **Planned activities with different MDAs:** The following activities are planned in the 4th quarter of 2020.
 - Follow up meetings with RBM, the Accountant General Department and Treasury for the effective implementation of the E-payment system.
 - Follow up meetings with NICO Insurance on developing the interface with NRB's database are planned.
 - Meetings with the Malawi Police Service for the creation of an integrated case management system leveraging NRIS as a unique identifier are in the planning stage.
 - NRIS are meeting with ACB on developing an interface with the NRB system which is also connected to the case management system.

7. Financial Section

All financial data (Annexes III) presented in this report is provisional. From UNDP Bureau of Management/Office of Finance and Administration, an annual certified financial statement as of 31 December, will be submitted every year no later than 30 June of the following year.

Annexes

Annex I: Progress against Results Framework Indicators: Results Framework

Outcome Goal: The establishment of a permanent and continuous national registration and identification system in Malawi.												
Outcome Indicators:												
<ul style="list-style-type: none"> Number of MDAs and private institutions using NRIS for administrative or operational systems (Baseline 2016): 0; Target (2019): >10; Source: Official records) Percentage of eligible resident Malawians registered and issued with an identity card (Baseline 2016: 0; Target (2019): >90%; Source: National Register, NSO) Assessed capacity of NRB to operate and maintain the NRIS (Baseline 2016): None; Target (2019): Good capacity; Source: Project Evaluation Report) 												
EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS						Data Collection Methods and Risks	
			Value	Year	2017	2018	2019	FINAL	2020	2021		
Output 1 Up to 9 million Malawians are registered for issuance of a National Identity card in	1.1 Number of Malawians registered in the National Register as part of mass registration, disaggregated by gender.	National Registry	0	2016	More than 9 million				More than 9 million			Data extraction.
	1.2 Number of Malawians issued with a National ID card as part of mass registration.	NRB Records	0	2016	More than 4 million	More than 4.5 million	0	More than 8.5 million			Data extraction.	

2017	1.3 Proposed amendment of National Registration Act submitted to Ministry of Justice.	Public Record	0	2016	1	0	0	1			Public record
	1.4 Number of paid information campaign products aired on radio.	Project records	0	2016	10	0	0	10			Media monitoring reports. Survey reports
Output 2 NRIS is transitioned to a permanent and continuous registration system	2.1 Number of District Registration Offices equipped for continuous registration.	NRB Records	0	2016	20	8	0	28			NRB Records. Spot check.
	2.2 Percentage of registrars trained in rules and procedures.	Training records.	0	2016	70%	30%	0	100%			Training participation records.
	2.3 Number of Malawians issued with a National ID card as part of continuous registration.	NRB Records	0	2016	0	0.3 million	0.47 million	0.77 million			Data extraction
	2.4 Number of District Post Offices equipped for continuous birth registration	NRB Records	0	2019					65		
	2.5 Percentage of registrars trained in rules and procedures on CRVS.	Training records.	0	2020					0	100%	
	2.6 Percentage of village heads trained in rules and procedures on CRVS.	Training records.	0						0	100%	

	2.7 Number of Malawians children issued with a Birth Certificate in 2021 as part of continuous registration, gender disaggregated	NRB Records	300,000	2020						.5million	
Output 3 Government MDAs and private institutions are assisted to adopt the use of the NRIS.	3.1 Number of inter-institutional agreements between NRB and Government Ministries, Departments, Agencies (MDAs) and private institutions on the use of the ID card system.	NRB records	0	2016	0	5	>5	>10			Official requests
	3.2 Number of Government Ministries, Departments, Agencies (MDAs) and private institutions using Birth Certificate	NRB records	0	2019						>2	
Output 4 Up to 9 million Malawian children are registered with unique national identification (ID) numbers and issued with Birth Certificates by 2020.	4.1 Number of Malawian Children registered as part of mass registration, disaggregated by gender	CRVS System	600,000	2019						8.4 million	CRVS system
	4.2 Number of Malawians issued with a Birth Certificate as part of mass registration, disaggregated by gender	NRB Records	300,000	2019						More than 4 million	CRVS system
	4.3 Number of civic education information campaign products developed and implemented	Project records	0	2019					0	10	Civic Education Campaign report
Output 5	5.1 Agreed M&E planned activities implemented.	Project records	0	2016	No	Satisfactory	Satisfactory	Satisfactorily			Official records

Project is efficiently managed, staffed and coordinated, and is implemented with national ownership	5.2 Percentage of Project positions filled.	UNDP records	0	2016	95%	5%	0	100%	100%	100%	UNDP records
	5.3 Steering and Technical Committee meetings held per year.	Project records	0	2016	3/8	3/8	3/8	7/26	4/24	4/24	Project records

Annex II: Risk Log (Updated)

Project Title: National Registration and Identification System	Award ID: 00100113	Date: 1 October 2020
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management Response	Owner	Updated by	Last Update	Status History
1	Funding availability	20 Oct 16	Financial Total: 15	Late deposit of funds will undermine operational delivery and confidence of stakeholders. P = 3 I = 5	Contributions will be integrated into a Basket Fund. All contributions will be subject to agreements stating the timeline.	Technical Committee	CTA	20 Oct 16	Amended. (30 Nov) P amended from 5 to 3 based on initial receipt of funds
2	Slippage on operational timelines	20 Oct 16	Operational Total: 20	Timelines are constrained with census in 2018 and elections in 2019. If not implemented on schedule major deviations off plan may need to be considered. P = 4 I = 5	Monthly monitoring of progress in Technical Committee to determine corrective actions, as necessary. TC and SC meetings taking place regularly and according to timeline. The project is on track so far.	Technical Committee	CTA	1 Oct 2020	No change (1 October 2020)

3	Institutional national capacities	20 Oct 16	Operational Total: 20	<p>Lack of sufficiently trained national staff, lack of sustainable financial model for NRB and delays in setting up the ID card production facility site will compromise sustainability of continuous registration, data recovery and deny some Malawian citizens their right to identity.</p> <p>P = 5 I = 5</p>	<p>Government conducted a functional review to increase NRB staffing. Government sanctioned recruitment of 16 IT Officers for NRB to support mass registration. For further recruitment of additional staff as recommended by the functional review in relation to the sustainability of continuous registration, 30 Registration Officers and 110 Assistant Registration Officers have been recruited, pending offer letters to be sent. Training plan of these officers is being developed. Recruitment of other officers to follow in 2019 once Government disburses funding for such. Regarding the DRS, it has been moved to the Malawi Revenue Authority premises (MRA) in Blantyre.</p> <p>As for the ID card production facility site, NRB reinforced and is making use of what is currently available for printing of the ID cards and the procurement of a prefabricated container for the setting up of a prefabricated containerized printing facility is in process.</p>	GoM UNDP	CTA	1 Oct 2020	<p>Amended. (19 January 2017) P amended from 3 to 4 in view of delays in the functional review and the increase in NRB staffing required.</p> <p>Escalated for the attention of the SC on 5th April 2017.</p> <p>Escalate to SC in anticipation that there might be a gap in NRB's Capacity for continuous registration if the new approved positions are not filled at all or on time.</p> <p>Amended (22 March 2018) Upgraded P=4 to P=5 with reference to</p>
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									<p>the removal of key and management staff that were already well trained.</p> <p>Narration of Impact & Probability amended on (19 Feb 2019) No change. (1 Oct 2020)</p>
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4	External fraud	20 Oct 16	Operational Total: 15	Non-Malawians seek to register as Malawians, undermining the integrity of the NRIS. P = 5 I = 3	Operational policies and procedures developed to prove entitlement at registration. Public information campaigns will highlight criminality. Coordination with law enforcement.	NRB/UNDP	CTA	20 Oct 16	No Change. (30 Nov)
5	Procurement timelines	20 Oct 16	Operational Total: 6	Procurement timelines are not met, creating operational delays. P = 2 I = 3	Procurement expertise of UNDP PSO to be retained. Close monitoring of progress against benchmarks to effect	UNDP	CTA	28 March 17	Amended. (28 March 2017) P amended from 3 to 2 and I amended from 4 to 3 given the level of procurement already taken.
6	Technology adoption	20 Oct 16	Operational Total: 12	Introduction of new technologies and systems introduces unprecedented challenges for implementation and sustainability. P = 3 I = 4	International expertise to implement under the Project, supported by contractor arrangements. Skills transfer for the new technologies is built into the design of the Project.	UNDP/NRB	CTA	1 Oct 2020	No Change. (1 October 2020)
7	Adequate data protection provisions	20 Oct 16	Legal Total: 12	Failure to protect privacy and data can undermine confidence in registering and erodes the right to privacy of individuals.	A review of the National Registration Act and development of amendments is part of the Project deliverables. A meeting took place at the end	UNDP /GoM	CTA	1 Oct 2020	Amended. (02 October 2017) 2017) P amended from 3 to 4

				<p>P = 4 I = 4</p>	<p>of January 2018 between the UNDP Legal Specialist and NRB to discuss the amendments of the National Registration Act. A legal note is being finalized which will be the basis for a memo from the Ministry of Home Affairs and Internal Security to the Ministry of Justice and Constitutional Affairs (MoJ) requesting the necessary amendments of the law.</p> <p>The introduction of the Electronic Transactions Bill will strengthen rights to privacy and data protection. The Electronic Transaction Bill was passed by Parliament on 04 July 2016 and the President assented to it on 20 October 2016. Its publication was on 04 November 2016.</p> <p>On Data Protection Act, UNDP team will be following up and work with the World Bank team to support the development of a comprehensive Data Protection Act for Malawi. World Bank is leading this through their supported Digital Malawiproject.</p>				<p>given the level of current data protection provisions in Malawi.</p> <p>NoChange.(1 Oct 2020)</p>
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8	Network connectivity	20 Oct 16	Operational Total: 10	Limited or unstable access to connectivity can undermine data movement and synchronization during continuous registration. P = 5 I = 3	NRB and E-Government will ensure that systems for data transfer have been developed. UNDP will support.	GoM	CTA	1 Oct 2020	Amended. (01 December 2017) No change. (1 Oct 2020)
9	Wet season disrupts operations	20 Oct 16	Environmental Total: 10	Off-schedule wet season denies or disrupts access for citizens to register. P = 2 I = 5	Operational planning and phased approach to registration will take into account wet season.	UNDP/NRB	CTA	20 Oct 16	No Change. (30 Nov)
10	Serviceable transport assets	30 Nov 16	Operational Total: 16	Vehicles received by Government to meet transportation requirements for mass registration are insufficient or not in serviceable order. P = 5 I = 5	Transportation committee was setup by GoM being chaired by OPC to plan and coordinate. Vehicles will be subject to fitness test prior to receipt. In view of declining number of vehicles provided by the GoM for the mass registration exercise, UNDP wrote the Minister of Home Affairs and Internal Security so that appropriate action is taken.	GoM	CTA	19 July 2017	New Risk (30 Nov). P = 4; I = 4. Risk identified from PoC and reflects similar challenges in elections. Upgraded to P=5 from P=4 and I=5 from I=5 (19 July 2017). To be escalated to the Steering Committee.

11	Quality of civic education campaign impacts on numbers of people registering	28 April 2017	Operational Total: 15	P = 3 I = 5	Targets will be established, and implementation will be closely monitored.	UNDP/NRB	CTA	28 April 2017	New Risk (28 April 2017). No change (19 July 2017)
12	An attrition of Registration Officers and Registration Supervisors	22 June 2017	Operational Total: 15	Failure to increase payments to Registration Officers and Registration Supervisors, enough to break-even for meals and accommodation in the field may result in resignations which may comprise the registration process P = 2 I = 5	Government, UNDP and Development Partners will make resources available and agree on payments to Registration Officers and Registration Supervisors that on average, will be enough to break-even for reasonable meals and accommodation as they work in the field.	UNDP/NRB	CTA	19 July 2017	New Risk (19 July 2017)
13	Negative perceptions on national registration process by political players and other stakeholders	22 June 2017	Political Total: 8	Failure to contain negative perceptions on the national registration process may undermine Malawians desire to register P = 2 I = 4	UNDP, NRB/Government will intensify engagement with and civic educating the populace, all political parties, Quasi-religious institutions such as the Public Affairs Committee (PAC) and all other stakeholders.	UNDP/NRB	CTA	19 July 2017	New Risk (19 July 2017)
14	Lack of clarity on communication strategy on ID Card distribution and consistent	02 Oct 2017	Political Total: 12	Lack of proper communication channels with key targeted public messages regarding collection of ID cards may	NRB will use proper communication channels (radio, SMS, USSD system) in phased approach to inform public to collect their ID cards. UNDP will support the initiative. NRB and UNDP	UNDP/NRB	CTA	1 Oct 2020	New Risk (02 Oct 2017) Amended. (01 December 2017) No change.

	engagement with the media create negative political perception and anxiety among citizens and political parties			create confusion on ID distribution resulting in negative perception on NRIS P=3 I=4	will consistently engage the media to update them on the status of ID Card distribution.				(1 Oct 2020)
15	Post-election impasse	03 Sept 2019	Political Total:12 P=3 I=4	Post-election demonstrations may result in destruction of NRB property in registration centers which will in turn affect continuous registration and sustainability of the NRIS.	Government will ensure security of NRB offices and property.	NRB	CTA	1 Oct 2020	New Risk change (03 Sep 2019) No change (1 Oct 2020)
16	Salary and wages for ROs are not consistent with applicable labor standards (SES Standard 3 related to safe and healthy working conditions)	30 Nov 2019	Ops Total:20	1800 registration officers need to be deployed in urban and rural areas in six phases for six months, during the implementation of mass registration. Previous SECU Report of NRIS project identified several findings and recommendations related to wages that will inform project labor management moving forward.	Labour management procedures will be developed for the project that set out the conditions in which project workers will be employed or engaged and managed, in accordance with applicable labour laws, rules and regulations and UNDP's SES. This will include an analysis and clarification of applicable labour requirements, including for wages and salaries. Labour law expert will be hired as part of the project team to ensure labour standards are applied and monitored. Formal engagement and subsequent agreement are being undertaken with the Ministry of Labour on labor-related	NRB and UNDP	CTA/PM	1 Oct 2020	New Risk change (03 Sep 2019) No change (1 Oct 2020)

					<p>concerns and more specifically on the adequate salary determination.</p> <p>Before the deployment of the ROs, a start-up lump sum will be provided (approximately MWK 50,000 for purchasing necessary items in the field).</p> <p>NRIS will design a form and a specific process for requesting compensatory time off</p>				
17	Occupational health and safety and working conditions are not up to relevant labour standards (SES Standard 3)	30 Nov 2019	Ops Total:20	<p>Previous SECU investigation of NRIS project identified several findings and recommendations related to OSH and working conditions that will inform project labour management moving forward.</p> <p>P=3 I=4</p>	<p>Labour management procedures will be developed for the project that set out the conditions in which project workers will be employed or engaged and managed, in accordance with applicable labour laws, rules and regulations and UNDP's SES. This will include an analysis and clarification of applicable labour requirements, including for health and safety and working conditions.</p> <p>A temporary employment contract will be signed by the registration officers with clear clauses about the phased approach operation and the expected challenging rural conditions. The advertisement will be clear on the rural conditions to be expected and</p>	NRB and UNDP	CTA/PM	1 Oct 2020	<p>New Risk change (03 Sep 2019)</p> <p>No change (1 Oct 2020)</p>

					<p>the resources to be provided. This will also be included in the pre-deployment training, with ROs informed ahead of time of what they should expect to bring with them.</p> <p>Considering the high rate of malaria in rural areas, fully enclosed mosquito tents will be provided to ROs. to the extent possible local housing/accommodation would be provided through collaboration with local authorities or village heads and when this isn't feasible tents would be provided?</p> <p>Considering the poor water quality in rural areas and unavailability of mineral water, bleaching powder for filtering the water will be part of the standard backpack.</p> <p>First Aid kits will also be provided in case of emergency.</p>				
18	Registration Officers or and/or citizens' complaints are not heard or resolved properly	30 Nov 2019	Ops Total:20	Enhance grievance redress systems to those potentially impacted though the submission of formal complaints	A temporary employment contract will be signed by the registration officers with clear clauses about the phases approach operation and the expected challenging rural conditions. The advertisement will be clear on the rural conditions to be expected, as will	NRB and UNDP	CTA/PM	1 Oct 2020	<p>New Risk change (03 Sep 2019)</p> <p>No change (1 Oct 2020)</p>

					<p>the pre-deployment training.</p> <p>A formal complaint system will be established which will be part of the pre-deployment briefing, with the following key components:</p> <p>Complaint forms will be provided in the backpack and it will be also available on UNDP, UNICEF and NRB websites.</p> <p>The contract will include a clause on the grievance system and a complaint form will be distributed to ROs for submitting a complaint.</p> <p>Complaints/hotline/call centre will be established to receive and resolve the complaints, including safety concerns.</p> <p>ROs and citizens will be empowered to file and get information about the status of their complaints through mobile based USSD e-system.</p> <p>All complaints will be logged in the complaints database with proper audit trail even those that have been resolved will be retained with complainant's acknowledgment.</p> <p>The details of the grievance mechanism for project workers will be spelled out in the labour management procedures for the project.</p> <p>A workplace grievance mechanism (distinct from the project-level grievance mechanism) is provided for all</p>				
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					<p>project workers to raise labour concerns. The mechanism will be easily accessible to project workers who are to be informed of the grievance mechanism at the time of recruitment and the measures to protect them against any reprisal for its use.</p> <p>The grievance mechanism shall be designed to address workers' concerns promptly, using an understandable, transparent process that provides timely feedback to those concerned in a language they understand, without any retribution, and shall operate in an independent and objective manner. The grievance mechanism may utilize existing grievance mechanisms, providing that they meet the above criteria. Existing grievance mechanisms may be supplemented as needed with project-specific arrangements.</p> <p>The grievance mechanism shall not impede access to other judicial or administrative remedies that might be available under applicable laws, regulations or rules or through existing arbitration procedures, or substitute for grievance mechanisms provided through collective agreements, if applicable. The mechanism ensures workers' rights</p>				
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				P=3 I=4	to be present and to participate directly in the proceedings and to be represented by a trade union, if applicable, or person of their choosing.				
19	Potential cases of sexual harassment	30 Nov 2019	Ops Total:20	Precautionary measures are being implemented to ensure that sexual harassment is avoided. At the same time the cases of sexual harassment should be reported and pursued with zero tolerance as per UN rules. P=3 I=4	Before the deployment to the field, UNDP and UNICEF will hold a prevention of sexual harassment and safeguarding sessions as part of the training program for ROs. Formal engagement and subsequent agreement are being undertaken with the Ministry of Gender on gender -related concerns and more specifically on the team composition.	NRB and UNDP	CTA/PM	1 Oct 2020	New Risk change (03 Sep 2019) No change (1 Oct 2020)
20	Delays in the deployment and retrieval of ROs leading to deployments extending beyond 21 days	18 June 2020	Ops Total:20	The prolonged stay of registration officers in rural areas may affect their living conditions.	Labour management procedures will be developed for the project that set out the conditions in which project workers will be employed or engaged and managed, in accordance with applicable labour laws, rules and regulations and UNDP's SES. This will include an analysis and clarification of applicable labour requirements, including for wages and salaries. Labour law expert will be recruited as part of the project team to ensure labour standards are applied and	NRB and UNDP	CTA/PM	1 Oct 2020	New Risk change (03 Sep 2019) No change (1 Oct 2020)

				<p>P=3 I=4</p> <p>monitored. ROs will be retrieved on completion of the phase (21 days) In order to secure an adequate number of vehicles to transport ROs, 50% of the vehicles will be hired from private contractor so that the project will not rely only on GoM in-kind contribution. The payment of the remuneration will be automatically processed upon completion of 21 days in the field, even in the exceptional cases whereby ROs were not retrieved. A transition fee of MWK 10,000 will be paid upon completion of a phase. 140 newly recruited NRB registration officers will increase the overall effectiveness of the operations.</p>					
21	Safeguarding children during the child registration exercise	18 June 2020	Operational	<p>During the mass registration for birth certificate children might pose a risk from adults and other children</p> <p>P=3 I=4</p>	<p>Safeguarding policies and procedures of UNICEF will be implemented to ensure that every child, regardless of their age, disability, gender reassignment, race, religion or belief, sex, or sexual orientation, has a right to equal protection from harm.</p>	NRB, UNICEF and UNDP	DFID	1 Oct 2020	<p>New Risk change (18 June 2020)</p> <p>No change (1 Oct 2020)</p>

22	Public trust in NRB and database	18 June 2020	Operational	Due to the strong allegations made that minors were being registered most particularly by the Temporary Registration Officers that were carrying out ID Registration during the MEC Voter Registration, the NRB P=3 I=4	NRB will thoroughly check, verify, and properly adjudicate the ID data that was captured during the Voter Registration exercise before being processed further for issuance of ID	NRB	Irish AID	1 Oct 2020	New Risk change (18 June 2020) No change (1 Oct 2020)
23	Availability of finance for the implementation of Mass Child Registration	1 Oct 2020	Financial	Due to delay in the implementation of the child mass registration and use of the fund for other project activates the required funding may be affected P=5 I=5	NRB will ensure that the government funding is released on time as this is contingent to other donors funding.	NRB, UNDP and UNICEF	UNDP	1 Oct 2020	New Risk (1 Oct 2020)

Note: P stands Probability and I stands for Impact

Annex III: Financial Utilization

A. 2020 Quarter Three Expenditure Summary Report:

AWP Variance Analysis Q3				
OUTPUTS NAME	Budget (US Dollar)	Expenditures (US Dollar)	Difference (US Dollar)	Comments on principal reason for Variances
Output 1: Up to 9 million Malawians are registered and issued with a National Identity card in 2017	-	1,604,277	(1,604,277)	Purchase of additional ID cards and plastic pouches
Up to 9 million children are registered and issued with Birth Certificate	1,128,587	976,691	151,895	Activities to be rescheduled because of the pandemic
NRIS inclusive of birth registration is transitioned to a permanent and continuous registration system	68,296	88,970	(20,674)	
Government MDAs and private institutions are assisted to adopt the use of the NRIS (unique ID and the Birth Certificates)	1,000	742	258	
Project is efficiently managed, staffed and coordinated, and is implemented with national ownership	775,777	412,451	363,327	Some recruitments are on standby
Covid 19	-	53,038	(53,038)	NRIS project is supporting MUST university on research against Covid 19(Funded by DFID)
Technical Support for Unforeseen Capacity Gaps (5%)	97,904	-	97,904	
UNDP Procurement Support Office (PSO) (4.5%)	-	-	-	
General Management Service Fees (GMS) (variable)	165,725	2,004	163,721	
TOTAL	2,237,289	3,138,172	(900,883)	