



Project Document:

National Registration and Identification System (NRIS)

MALAWI, 2016 -2023

Project Title: National Registration and Identification System (NRIS)		
Project Number: 00100113		
Implementing Partners: United Nations Development Programme United Nations Children's Fund (UNICEF)		
Start Date: 27 October, 2016	End Date: 31 December, 2023	PAC Date: 20 October, 2016
Brief Description		
<p>Malawi endures a structural development challenge in the absence of a comprehensive and accurate system of national identification, undermining citizens' right to identity. The consequences are multi-sectoral and deprive citizens' access and entitlement to services. Equally, the absence of a centralized and up-to-date national register has led to a fragile capacity for evidence-based planning, beneficiary and service targeting, and accountable administrative systems. 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) entered into force in August 2015 requiring all Malawians 16 years of age and older to be registered in a National Registry and to be issued with an identity card. Additionally, through the Civil Registration and Vital Statistics System (CRVS) Malawian children under 16 years of age, are also required to have compulsory birth registration and issued a birth certificate. Other components of the national registration system include death registration and issuance of death certificate, marriage and divorce registration and certificates. The National Registration Bureau (NRB) Act mandates the National Registration Bureau (NRB) to fulfil these tasks. To support government efforts in improving the national system of registration, the initial results of the Project were to: design, establish and manage the necessary systems, infrastructure and equipment for the National Registration and Identity system, producing biometrically secure Smartcards; supervise the mass national ID registration for all eligible Malawians (an estimated 10 million) within the country between 2017 – 2021; transition the system to a continuous registration model, develop the capacity and systems of NRB to operate then maintain the system; provide an interface to other public and private sector systems that allows 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.</p> <p>Following successful implementation of the first phase of National ID registration with over 10 million people registered and smartcards distributed, the project has been revised to address the gap of child registration and issuance of birth certificates to those that are below 16 years of age. It is envisioned that by 2023, 8.4 million children will be registered and issued with unique national identification (ID) numbers and Birth Certificates.</p>		

<p>Contributing Outcome:</p> <p>Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance.</p> <p>Indicative Output(s):</p> <p>(a) Up to 9 million Malawians registered and issued with a National Identity card in 2017 (b) NRIS inclusive of birth registration is transitioned to a permanent and continuous registration system; (c) Government MDAs and private institutions are assisted to adopt the use of the NRIS (unique ID and the birth certificates); (d) Up to 8.4 million Malawian children are registered with a unique national identification (ID) numbers and are issued a Birth Certificates by 2023 e) Project is efficiently managed, staffed and coordinated, and is implemented with national ownership</p>	NRIS budget from 2016-2023		Total (USD)	
	Total Resources Required		86,899,242	
	DPs	Allocated (hard pipeline)	Committed (soft pipeline)	Total
	Government	20,697,004.95	8,000,000.00	28,697,004.95
	DFID	14,233,732.84		14,233,732.84
	EU	11,466,911.73	3,874,287.16	15,341,198.89
	Ireland	3,968,715.52	1,480,000.00	5,448,715.52
	Norway	4,749,252.27		4,749,252.27
	US	2,000,000.00	500,000.00	2,500,000.00
	UNDP	7,302,989.00		7,302,989.00
	UNICEF	17,241.00		17,241.00
	EAPD			-
	Carry Over from NRIS 2016-21	1,100,000.00		1,100,000.00
Total resources	65,535,847.31	13,854,287.16	79,390,161.47	
Unfunded			7,509,107.77	

Agreed by Signatures:		
Government	UNDP	UNICEF
 Print Name: Hon. Felix Lafiel Mlusu. Minister of Finance	 Print Name: Shigeki Komatsubara Resident Representative	 Print Name: Rudolf Schwenk Country Representative
Date: 5/01/2022	Date: 29/12/2021	Date: 29/12/2021

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I. DEVELOPMENT CHALLENGE

Malawi endures a structural challenge for efficient governance in the absence of an authoritative and comprehensive system of national identification. Malawi ranks 174 from 189 countries in 2020 in the Human Development Index (HDI), and its current progress in development has been limited by the advent of global pandemics such as Covid-19. Inherent to this development challenge is the weak capacity for evidence-based planning, beneficiary targeting and service delivery as well as accountable administrative systems that stem from a lack of individual identity and up-to-date aggregate information about the citizenry. Across a range of fragmented public and private administrative systems, no single system provides secure documented *prima facie* evidence of a citizen's basic information and identity, and their claim to entitlements. Meanwhile, isolated efforts in various arenas to bridge this gap have led to fragmented initiatives that create costly and often unsustainable silos of information, while also imposing institutional and technical obstacles to interlink identity information.

Malawi undertakes a Census every ten years to produce general aggregate information about its population for macro planning purposes. However, the corresponding systems of individual identification that are necessary to support individual targeting, detailed planning, verification of service delivery and accountable administration are often decentralized paper-based systems that are unable to be scaled to a national architecture and interlinked. Nation-wide administrative systems that are operating, such as, health systems encounter significant problems in accuracy and costs for their maintenance, retrieval and use of data. Meanwhile, modern forms of official identification such as passports and driver's licenses exclude the majority of the population, as they are prohibitively expensive and of minimal value for almost 80% of the population that is based in rural communities and are often engaged in subsistence agriculture.

The National Registration Act (2010) specifies that a child's birth should be registered within 6 weeks of delivery and for any 'late registrations' beyond 6 weeks. The birth registration certificate is regarded as a 'breeder document'¹ required for application of National ID Card in various countries. In 2015 the National Registration Bureau (NRB) initiated a universal and compulsory birth and death registration and the issuance of birth and death certificates. In parallel an electronic birth registration system (EBRS) was introduced and deployed across 32 facilities, including all district hospitals and some busy health centres. Since then, approximately 600,000 children have been registered. Despite these efforts, some estimated 8.4 million children under the age of 16 are still not registered in Malawi where approximately 600,000 new babies are born annually. Considering the big gap of unregistered children, NRB reached out to the UNDP Resident Representative and United Nations Resident Coordinator in Malawi in October 2021 requesting financial and technical support to undertake mass child registration to reduce the gap.

In the absence of National ID, the de facto national proof of identity document was the free voter's card that is available to persons 18 years of age or older, shortly before general elections which are held every five years. However, this voter registration system was unable to adequately fulfil the role of a national identity document. The amount of information collected was legally limited to only establish voters' eligibility, registration was voluntary and was therefore not comprehensive. It also excluded eligible registrants between elections; in particular, youths turning 18 years between polls; the quality of the voter card produced was low quality and with a short life span, limited security features that left it vulnerable to forgery. Each registration was undertaken afresh, and a new voter ID number was issued, thereby breaking the continuity of linking an individual to one persistent identity number.

For the public and private sector, the risks of weak identity also translated into constraints on the services they could accountably deliver to the population. This incurred disproportionately high transaction costs to mitigate the risks caused by a weak system for proof of identity. For the Government, this situation

¹ A "breeder document" helps establish a legal identity and facilitates access to other forms of identity, including national ID cards, passports, driver's licenses etc.

created an adverse political economy that offered little relief against allegations of misdirecting resources and high levels of theft and wastage. In the private sector, bank lending rates sat at above 40% mainly driven by the risk premium of bad credit that was generated by the inability to identify and hold individuals to account for repayment. This high cost of credit then curbed the capacity of Small and Medium Enterprises (SMEs) to diversify or expand their services, and narrowed the opportunity for financial inclusion, which was estimated at only 12%.

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

The multi-sectoral effect of not having a unique, permanent and continuous system of National Identification was pervasive and the impact illustrative, which included non-Malawians abusing the mainly free national health care system; concerns with integrity of payroll systems for ghost workers and pensioners, and public sector reform; deterring corruption by linking criminal's assets to the proceeds of crime; the non-repayment of loans in the education sector; the lack of real-time data to assist disaster response management; and the high and recurring costs associated with beneficiary targeting and service delivery under social protection programs. Across this spectrum, the inability of Government to measure, assess and redress these inefficiencies was intrinsically linked to the lack of an individual identity system and a corresponding central national register that would enable evidence-based decision making. The Government had therefore sought to invigorate the mandate of the National Registration Bureau (NRB) to deliver on a promised National Identity and Registration System (NRIS) that would register every Malawian 16 years of age and older in a central national register and to issue them with a national identity card and register children below 16 years of age in the same central repository and issue them with a birth certificate.

The foregoing necessitated the Government of Malawi and its partners to conduct a mass National ID registration exercise in 2017 which resulted in the registration of over 9 million people who are 16 years and above.

I-2 Situation Analysis

A distinguishing feature of Malawi is the lack of accessible, current and accurate information about its citizenry and population including children. Malawi is among the very few countries in the Southern African Development Community (SADC) or Common Market for Southern and Eastern Africa (COMESA) that has recently introduced a functional national registry and identification system. Currently, Malawi is working on developing its civil registration and vital statistics (CRVS) system to comprehensively register births, deaths, and marriages. The partial fulfilment of these two systems (National ID and CRVS, collectively known as a population register), which are mandates of the NRB within the Ministry of Homeland 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, and to foster evidence-based policy formulation and decision-making.

Birth registration is a fundamental right, recognized by article 24, paragraph 2 of the International Covenant on Civil and Political Rights and article 7 of the Convention on the Rights of the Child (CRC). The right to be registered establishes the existence of a person under law and is the precondition for the realization of socioeconomic rights, such as the right to health and the right to education. In Malawi, the National Registration Act (2010) makes birth registration compulsory and universal. Malawian children under 16 years of age, are primarily covered by this compulsory birth registration that commenced in 2015 under NRBs mandate for civil registration and vital statistics (CRVS), which currently captures birth and death occurrences by issuing birth and death certificates.

In 2015, funded by Irish Aid, UNDP technical assistance was provided to NRB to assist in developing a Concept of Operations (ConOps) for establishing a NRIS. The ConOps identified the need to establish critical systems and to conduct a Proof of Concept (PoC) and pilot registration exercises in 2016 that informed the implementation of the mass registration exercise in 2017, before transitioning to a permanent and continuous system from 2018 onward. UNDP technical assistance then assisted the NRB in the development, procurement, and implementation of the PoC. Key developments from that period resulted in:

- a. the National Registration Act (No. 13 of 2010) entered into force as of 01 August 2015 to provide a legal framework for the NRIS;
- b. an internal analysis of the organization of the NRB which led to a proposed expansion of staffing consistent with the required skills and staffing levels to maintain the NRIS after 2017, which was the subject of a functional review by DHRMD;
- c. the Government funded the cost of the PoC exercise, which completed its field work in mid-August 2016 and distributed cards to almost 6,000 registrants;
- d. the specifications of the National Identity Card were in accordance with international standards, as elaborated under the International Civil Aviation Organisation (ICAO) Document 9303, and to adopt a Smartcard solution;
- e. the national register central database and biometric servers were installed and configured at the Government Wide Area Network (GWAN) data center, and a card production center was established at the NRB offices;
- f. extensive consultations were conducted with the Government's Ministries, Departments and Agencies (MDAs) to advocate for a Whole of Government awareness and adoption of the system, eliciting several letters of endorsement;
- g. consultations with the Malawi Posts Corporation were held and an MoU signed for the use of Post Offices as permanent and continuous registration centres from 2018 onwards;
- h. consultations were conducted and MoU signed with the MEC to establish the National ID as the basis for proof of identity in future voter registration activities;
- i. the NRB approved the interlinkage of the electronic Birth Registration System (eBRS) and Death Registration System (eDRS) to the National Registry. This interlinkage will allow for new birth registrations to be automatically recorded in the National ID system as a partial record, and a unique National ID number to be issued for all births, which will also appear on the birth certificate, thereby linking the two systems;
- j. an estimated budget of around US\$80 million for a Project to implement the mass registration exercise and support the transition to an NRB operated continuous system was prepared. Government and Development Partners agreed to fund the Project at 40 and 60 percent respectively via a UNDP Basket Fund mechanism; and
- k. partners agreed that major contracting and procurement to support the mass registration process would be undertaken through the UNDP administered basket fund;
- l. the success of the NRIS project led to thinking among development partners, NRB and other stakeholders to reduce the child registration gap of 8.4 million children since birth registration is a fundamental right, recognized by article 7 of the Convention on the Rights of the Child.

II. STRATEGY

The National Registration and Identification System (NRIS) project contributed to Government's efforts to guarantee the fundamental right to identity, entitlement, and enjoyment of full citizenship in Malawi. The development of the NRIS initiative was consistent with SDG 16 to: "promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels". Specifically, the NRIS addressed SDG Target 16.9 that refers to providing legal identity for all and will also facilitate the goal of achieving comprehensive birth registration by 2030. The NRIS project aligned to the UNDP Strategic Plan (2018–2021) Outcome 2, which placed an emphasis on achieving the following: "Accelerate structural transformations for sustainable development" and in particular output 2.2.1 "Use of digital technologies and big data enabled for improved public services and other government functions". The Project actualised the Right to Identity in partnership with the NRB, ensuring that all Malawians 16 years and older were uniquely registered in a permanent and continuous system that provided proof of their identity, and issued with an identity card that was evidence of that identity. Correspondingly, the system established the management information systems that allowed 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 enabled the strengthening of accountability and verification processes within both the public and private sector domains that enhanced services for Malawi's citizens. The transformative shift toward official identity is depicted in the below figures.

Figure 2 Present Identity Model

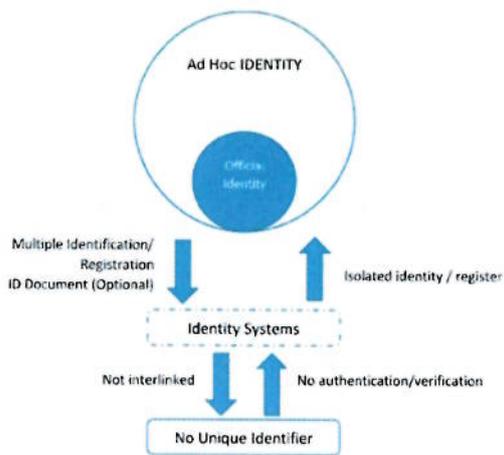
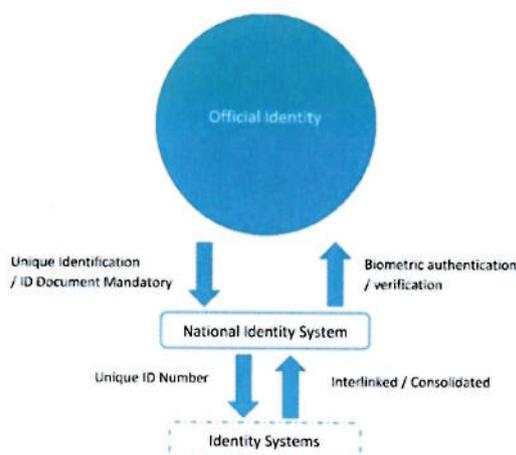


Figure 3 Future Identity Model



The centrality of the ID system to subsequent service delivery across the country and link to political enfranchisement necessitated that all eligible Malawians be registered within a limited period to avoid inequitable access to services and higher operational costs. Conscious of the pressures and sensitivities of general elections in 2019 and 2020 and the schedule for Census in 2018, the window of opportunity to identify and mass register 9 million eligible Malawians within the country was constrained to the calendar year of 2017. After 2017 the system started to transition to a permanent and continuous registration process that allowed Malawians that became eligible (turning 16 years of age) to progressively register and be issued with a national identity card. Additionally, the mandate to register foreigners that resided in Malawi under a few visa 2 categories, was made available from 2020 onward.

² Section 7(b), National Registration Act: those with permanent residence permit, temporary employment permit or a business residence permit are required to be registered and issues with a foreign citizen identity card.

The Project strategy is structured over 2016-2023 to meet benchmarks that would position Malawi to independently operate, maintain, and sustain a comprehensive NRIS by end of 2023. Broadly, the Project will operate in four distinct phases over the period: preparatory phase in 4th Quarter of 2016, mass registration in 2017, and the establishment of a permanent and continuous National ID registration process from 2018 onward, and mass child registration from 2022 that includes a permanent and continuous process. The PoC phase was an opportunity to analyse institutional capacities, develop and trial technology, define processes, and establish key infrastructure. The PoC phase established the NRIS national datacentre facilities in Lilongwe within the GWAN datacentre, as well as a facility with the capacity to personalize cards for up to 500,000 persons per year (the anticipated annual workload for the continuous system from 2018 onward). UNDP also supported the development of pre-production software during this phase, which avoided the risk of vendor-lock with ICT systems and allowed for full ownership of the software to be transferred to the NRB in 2018.

Operational plans and requirements for conducting mass registration in 2017 were continuously refined, while Project staffing and preparatory steps were taken during 4th Quarter of 2016. Large-scale procurement for the mass registration started in 2016, drawing on the expertise of UNDP's Procurement Support Unit (PSU)³ and lessons learned from the PoC. The contracting of suppliers was done through UNDP drawing on funding for the operation via the UNDP administered Basket Fund, using contributions from GoM and Development Partners. Proposed amendments to the National Registration Act and its regulations were drafted and proposed to GoM to bring the legal framework into alignment with the technology being used, and to elaborate measures that aligned access processes with respect for the right to privacy and data protection that is framed under the Electronic Transactions Act of 2018. Interlinked to these activities were draft instruments for inter-institutional collaboration and arrangements around the NRIS that were developed to establish key partnerships, such as, with the Malawi Posts Corporation, the National Initiative for Civic Education (NICE) and Malawi Electoral Commission (MEC).

The mass registration in 2017 was conducted using approximately 2,200 registration teams, each deployed with a Direct Data Entry (DDE) Biometric Registration Kit (BRK) that digitally collected a person's information⁴ and biometric features (all fingerprints, photograph and signature) at the time and place of registration. The mass registration for over 9 million registrants was done over five phases in areas of approximately 2 million registrants each, using approximately 4,500 locations across the country that were usually used for voter registration and polling, that ensured reasonable and equitable access for citizens to the process. For the mass registration, any person turning 16 years of age in 2017, or older, was able to register. (This allowed continuous registration to start nationwide at the start of 2018 with a minimal backlog of registrants.)

A comprehensive public information campaign was designed and implemented that informed the population of the benefits and obligations to register for birth and ID, as well as where, when, and how they would be able to register. The information campaign operated at two levels: the first as a general national awareness and persuasion campaign; and second, as operational information campaigns focused on each of the phase locations, in the weeks preceding and during the mass National ID registration. Procedures established under the PoC already identified a range of documents (to be scanned as part of their record during registration) that registrants needed to prove their identity and citizenship for registration. If, in the case that an individual did not have sufficient documentation, then community witnesses were enabled to endorse a registrant. In such cases the individual was fingerprinted with their endorsement and was subject

³ The UNDP Procurement Support Office located in Copenhagen, Denmark is an internal business unit of UNDP that prequalifies and contracts service providers as Long-Term Agreement holders through competitive international bidding processes to supply goods and services in several specialised areas; including, biometric registration systems.

⁴ The information to be collected is defined in accordance with Section 8 of the National Registration Act.

to criminal proceedings if they were found to have lied. Auditability and verification of registration was an integral aspect of the process to ensure confidence in the integrity of the system.

Using a phased implementation plan, at the end of each phase, the registration data was consolidated and transmitted to the national datacentre where the biometric data was processed and cross-referenced for any duplicates. A provisional list of registrants was displayed back in the registered communities to allow for any challenges or corrections to be made and adjudicated. The mass production of identity cards from each phase was contracted from outside the country, and distribution of cards back to registrants was done either via post offices, registration points or village heads, or a combination of these mechanisms. For the mass registration exercise, registrants were provided with a staggered expiration date for their ID cards, varying from three to ten years. This ensured that the replacement of ID cards did not culminate at the same time and create a major burden on the system in 2027 (ten years after the mass registration). The expiration date on the card, which is in accordance with international standards for photograph identity documents (the same as for Malawi's passports and driver's licenses) also provided "proof of life" verification that registrants had not passed away, and thereby maintained the integrity and accuracy of the overall system.

Notably, the mass National ID registration was anticipated to be an exceptional exercise that is conducted only once, and as such, the capacities of NRB and regular workload processes need to be aligned with the demands and profile of permanent and continuous registration. Accordingly, the NRIS Project assumed direct supervision, management, and implementation of the mass registration exercise in close collaboration with NRB, which will be principally responsible for coordinating in-kind Government support (e.g., security, transportation, use of Government facilities, consultations with local communities and public information) to the operation. Meanwhile NRB has been working to complete its restructuring and expansion of staffing, to enable it to manage and operate the continuous NRIS since 2018.

The third phase commenced in 2018, where NRB took over principal responsibility for the management, coordination, and implementation of the continuous registration system, supported by ongoing international technical assistance from the NRIS Project during the transition to full national ownership. NRB assumed responsibility for procurement and operating costs, such as card consumables, that sustain the continuous registration process. Permanent and continuous registration facilities were established at Malawi's Post Offices and at District Commissioner's Offices, where DDE BRKs were positioned for this purpose. Data is uploaded to the GWAN datacentre for processing. The upload process took a variety of available data transmission methods as dictated by available facilities, but the intention was to progressively migrate to using the fibre optic network system that is being installed across Malawi to GoM offices and at least one post office per District, under the combined efforts of the GoM, World Bank Group (WBG) and Chinese government. Regrettably, the roll out of the fibre optic network stalled and the NRIS project with NRB was obliged to sub-contract out last-mile data connectivity services to a private contractor. NRB processes new registrants and updates transactions (such as a change of residential address) producing new identity cards following biometric cross-referencing against the database, and then distributed back to registrants via the post offices.

In parallel to this transition, the Project assisted other Government MDAs in the implementation of systems that interface with the NRIS. The BRKs are modular kits that contain a variety of devices (e.g. laptop, Smartcard reader, barcode scanner) that can be reconfigured and repurposed. As such, excess BRKs that are not required for NRB to maintain the continuous registration process can be reallocated to other institutions to support the use of the National ID card in service transactions. Illustratively, re-purposed BRKs were made available at each of Malawi's 400 health facilities to work in conjunction with a proposed E-Health Passport. Similarly, 1,499 BRKs were made available to the MEC for several voter registration exercises. Reducing the registration gap for children planned under the NRIS Project for 2022-23 shall utilize newly purchased computer tablets which have been configured and linked with customized software for the specific purpose of registering 8.4 million children.

Broadly, the NRIS and in particular, the National ID card is a "solution platform" that was designed to allow for a range of interoperable solutions to evolve for MDAs and private sector entities to achieve

improved efficiency, accuracy and transparency. The NRIS does not dictate a universal “one-size fits all” approach and allows for a range of different interfaces that can accommodate different levels of investment and focus from partner institutions to implement. Fundamentally, the national identity card offers *prima facie* evidence of the bearer’s identity and details that can be read manually, by barcodes or from the chip. The National Registry is home to a comprehensive set of data and its maintenance allows for data mining to occur, especially to inform on the spatial relationship of population, including gender and age distribution. This provides a near-real time set of data for evidence-based decision making to inform public policy and investments intended to enhance Malawi’s prospects for development. In the same vein, reducing the child registration gap component of the Project will provide each child with a birth registration certificate which is a breeder document for citizen identification.

Building on the experience of the mass National ID registration exercise that took place in 2017, the registration of the expected 8.4 million children can similarly be done through a phased approach, over six phases, using approximately 5,400 data entry operators, 3,431 primary school teachers administering child registration from across 5,000 school locations, across the country ensuring reasonable and equitable access for parents with their children to the process. Notwithstanding this proposed approach, an in-depth analysis of similar child registration processes in the region will be considered to decide the best approach/option that provides value for money, keeping in mind limited resources available due to the negative effects of COVID 19 pandemic that has resulted in reduction of overseas development assistance.

III. RESULTS AND PARTNERSHIPS

III-1. Expected Results

The National Registration and Identification System (NRIS) project is contributing to Government’s efforts to guarantee the fundamental right to identity, entitlement, and enjoyment of full citizenship in Malawi. The development of the NRIS initiative is consistent with SDG 16 to: “promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels”. Specifically, the NRIS addresses SDG Target 16.9 that refers to providing legal identity for all and facilitates the goal of achieving comprehensive birth registration by 2030. The Whole of Government impact of the system offers improvements in planning, service delivery, and the operation of administrative systems supported by a functional NRIS.

The NRIS project is therefore aligned to the UNDP Strategic Plan (2018–2021) Outcome 2, which places an emphasis on achieving the following: “Accelerate structural transformations for sustainable development” and in particular output 2.2.1 “Use of digital technologies and big data enabled for improved public services and other government functions”. Additionally, the next phase of the NRIS project is aligned to UNDP Strategic plan (2022–2015) Outcome 1, “Structural transformation accelerated, particularly green, inclusive, and digital transitions”. Similarly, NRIS project is aligned to UNICEF Malawi’s Country Program 2019–2023 goal to scale up birth registration and which is also a key component of Goal Area 3 of UNICEF’s Global Strategic Plan. The NRIS project is directly contributing to the strengthening of national institutions to effectively discharge their mandate to deliver legal rights and services to the citizenry. The execution of the NRIS promotes national ownership and capacity development; ensures greater strategic coherence across sectors and stronger complementarities with bilateral and multilateral stakeholders; and, ensures compliance with international standards for national IDs that facilitates global and regional cooperation.

The results from Output 1: *over 9 million Malawians were registered for issuance of a National Identity card between 2017-2018*. This addressed the necessary requirements to successfully register the eligible population and issued them with identity cards in the course of mass registration. Interventions included the

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

The results expected from Output 2 (*NRIS is transitioned to a permanent and continuous registration system*) addressed the necessary support to NRB and key partners to sustain the NRIS. Interventions included formulation of NRB regulations and policies, the preparation of offices and data communication facilities, the training of staff recruited by Government, maintenance of public awareness efforts, and the development of NRB Strategic Plan over 2019 to 2020. The expected result was that with ongoing technical assistance and limited financial support from the Project, the NRB will be able to register up to 0.5 million new registrants annually and provide update services to existing registrants at permanent registration sites established at Post Offices and District Commissioners Offices.

The results expected from Output 2 were modified to include mass child registration (*NRIS inclusive of birth registration is transitioned to a permanent and continuous registration system*). In order to achieve this, all the registrars and village heads will be trained in rules and procedures on CRVS. Approximately 600,000 Malawian children were issued with a Birth Certificate in 2021 as part of continuous registration.

The results from Output 3 (*Government MDAs and private institutions are assisted to adopt the use of the NRIS*) are oriented toward facilitating Government's Ministries, Departments and Agencies (MDAs), and other private institutions to adopt and use the NRIS. Policy advisory services, analytical support and inter-institutional agreements are foreseen to assist MDAs and private institutions in developing interfaces for the use of the NRIS. This approach will assist MDAs and private institutions to assess the benefits and most suitable method for their specific needs. The expected result is that the whole-of-Government adoption of the system will be facilitated through this Output and allow for expert advice and custom solutions to be developed for MDAs and private institutions where necessary.

The results from Output 3 have been modified as "*Government MDAs and private institutions are assisted to adopt the use of the NRIS (unique ID and the Birth Certificates)*". Government Ministries, Departments, Agencies (MDAs) and private institutions such as Ministry of Education, Ministry of Health etc, will be assisted to integrate national ID number on birth certificates within their systems (schools, scholarship, student loan, minor bank account, health system vaccination) to improve service delivery and ensure child protection.

The original results from Output 4 now read as Output 5 in the project extension (*Project is efficiently managed, staffed and coordinated, and is implemented with national ownership*) to ensure that the Project progress is monitored and guided by an appropriate Governance structure (refer section on Project Management below) and engenders national ownership, that the Project is properly managed, staffed and capacitated to fulfil the Outputs, and that it is evaluated and audited in accordance with UNDP's rules and regulations.

A new output read as Output 4 has been added to include mass registration of children. The results expected from this new output (Up to 8.4 million Malawian children are registered with unique national identification (ID) numbers and issued with Birth Certificates by 2023) addresses the necessary requirements are met to successfully register the children and issue them birth certificate. It requires the software development of additional modules such as birth registration, death registration, marriage and divorce registration and linking the two databases (National ID, eDRS, eBRS), addresses the necessary ICT systems.

to operate the National Register, and the operational requirements for the conduct of six phases of field work, including the refurbishment and deployment of Biometrics Registration Kits (BRKs) already used during mass registration for national ID; recruitment, training and deployment of 5,400 data entry operators 3,400 teachers; implementation of a national awareness campaign and phase-wise information sensitization to the parents of the children; the consolidation and processing of data; and, the mass production of birth certificates and their distribution. The overall result was that by the end of 2020, up to 8.4 million Malawians children would be registered in the central National Registry database. The original Project Document (extended in 2019) estimated 4 million Malawians children would be in possession of a birth certificate by 2021.

However, due to the onset of Covid-19 in 2020 and consequential restrictions in movement for project staff, NRB, parents and children themselves seeking to register, this child registration target could not be met. Additional delays in mass child registration were caused by failure of the Malawi Government to disburse USD 8,000,000 to the project, and subsequent funding withdraw by FCDO which meant the NRIS project was obliged to scale back its operations to only the bare minimum to reduce costs. The funding constraints were a result of pressure exerted on government's resources to respond to the COVID-19 pandemic.

At the 9th Steering Committee held in October 2021 Development Partners and government recommitted their intentions to close the gap of unregistered under 16-year-old children and aim for full registration in the next phase of the NRIS Project between 2022-2023. The Steering Committee recognized the delays that Covid-19 caused in the implementation of the mass child registration programme and approved a further project extension to achieve this important goal.

The results from Output 4 now read: *Up to 8.4 million Malawian children are registered with unique national identification (ID) numbers and issued with Birth Certificates by 2023.*

III-2. Resources Required

Resources to directly support the NRIS Project are expected to be consolidated in a pooled funding (UNDP-managed Basket Fund) to ensure that the required funds are unified and available to support the operation's cash flow needs. A breakdown of the resources is detailed in Section VII, below. The figures presented do not include corresponding GoM increases in the NRB's ORT costs necessary to support the restructuring of the institution and continuous registration. Similarly, the budget does not take into account in-kind Government operational and support services, such as, to provide transportation assets, security and some public outreach activities, nor the costs of common service facilities, like the Government Wide Access Network (GWAN) fibre optic network or national datacentre.

The human resources required to meet the expected results include the recruitment of international and local experts under the Project to address unique areas arising from Output 1, Output 2, and Output 4 respectively. The project staff will need to work closely with NRB counterparts throughout and with other Government partners, such as, GWAN, MPC, MEC, Ministry of Education, Ministry of Health and Population (MoHP) and other national partners. The NRB staffing structure was also expanded in the course of 2021 to meet the requirements of Output 2. To address Output 3, Malawi's MDAs needed to make key staff available for consultations with the NRB and Project staff to develop specifications and plans for the process. To ensure an effective Governance structure, representatives from Government and donors will need to commit to meetings to provide the necessary level of monitoring, guidance and quality assurance.

The financial resources necessary to support the Project are estimated at US\$ 86,899,242. These funds are to be in a pooled funding modality (UNDP Basket Fund) with contributions from the Government of Malawi and Development Partners. The large-scale nature of the operation and limited period in which it will be undertaken requires that commitments be met on schedule. In particular, the completion of the mass child registration programme will depend on the receipt of contribution commitments from Development Partners and government before the process is set in motion.

Therefore, the workplan for the extended NRIS Project from 2022-2023 will feature low cost, high impact activities e.g. those in Outputs 2 and 3, in the first year of 2022. This allows time for additional donors to come on board with their commitments into the NRIS basket fund to support the more cost intensive mass child registration programme (Output 4). This output is phased to start in the second year (2023) of the NRIS Project extension.

The GoM and development partners previously pledged additional financial resources amounting to US \$ 18,800,000 broken down as follows for the mass registration of children: GoM US\$ 8 million, DFID US\$ 6.3 million, EU US\$ 2 million, UNDP US\$ 1.5 million and Carry Over from NRIS 2016-19 of US \$ 1 million. Yet in 2020-2021 most of these pledges did not result in actual funds being transferred to the Project which meant the NRIS Project was unable to consider initiating mass child registration without the required cashflow to back it up. The fragility of funding in the current financial climate was taken as a lesson-learned and therefore the phasing of mass child registration in this new phase of the project is largely dependent on the Project actually receiving the cash in the basket fund. Only then can the NRIS Project commit to implementing mass child registration as described in Output 4.

III-3. Partnerships

The NRIS Project has been working in close collaboration with NRB and engages with other Governmental and non-governmental stakeholders to ensure the alignment of the NRIS with other evolving infrastructure and systems. At the outset, the Project has been working closely with e-Government that administers the Government Wide Access Network (GWAN) national datacentre and provides related staff that maintain the service. As the GWAN sits at the nexus of the fibre optic network being deployed across Malawi to 24 of its 28 districts, in collaboration with the Government of China and World Bank, this initiative engaged other services providers for data communications, but critically, GWAN services will be utilized for the operation of the continuous registration from 2018 onward. However, since 2018 neither the World Bank or China have progressed with the roll out of GWAN connectivity which means the NRIS Project and NRB must contract out connectivity services to a private company. The Project engaged the World Bank and Malawi Posts Corporation on their development of post offices toward becoming One Stop Service Centres for Citizen-to-Government transactions. The Project continues to work closely across Malawi's MDAs to assist in the development of systems to make use of the cards and National Registry, in alignment with Output 3.

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

A joint project proposal on reducing the children registration gap has been prepared by UNDP, UNICEF and NRB. The division of labour in terms of outputs is as follows.

Output	Output description	Responsibility
Output 1:	Up to 9 million Malawians are registered for issuance of a National Identity card in 2017.	UNDP
Output 2:	NRIS inclusive of birth registration is transitioned to a permanent and continuous registration system.	UNICEF/UNDP

Output 3:	Government MDAs and private institutions are assisted to adopt the use of the NRIS (unique ID and the Birth Certificates).	UNICEF/UNDP
Output 4	Up to 8.4 million Malawian children are registered with unique national identification (ID) numbers and issued with Birth Certificates by 2023.	UNDP/UNICEF
Output 5	Project is efficiently managed, staffed and coordinated, and is implemented with national ownership.	UNDP & UNICEF

III-4. Risks and Assumptions

The scope of the Project necessitates the identification of several key assumptions that inform the Project and expected results, including:

1. The full funding commitment will be made prior to the commencement of the operation and contribution schedules met on time, to ensure that the operation is not disrupted or abandoned due to financial shortfalls. Funds will be committed and deposited on schedule into a pooled funding mechanism (UNDP Basket Fund) that includes all Government and Development Partners contributions. Exchange rate fluctuations against the US dollar are anticipated and will be mitigated by provisions within the respective Contribution Agreements.
2. Government will fast track necessary legislative and regulatory amendments to align the law and regulations with the technology being employed, and to ensure adequate data protection provisions are in place to respect a citizen's right to privacy and data protection. If these legal amendments are delayed, NRB regulations and administrative procedures will be implemented to provide a high level of individual auditability and accountability for access and release of information.
3. In anticipation of strengthening the National ID ecosystem, legislation will be amended to require all Government MDAs to include the unique National ID number into their collection of data procedures to prove individual identity in Citizen-to-Government transactions. Similarly, that banking and telecommunication sectors have incorporated the unique ID number in their administrative systems.
Projected population figures provided by NRB of up to 8.4 million eligible child registrants in 2019 are reasonably accurate, and that the estimated number of Malawians annually turning 16 years of age is approximately 500,000 per year and same number of children required to be registered annually in the continuous registration beyond 2022. If these estimates prove significantly incorrect during preliminary phases of mass child registration or during the first year of continuous registration, amendments to the budget will be proposed to the Steering Committee to ensure sufficient materials are available to include all eligible registrants.
4. That the GWAN fiber optic network will be successfully deployed and maintained in all the 28 Districts in Malawi. Progress on implementing this system has been delayed, so the NRB will need to utilize alternative data transmission systems, such as GSM, or physical delivery of removable drives for the movement of data.
5. That the full revised Personnel Emolument (PE) and Operational Recurring Transaction (ORT) costs for the NRB will be allocated and released on schedule, and that the NRB restructuring, and staffing was reviewed in 2020. The revised staffing levels were not met on schedule, so interim solutions were needed by NRB, such as, seconding personnel and using the services of interns. However, this incurred a loss of investment in training of existing staff and will be addressed to the Steering Committee for necessary consideration.
6. That all GoM in-kind contribution services and assets, such as, security, warehousing, vehicles and common services be allocated and released on schedule to support the operational timelines of NRIS and Child Registration Project as well. The failure of in-kind contributions provided by GoM to support the necessary operational goals may delay or derail the process, or incur significantly higher costs to contract private service providers. If challenges are met the matter will be referred to the Steering Committee for its consideration.

7. At present there are three systems operating, one for National ID registration, one for Deaths and another for Birth Registrations. All 3 systems (national ID and CRVS) need to be integrated and their databases merged including other components like marriage and divorce.
8. Labour standards and working conditions are also a critical risk factor for the project given that the project will involve the employment of teachers and data entry operators. Written labour management procedures will be established to set out the conditions in which Data Entry Operators and Teachers will be employed, engaged and managed, in accordance with applicable labour laws, rules and regulations including UNDP's Social and Environmental Standards. A grievance mechanism will also be made available for all project workers.

As part of the UNDP preparatory assistance to NRB, consultations were conducted with a range of national and international stakeholders to identify relevant strategic risks to the success of the NRIS. A Risk Score was calculated based on a maximum of 5 points each being allocated to the impact of a risk, and the probability of its occurrence. The averaged responses were then multiplied together to reach a maximum risk score of 25. The resulting risk log is attached in Annex 3. In the course of the Project, through the relevant committees the risk log shall be updated to include risks associated with the reducing child registration gap component. The project was also screened against UNDP's Social and Environmental Standards and categorized as High Risk, requiring further risk analysis and management measures to be in place. This will be done through the elaboration of labor management procedures for the project.

III-5. Stakeholder Engagement

Output 1 and 2 of the Project log frame dedicated activities toward engaging the populace in awareness of the NRIS throughout mass National ID registration and the first year of continuous registration in 2018. The main demographic bloc to be targeted were Malawians 15 years of age and above. Targeted operational information campaigns were directed toward residents within the geographical catchment area of each phase. For the general campaign as well as the phase-driven campaigns, the demographic were sectored and messages targeted (both in content and use of media channel) to account for variations in rural-urban context, gender, age, disability, literacy-levels and dialectic variation. Eligible foreigners, who needed to register were also the target of key messages on inclusion in 2018, while ineligible foreigners were also the target of messages to deter any accidental or fraudulent attempts to register. In addition, the reducing the child registration gap component of the Project will employ both general and targeted operational information campaigns in order to register all the 8.4 million children.

Also, as identified under partnerships, key groups will be identified to support awareness and acceptance of the registration process.

Stakeholders will have access to relevant project information in order to understand potential project-related opportunities and risks and to engage in project design and implementation.

A project grievance mechanism is established through which affected parties, including project labour, can resolve issues in an efficient, unbiased, transparent, timely and cost-effective manner. In addition to the project-level and national grievance redress mechanisms, complainants have the option to access UNDP's Accountability Mechanism (www.undp.org/secu-srm), with both compliance and grievance functions. Information about grievance redress mechanisms and UNDP's Accountability Mechanism and how to make a complaint and/or grievance will be communicated during the stakeholder engagement process and placed at prominent places for the information of the key stakeholders, including project labour.

III-6. South-South and Triangular Cooperation

In the context of South-South cooperation, Malawi is one of the last countries in the region to introduce a NRIS. Countries like Rwanda and Botswana are advanced in the management and evolution of their systems and can afford opportunities for bilateral information sharing and advice, where Malawi can draw from the lessons achieved. Similarly, Nigeria and Kenya have implemented biometric registration systems into the administration of their civil service bureaucracies to address ghost workers that may offer key insights for Malawi to make similar progress. Also, as noted above, the Government of China is engaged with Malawi in the rollout of sections of the nation-wide fibre optic network. Opportunities may therefore exist for future triangular cooperation and coordination between GoM, Government of China and UNDP to leverage this system towards greater connectivity down to the Post Office level, which would strengthen the reach and capacity of data transmission facilities within the country.

Finally, while trade links per se are not a regular aspect of South-South cooperation, the prospect of introducing an ICAO compliant identity card for Malawians holds the potential to reduce the barriers for regional trade. Successive Malawian administrations have highlighted the need to improve regional trade as a means of economic growth. As has occurred elsewhere in regional economic blocs, if a suitably secure and credible identity document is available and mutually recognized as authoritative it can facilitate trade deals. Equally, the National ID card offers Malawi the opportunity of participating in the African Union's ambition toward a common passport. Accordingly, the NRIS "future proofs" the capacity of Malawi to engage with its neighbouring countries to lower trade and freedom of movement barriers, if the opportunity and collective will arise.

III-7. Knowledge Products

The Project results necessitated the development of custom software systems (databases), training manuals, legal and policy frameworks that serve as knowledge products of potential use in other countries initiating or considering similar processes. Equally, in terms of analysis and research, pre-benchmarks on macro-economic and social indicators also enables a case study on the impact of fulfilling the Right to Identity. Furthermore, the successful implementation of the reducing the child registration gap component of the Project will provide lessons for other countries considering a similar process.

III-8. Sustainability and Scaling

The operational sustainability of the system is integral to the design and goal of the project. Where possible and as exemplified by the use of the existing national datacentre to house the National Registry and anticipated use of the fibre optic network, the Project will draw on other national initiatives to strengthen national ownership and sustainability. The Project will develop key elements of the biometric and database software that can be transferred to GoM and thereby avoid vendor-lock problems that have been encountered elsewhere and will allow the GoM to avoid a service-provider monopoly for maintaining the technology. Equally, the decision to establish a Microsoft-based platform for the National Registry database ensures that maintenance of the system will benefit from a large and competitive pool of certified software engineers, support services and well established benchmarked. While there is often an attraction to the concept of "Open-Source Software" due to perceived savings, in reality, the total cost of operating and maintaining these systems are often problematic, where the hidden costs of recruiting suitably expert staff are high, training and qualifications are difficult to benchmark, and ultimately, software updates are difficult to verify as secure, as they are often authored by unknown third parties.

To promote the goal of universal Malawian registration and the issuance of a National ID card at 16 years of age and above, a citizen's first card is to be issued free of charge, in consideration of the legal obligation to register. However, subsequent replacement cards are subject to a fee to ensure that the cost of the card is met. Financially, the NRIS platform offers a range of revenue generating possibilities to sustain the system, such as, fee-based transactions with both public and private institutional users. Illustratively, the pervasiveness of the National ID card enables business models using high volume-low cost profiles that

have been unachievable in the past due to the high-level of financial exclusion. Likewise, the broad utility and use case scenarios for the NRIS has underpinned the "Whole of Government" approach and key areas of private sector adoption. Accordingly, the evolution of the NRIS is achieving a sustainable national scalability. As in the mass National ID registration in 2017, the birth certificates from the mass child registration of reducing the child registration gap component of the Project will be issued free of charge and only subsequent replacements will be subject to a fee to ensure that the cost of producing a birth certificate is met.

IV. PROJECT MANAGEMENT

IV-1 Cost Efficiency and Effectiveness

In the design of the mass national ID registration operation, analysis was conducted to ensure that key decisions were designed for cost-effectiveness and sustainability of the system. For example, the decision to outsource card production for 9 million in 2017 was based on the assessment that it would require 147 card printer machines to meet the compressed timeframes and operational requirements, while only ten card printers are required to produce the annual workload. The possibility of leasing rather than purchasing BRKs for the mass registration was also assessed, given the projected need for 2,200 in 2017, but a NRB requirement for a maximum of 1,000 from 2018 onward. The exploration of leasing with potential vendors indicated that while leasing arrangements might be possible, the overall cost benefit analysis weighted heavily towards purchasing the machines, and as indicated above, reconfiguring excess units to facilitate the use of the National ID card among MDAs, offered a more sustainable and value for money solution. Illustratively, the electoral commission will be able to use reconfigured equipment from the BRKs to conduct voluntary voter registration, rather than having to make large investments in the election budget.

The production of cards and the biometric de-duplication process has been fully centralised drawing on the lessons learnt from challenges faced by Malawi's passport system. Centralising the system is key for ensuring security, but also reduces the costs and complexity of inventory management and maintenance cycles. As well, the National ID card "blank" (referring to the base card upon which personalised information is added) will be manufactured with several security and background features already built-in. This ensures a professional and durable card, but importantly, significantly reduces the cost of equipment and amount of consumables necessary to produce a registrant's final card. Similarly, the decision as to whether the National ID card would be a Smartcard, or a simpler design was the source of extensive cost-function analysis and discussion. Ultimately, Government's ambition toward adopting the Smartcard solution is aligned with international experience, where many systems that had initially adopted non-Smartcard solutions have since transitioned to the Smartcard design to leverage its functionality. In Malawi, addressing immediate priorities to enable secure biometric transactions without internet connectivity will be met by a biometric "Match on Card" feature.

The Smartcard design "future proofs" the system to enable other functions to be added to the card in the future, avoiding medium-term reengineering of the card design and duplicate efforts, and ensuring that the card's functionality can be scaled upward. UNDP will retain ownership of all intellectual property produced with Project resources, except where explicitly stated in officially signed asset transfer or contractual documents. This is in the interest of ensuring that such intellectual property can be used in the public domain where so demanded. In the case of software developed by UNDP that is essential to the operation of the NRIS, the source code shall be transferred without limitation or warranty to the Government of Malawi. Likewise, the source code of additional developed modules such as birth, adoption, death, marriage and divorce registration will be transferred without limitation or warranty to the Government of Malawi.

Reducing the child registration gap component of the project will be implemented in a cost-efficient and effective way starting from planning to completion of the exercise. This will include bulk purchasing of

blank birth certificates; utilization of existing BRKs; purchasing new computer tablets and designing software which is fit for purpose.

IV-2 Project Management

Project technical staff will be based at the NRB Headquarters (HQ) at Capital Hill, Lilongwe with field monitoring staff also located in the Northern and Southern Regions. Technical staff of the Project will be able to work closely with their NRB counterparts through co-location, with several Project positions also being required to conduct extended deployment periods in NRB District offices as the operation progresses. However, given current office size constraints at NRB HQ and anticipated staffing increases in the course of 2017-2023, a separate Project Office was necessary to temporarily house Project and NRB staff. Specialized assistance for large scale international procurement drew on the services of UNDP's Procurement Support Unit (PSU) based in Copenhagen. The services of UNDP's Procurement Support Unit are provided at 4.5% of the value of contracts administered through their office. The staffing table for the Project is attached.

The National ID Project will be led by a Project Manager, reporting directly to the UNDP Resident Representative, and liaising closely with the Deputy Resident Representatives of Programmes and Operations. Coordination and liaison with interlinking projects within the UN family, was made through the Resident Coordinator's Office. The project has had regular coordinated bi-monthly Technical Working Group meetings. At the UNDP Country Office project level, the Project Manager liaises closely with the DRR (P&O) on coordinating information sharing and cross-over inputs between UNDP projects. Independent evaluations and audits of the Project are administered through the DRR, who also ensures the provision of UNDP's global and common services which are paid through Direct Project Costs (DPC). The costs for the services provided by UNDP are divided into two categories: GMS (General Management Services) and DPC (Direct Project Costs)⁵. As discussed, and decided by the Steering Committee of UNDP, the GMS includes the overhead and back-stopping by UNDP offices in Lilongwe and the support of the Headquarters in New York.

Thus the amended NRIS project in 2019 was led by the Project Manager effective January 2020. The previous role of CTA was transferred to the Project Manager (PM). At the higher project level, the PM liaises closely with the Deputy Resident Representative (DRR) (UNICEF) on coordinating information sharing and cross-over inputs between UNDP & UNICEF engagement on this project. Independent evaluations and audits of the Project are administered through the UNDP and UNICEF (Deputy Resident Representative (DRR) (Operations), who also ensure the provision of UNDP and UNICEF global and common services that will be paid through Direct Project Costs (DPC).

The Project utilises two implementation modalities, the component under the UNDP-managed basket fund uses the Direct Implementation Modality (DIM). This modality requires that all activities of the Project be directly implemented by the Project in accordance with UNDP's relevant rules, regulations and procedures. As detailed below under the Governance and Management Arrangements, the Steering Committee provides strategic guidance and oversight to the Project, with quality assurance is provided by the Technical Committee. The composition of these committees, including Government, UNICEF, Development Partners and other stakeholders as identified, ensures that the Project is aligned and sensitive to national priorities, including child protection. The PM is responsible for implementation of all activities established under the Project and for day-to-day management and decision making, as well as ensuring that the programme produces the outputs and results specified in the programme document. Although the

⁵ According to UNDP Rules and Regulations, Direct Project Costs (DPC) are provided mostly by Country Offices (COs) in the implementation of Regular and Other Resource-funded programmes and projects (i.e. costs directly related to the delivery of programmes), and include: (1) Payments, disbursements and other financial transactions; (2) Recruitment of staff, project personnel, and consultants; (3) Procurement of services and equipment, and disposal/sale of equipment (3) Organization of training activities, conferences, and workshops, including fellowships (4) Travel authorizations, visa requests, ticketing, travel arrangements and ICT commons services; and, (5) Shipment, custom clearance, vehicle registration and accreditation.

PM is responsible for the overall programme, given the role of other offices in the implementation of various components, he/she concentrates daily on providing core assistance to NRB. Furthermore, one of the first tasks of the Project Manager to delineate, in a participative and inclusive manner, the programme into more specific activities, including the elaboration of a detailed Monitoring and Evaluation Plan.

Where possible, a common logo of all development partners for marketing and branding is employed. Subject to the specific Contribution Agreements, a common logo that emphasizes the NRB's identity with less prominent display of the logos of contributing DPs will be used. The purpose of this approach is to emphasize the symbolism that the NRB is the principal party responsible for the NRIS and to enhance their institutional image, while still recognizing the contributions of DPs. In public statements or press releases from the Project, donors are recognized and acknowledged as funding the Project.

V. RESULTS FRAMEWORK

<p>Outcome Goal: The establishment of a permanent and continuous national registration and identification system in Malawi.</p>
<p>Project title and Atlas Project Number: National Registration and Identification System (NRIS). Project Number: 00100113</p>
<p>Outcome Indicators:</p> <ul style="list-style-type: none"> • Number of MDAs and private institutions using NRIS for administrative or operational systems (Baseline 2016): 0; Target (2023): >25; Source: Official records) • Percentage of eligible resident Malawians registered and issued with an identity card (Baseline 2016: 0; Target (2023): >95%; Source: National Register, NSO) • Assessed capacity of NRB HQ (including District Registration Offices and Post Offices) to operate and maintain the NRIS (Baseline 2016): None; Target (2023): Good capacity; Source: Project Evaluation Report) • Percentage of children aged 16 years and below registered and issued with a unique birth certificate (Baseline 2019: <5%; Target (2023): >90%; Source: National Register, NSO) • A functional and continuous health facility-based and community-based birth registration system (Baseline 2019: Sub optimal/inefficient; Target (2023): Optimal/efficient; Source: NRB)
<p>UNDP Strategic Plan (2018-2021) Outcome 2, which places an emphasis on achieving the following: "Accelerate structural transformations for sustainable development" and in particular output 2.2.1. "Use of digital technologies and big data enabled for improved public services and other government functions"</p>
<p>Next phase aligned to new UNDP Strategic plan (2022-2015) Outcome 1, "Structural transformation accelerated, particularly green, inclusive, and digital transitions".</p> <p>UNICEF Malawi's Country Program 2019-2023: The goal is to scale up birth registration</p>

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		Achievements						TARGETS		Data Collection Methods and Risks	
			Value	Year	2017	2018	2019	2020	2021	2022	2023			
Output 1: Up to 9 million Malawians are registered for issuance of a National Identity card in 2017	1.1 Number of Malawians registered in the National Register as part of mass registration, disaggregated by gender.	National Registry	0	2016	More than 9 million									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	More than 9 million							Data extraction.
	1.3 Proposed amendment of National Registration Act submitted to Ministry of Justice.	Public Record	0	2016	0	0	0	0	0	0	1			Public Gazette
	1.4 Number of civic information campaigns NRB supported to deliver, which target young people and marginalised	Project records	0	2016			5	10					10	

Certificates).	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	15	>15	>20	>25	Official requests
	3.2 Number of Government Ministries, Departments, Agencies (MDAs) and private institutions using Birth Certificate	NRB records	0	2019	0	0	0	0	0	0	>2	Official requests
Output 4: Up to 8.4 million Malawian children are registered with unique national identification (ID) numbers and issued with Birth Certificates by 2023	4.1 Number of Malawian Children registered as part of mass registration, disaggregated by gender.	CRVS System	600,000	2019	0	0	0	0	0	0	8.4 million	CRVS system
	4.2 Number of Malawians issued with a Birth Certificate as part of mass	NRB Records	300,000	2019	0	0	0	0	0	0	8.4 million	CRVS System

VI. MONITORING AND EVALUATION

In accordance with UN programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans. A detailed and progressive monitoring and evaluation plan will be drafted by the Project M&E and Reporting Officer.

Table 1. Monitoring and Evaluation

Monitoring Activity	Purpose	Frequency	Expected Action
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator, as developed by the M&E officer	Slower than expected progress will be addressed by project management.
Monitor and Manage Risk.	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Monthly, through Technical Committee	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken. Issues may be escalated from the Technical Committee to the Steering Committee.
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	Quarterly, through Steering Committee	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the	Annually, and at the end of the project (final report)	

Monitoring Activity	Purpose	Frequency	Expected Action
<p>Project Review (Project Board)</p>	<p>results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period. The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. Mid-term and in the project's final year, the Project Board shall hold a review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.</p>	<p>Quarterly through Steering Committee meetings.</p>	<p>Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.</p>
<p>Project Evaluation</p>	<p>A mid-term evaluation and a final project evaluation will be conducted to assess the achievements of the Project against expected outputs. The mid-term evaluation shall guide the realignment of project strategies to maximize results and output. This shall be carried out in 2021.</p>	<p>Mid-term and Final Evaluation.</p>	<p>The final evaluation will take stock of the Project and assess the state of the NRB to maintain the NRIS. Mid-term evaluation was conducted in 2021 and end of term evaluation shall be conducted in the last quarter of 2021.</p>

VII. MULTI-YEAR WORKPLAN

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Budget by year							2023	PARTY	PLANNED BUDGET		
		2016	2017	2018	2019	2020	2021	2022			Funding Source	Budget Description	Total Amount
Output 1: Up to 9 million Malawians are registered for issuance of a National Identity card in 2017.	1.1 Activity: Central database software and registration software developed, tested and installed.	0	421,543	70,636	115,000	102,080	15,074	-	0	UNDP	Basket Fund	Existing capacity	724,332
	1.2 Activity: At least 2,000 Biometric registration kits (BRKs) are procured and deployed.	0	7,744,763	268,819	0	389,704	0	-	0	UNDP	Basket Fund	Procurement	8,403,286
	1.3 Activity: National Registration legal framework is reviewed, and necessary amendments proposed to Ministry of Justice.	0	1,787	0	0	0	0	-	0	UNDP	Basket Fund	Meetings/ Services/ Printings	1,787
	1.4 Activity: inclusive national awareness campaign is conducted on NRIS.	0	6,204	0	0	0	0	-	0	UNDP/N RB	Basket Fund	Procurement /Services	6,204
	1.5 Activity: operational information campaigns are	0	512,363	36,720	40,000	19,115	2,252	-	0	UNDP/N RB	Basket Fund	Procurement / Services	610,450

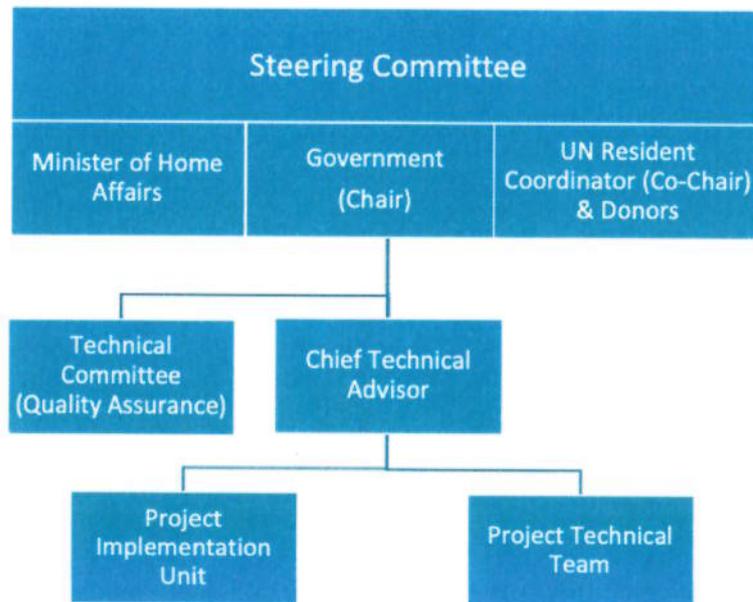
	4.11 Activity: Registration data is consolidated at HQ and de-duplication conducted by phase at the HQ	0	0	0	0	0	0	0	0	0	0	30,000.00	30,000	UNDP	Basket Fund	Evaluation	60,000	
	4.12 Activity: Up to 9 million Birth Certificates are produced, personalized and distributed to Children	0	0	0	0	0	0	0	0	0	0	2,520,000.00	7,020,000	UNDP	Basket Fund	Evaluation	9,540,000	
	Monitoring	0	0	0	0	0	0	0	0	0	0	20,000.00	30,098			Existing capacity	50,098	
	Sub-Total Output 4	0	0	0	0	0	0	0	0	0	1,726,245	2,649,160	7,430,098				12,860,691	
5: Output Project efficiently managed, staffed and coordinated, and implemented with national ownership	5.1 Activity: Project staffed, equipped and operational.	73,058	3,070,313	2,517,882	1,795,330	3,197,536	1,450,080	847,082.22	1,585,840	UNDP	Basket Fund	14,537,121				Staffing/ Travel/ Direct Costs		
	5.2 Activity: Regular Steering Committee meetings conducted.	0	0	0	0	0	0	10,000.00	10,000	UNDP	Basket Fund	20,000.00						
	5.3 Activity: Regular Technical Committee and Consultative meetings held.	0	28,929	1,458	0	25,000	28,000	5,000.00	10,000	UNDP	Basket Fund	98,387				Meetings/ Services		
	5.4 Activity: M&E plan is developed and implemented.	0	0	0	26,990	32,800	32,800	0	0			Basket Fund	92,590					
	5.5 Activity: Project external audits are conducted.	0	0	0	50,000	0	25,000	26,000.00	85,000	UNDP			186,000.00				Audit	
	5.6 Activity: Project Final Evaluation is conducted.	0	0	0	50,000	0	0	0	72,000	UNDP			122,000				Evaluation	

		73,058	3,099,242	2,519,340	1,922,320	3,255,336	1,535,880	888,082.22	1,762,840				15,056,098
	Sub-Total Output 5												
	Procurement Support Office	260,894	427,454	89,818	107,812	269,548	242,961	198,723.31	286,224	UNDP	Basket Fund	Cost recovery fees	1,883,434
	General Management Service Fees	0	1,528,144	859,060	645,773	647,813	583,917	477,598.35	687,891	UNDP	Basket Fund	Overhead	5,430,196
	Grand Total	333,952	30,489,659	15,641,665	8,795,524	9,575,494	4,306,617	7,241,431	10,514,900				86,899,242

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

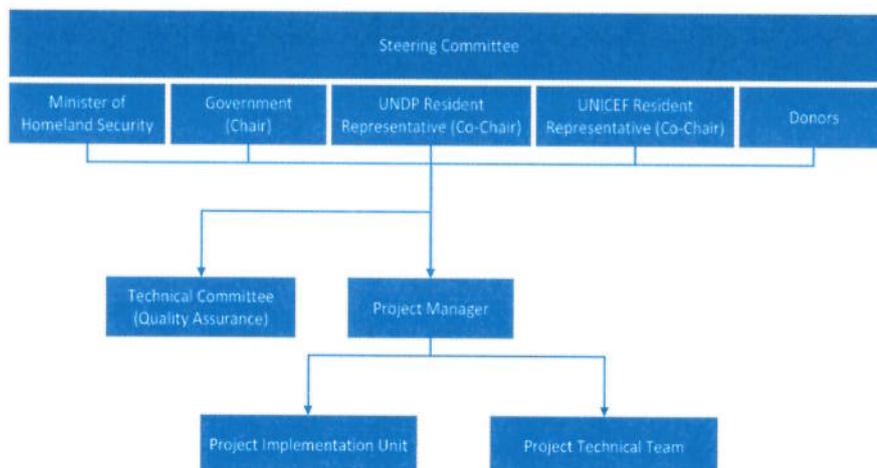
The key beneficiary for the Project is the Ministry of Homeland Security, while stakeholders include the Government of Malawi, Development Partners (DPs), UNDP and UNICEF. The Project governance and management arrangements are depicted in Figure 4 and 5 below. The financial contributions of the GoM, DPs and UNDP are consolidated, coordinated and administered by UNDP in a pooled Fund, which is the subject of regular financial reporting throughout the duration of the Project. The respective responsibilities of the key players are set out below:

Figure 4. Project Governance Structure-2016-2019



The above governance structure was established for the national ID project. Since outputs and activities are distributed between two UN agencies for child registration component of the project; the amended project governance structure would be as below:

Figure 5. Project Governance Structure-2020-2023



The Resident Coordinator of UN, The Resident Representatives of UNDP and UNICEF, the Minister of Finance and Minister of Homeland Security will be present in all Steering Committee Meetings. CTA's Role was transferred to the Project Manager in the second quarter of 2020 after proper handing-taking over and training of the Project Manager.

VIII-1 Government of Malawi

The Government of Malawi will need to fund its commitments to the Project in US dollars and to the required amount on schedule. At the same time, the GoM will need to increase its funding of NRB's ORT and Personal Emoluments (PE) to accommodate the staffing expansion, restructuring and equipping of the Bureau. The GoM will also provide, in-kind operational and support services to the process through the use of public facilities throughout the country including schools, post offices, and community halls, as well as government services such as Police security, transportation and logistics. Similarly, the Government will also be responsible for expediting the formal process of amendments to the laws (for submission to Parliament) and regulations to ensure the legal framework is amended to use the NRIS technology systems. The GoM will have continuous engagement throughout the life of the Project through its representatives in the Steering and Technical Committees (terms of reference attached), and will coordinate and implement the decisions of these committees, when tasks or responsibilities emanate from them.

VIII-2 National Registration Bureau, Ministry of Homeland Security, Ministry of Gender, Children Disability and Social Welfare, Ministry of Health and Ministry of Education

As the principal beneficiary of the Project, the Ministry of Homeland Security and NRB will work closely with UNDP throughout the Project. The Ministries and NRB's responsibilities will include:

- Provide Ministerial representation in the Project Steering Committee;
- Provide quarterly narrative and financial progress reports of preparations for work being directly undertaken by NRB;
- Produce and implement annual and quarterly work plans, as well as budgets to be supported by the Government;
- Report on progress to the Project Committees and any other meetings called as and when necessary;
- Provide the Principal Secretary to Co-Chair the Technical Committee (TC);
- Arrange, coordinate and monitor the implementation in-kind contributions from the Government that contribute to the Project;
- Provide a senior managers team, chaired by the NRB Chief Director to work with the Project Technical Team, that will assume leadership during the transition to the continuous registration system in 2018;
- Develop and prepare submissions to the TC in close liaison with the UNDP Project Team;
- Provide suitable office space, furniture and facilities (e.g. Internet connection, printers and consumables) for technical advisers to be co-located with NRB.

VIII-3 United Nations Development Program and United Nations Children's Fund

UNDP will be the lead implementer for the Project, and the coordinating partner of international and national assistance and support. The United Nations Development Programme Resident Representative together with UNICEF Resident Representative will provide senior representation at the Steering Committee and fulfil the role of the Co-Chair.

VIII-3-a Project Technical Team

A Project Technical Team comprised of project staff under the supervision of the PM assisted by senior international consultant (ID&ICT) will work in close collaboration with NRB and other technical stakeholders in the process. The Project Team responsibilities will include:

- Provide policy advice, guidance and expert assistance;
- Develop and deliver technical products and operational task for mass registration;
- Coordination and delivery of international technical assistance;
- Provide capacity building and institutional development;
- Monitor and report on progress and risks;
- Provide contract monitoring and management;
- Implement required actions under the monitoring and evaluation plan;
- Support the harmonization of support through the TC and SC; and
- Coordination among stakeholders, including the preparation and dissemination of regular reports for their information on progress.

VIII-3-b Project Assurance

Project Assurance will be provided by the Technical Committee and may draw upon other UN (global, regional or country) technical resources to assist in this function, as necessary. The UNDP DRR (Programmes) will Chair the Project Technical Committee in accordance with its terms of reference and provide quality assurance review to the Project Technical Team.

VIII-3-c Project Implementation Unit

UNDP and UNICEF will put in place a dedicated Project Implementation Unit (PIU) to manage and administer the Basket Fund, as well as other administrative tasks under the supervision of the Project Manager and in close liaison with the Deputy Resident Representatives of both agencies. The Project will draw on the existing operational, financial and administrative capacities within the UNDP and UNICEF Country Offices, as well as other UN system resources, to ensure effective and efficient implementation. A chart of the PIU's interaction with other UNDP units is attached, while its duties will include:

- Coordination with NRB on the submission of operational and financial reports;
- Procurement of agreed materials and services through the Basket Fund;
- Provide timely financial and technical reports as outlined in the respective Contribution Agreements with each stakeholder.

VIII-4 Steering Committee

The Steering Committee (SC) is responsible for the oversight and strategic leadership of the Project. The Steering Committee will enable the Project to have a high-level of strategic consensus on overall direction and provide strategic guidance to the Project and TC on priorities and risks. The Steering Committee shall convene at least twice every year, or more often, as requirements dictate. The Steering Committee will be chaired by the Minister of Finance and Co-Chaired by the UNDP and UNICEF Resident Representatives, while the Minister of Homeland Security will be the main Project beneficiary. Development Partners will represent the international community in the Steering Committee at the level of Heads of Mission. Any

major deviations to the process or the Project Document will be approved through the Steering Committee. Terms of reference for the Steering Committee are attached.

VIII-5 Technical Committee

The Technical Committee (TC) shall be in charge of Quality Assurance for the Project based on the strategic direction of the SC and shall be consulted by the PM on progress as well as issues of significance to operational and technical issues. Project tolerances (i.e. constraints in terms of time and budget) will be an ongoing area of assessment for the TC throughout the life of the Project, to support the management and priorities of the outputs. The committee will concentrate on the management and technical aspects of the Project such as planning and budgeting, financial and technical reports, and risk management. The TC will also conduct preliminary analysis and lay out options for discussion and adoption during SC meetings, and may propose agenda items for the SC meetings. The TC will be constituted of stakeholders' senior technical representatives and will be Chaired by the UNDP and UNICEF DRR(P) and the Chief Director of NRB. The TC shall convene at least monthly during the running of the Project or more often as necessary.

IX Fund Management Arrangements

The project utilises the DIM modality for execution and management of the basket-fund. UNDP shall enter UN to UN Interagency agreement for transfer of funds to UNICEF as a responsible party to the project. The basket fund, through UNDP shall initiate local advance transfers to UNICEF to necessitate implementation of activities. In addition, UNDP shall enter in contractual agreements with parties outside the UN system if necessary to enable transfer of funds to such entities.

X Reporting

The Lead Agency will consolidate narrative reports provided by the Participating United Nations Organizations. As per the agreements.

Annual narrative progress report and the final narrative report, to be provided no later than three months (31 March) after the end of the calendar year.

IX-1 Legal Context Standard Clauses

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

IX-2 Risk Management Standard Clauses

1. UNDP as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP agrees to undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via

http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

3. Consistent with UNDP's Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

IX. ANNEXES

1. Project Quality Assurance Report
2. Social and Environmental Screening
3. Risk Log
4. Steering Committee Terms of Reference
5. Technical Committee Terms of Reference
6. Chief Technical Advisor Terms of Reference
7. Project Manager Terms of Reference
8. Project Staffing Table for National ID
9. Project Staffing Table for child registration
10. Project Implementation Unit Relationship Chart