



## UN JOINT PROGRAMME DOCUMENT

**Country: MALAWI**

**Programme Title: Strengthening Institutional Capacity for Development Effectiveness and Accountability**

**UNDAF Outcome 4.2:** Public institutions are better able to manage, allocate, and utilize resources for effective development and service delivery by 2016.

**UNDAF outputs:**

- Output 4.2.2:** National Institutions utilize Results-Based Management (RBM) systems for planning, monitoring and evaluation to enhance ownership and leadership for achievement of development results.
- Output 4.2.3:** Government has sufficient capacity to effectively negotiate, manage and account for development assistance
- Output 4.2.4:** National Institutions have the capacity to align policies, programmes and budgets with national development strategies and MDGs for efficient achievement of development results.


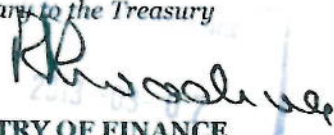
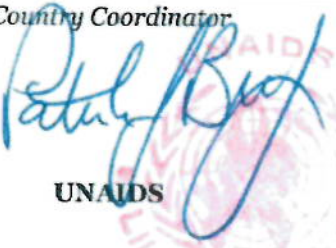



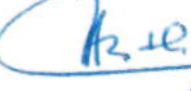

Programme Duration:	<u>4 years</u>
Anticipated start/end dates:	<u>January, 2013 – December 2016</u>
Fund Management:	<u>Parallel and pooled</u>
Managing Agent:	<u>UNDP</u>

Total estimated budget*:	<u>\$18,482,500</u>
Out of which:	
1. Funded Budget:	<u>\$13,662,500</u>
2. Unfunded Budget:	<u>\$4,820,000</u>
*Includes direct and indirect costs	

Sources of funded budget:	
• Government	<u>\$ 800,000 (in-kind)</u>
• UNAIDS:	<u>\$150,000</u>
• UNDP:	<u>\$11,695,100 (incl. \$3.52 million gap)</u>
• UNFPA:	<u>\$2,000,000</u>
	<u>\$ 4,637,400</u>
• UNICEF:	<u>(includes gap of \$1,3 million)</u>



**Names and signatures of (sub) national counterparts and participating UN organizations**

UN organizations	National Coordinating Authorities
<p><i>UN Resident Coordinator a.i.</i></p> <p>Signature </p> <p>UN SYSTEM IN MALAWI</p> <p>Date and Seal</p>	<p><i>Secretary to the Treasury</i></p> <p>Signature </p> <p>MINISTRY OF FINANCE</p> <p>CAPITAL CITY, LILONGWE 2</p> <p>Date and Seal</p>
<p><i>Country Coordinator</i></p> <p>Signature </p> <p>UNAIDS</p> <p>Date &amp; Seal</p>	<p><i>Principal Secretary</i></p> <p>Signature </p> <p>OFFICE OF THE PRESIDENT AND CABINET (OPC)</p> <p>Date &amp; Seal</p>
<p><i>Representative</i></p> <p>Signature </p> <p>UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)</p> <p>Date &amp; Seal</p>	<p><i>Principal Secretary</i></p> <p>Signature </p> <p>MINISTRY OF ECONOMIC PLANNING AND DEVELOPMENT (MEPD)</p> <p>Date &amp; Seal</p>
<p><i>Representative</i></p> <p>Signature </p> <p>UNITED NATIONS POPULATION FUND (UNFPA)</p> <p>Date &amp; Seal 15/03/12</p>	
<p><i>Representative</i></p> <p>Signature </p> <p>UNITED NATIONS CHILDREN'S FUND (UNICEF)</p> <p>Date &amp; Seal 14/03/2013</p>	



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**List of Abbreviations:**

AA	Administrative Agent
AfDB	African Development Bank
AIDS	Acquired Immune Deficiency Syndrome
AMP	Aid Management Platform
CABS	Common Approach to Budget Support Civil Society
CSO	Organizations
DAD	Debt and Aid Department
DaO	Delivering as One
DC	District Commissioner
DfID	UK Department for International Development
DHS	Demographic and Health Survey
DPs	Development Partners
EU	European Union
GIZ	German Technical Assistance
GoM	Government of Malawi
HACT	Harmonised Approach to Cash Transfers
-HIS	Integrated Household Survey
HIV	Human Immunodeficiency Virus
HLF	High Level Forum
IFMIS	Integrated Financial Management Information System
JP	Joint Programme
JPSC	Joint Programme Steering Committee
LDC	Least Developed Country
LOGISIP	Local Government Investment Sector Programme
MASEDA	Malawi Socio-Economic Data base
MDA	Ministries, Departments and Agencies
MDTF	Multi -Donor Trust Funds
MEPD	Ministry of Economic Planning and Development
MTEF	Medium Term Expenditure Framework
NHDR	National Human Development Report
NIM	National Implementation
ODA	Official Development Assistance
OPC	Office of the President and Cabinet
PFEM RP	Public Finance and Economic Management Reform Programme
PMCC	Programme Management Coordination Committee
PPR	Projects Progress Reports
PSIP	Public Sector Investment Programme
RBM	Results-Based Management
RP	Responsible Party
RRF	Results and Resources Framework
ST	Secretary to the Treasury
TWG	Technical Working Group





UN	United Nations
UNAIDS	United Nations Aids Programme
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development

## 1. EXECUTIVE SUMMARY

Over the period 2006 to 2011 the United Nations (UN) Agencies and development partners, in partnership with the Government of Malawi (GoM), have made tremendous efforts in strengthening national capacities in planning, aid effectiveness, managing for results and accountability. As Malawi commences the implementation of the second Malawi Growth and Development Strategy for the period 2011-2016 (MGDS II), there are still some outstanding capacity gaps that need to be addressed to enhance development effectiveness and accountability. Some of the current challenges are with respect to ensuring better alignment of policies, programmes and budgets and prioritization of development interventions vis-à-vis available resources. Results-based management (RBM) is not utilized as a management tool. There are weaknesses in planning and monitoring and evaluation (M&E) systems at all levels. There is inadequate collaboration framework for development cooperation as only few Sector Working Groups (SWGs) are operational and key players inside and outside government are not engaged.

Recently the Government brought together all capacity development initiatives under a unified Public Financial and Economic Management Reform Program (PFEM RP), whose overall goals are to achieve overall fiscal discipline, resource allocation according to a well presented government strategy, and value for money in terms of effective, efficient and regulated use of resources to achieve service delivery. The Joint Programme will assist Government in implementing several PFEM RP components and will be to the largest extent possible executed within the PFEM structures. It will support national institutions to become more results-oriented, and it will improve the synergies between planning, M&E and aid management functions. The Programme is built on the premises that achievement of development results will, to a large extent, depend on availability and proper management of resources both domestic and external thus necessitating the strengthening of national capacities in central ministries and at the level of districts and among non-state actors. The Joint Programme allows participating UN agencies to use their comparative advantage emphasizing the role of the UN system in furthering mutual agreement and cooperation to realize national development goals and the Millennium Development Goals (MDGs). The programme will be implemented in partnership with Government Ministries and Departments at both the national and district levels and in collaboration with Development Partners and non-state actors. A resource mobilization strategy will be actively pursued to raise support for the Joint Programme from other Development Partners.

The Joint Programme Support is developed in order to attain UNDAF outcome 4.2:  
By 2016, Public Institutions are better equipped to manage, allocate, and utilize resources for effective development and service delivery.

This outcome will be realised through the following UNDAF outputs, which are also the Joint Programme outputs:

- Output 4.2.2: National Institutions utilize RBM systems for planning, monitoring and evaluation to enhance ownership and leadership for achievement of development results.
- Output 4.2.3: Government has sufficient capacity to effectively negotiate, manage and account for development assistance
- Output 4.2.4: National Institutions have the capacity to align policies, programmes and budgets with national development strategies and MDGs for efficient achievement of development results.

Key JP beneficiaries are institutional stakeholders, policy makers, civil servants, non-state actors and service providers.

The main implementing partners for the project are Ministry of Finance, Ministry of Economic Planning and Development, Ministry of Local Government and Rural Development, the Department of Projects and Programmes Implementation, Monitoring and Evaluation (OPC) and the National Statistics Office (NSO).



## **2. SITUATION ANALYSIS**

Malawi is classified as a Least Developed Country (LDC) by the United Nations. With a weak capacity to generate foreign reserves coupled with an urgent need to develop its economic infrastructure and a relatively large population (13.1 million, 2008 census), Malawi remains an aid dependent low-income country. Despite strong growth performance during 2005-10, averaging 7.1 percent, poverty levels remain high. The number of people living in poverty stood at 50.7 percent in 2010 (IHS-2010). This represents a marginal improvement from the 52.4 percent recorded in 2005. The performance of the country as determined by access to social services by the population has shown a mixed picture. For instance, the country has seen an increase in the provision of and access to safe potable water from 73 per cent in 2005 to 78.7 per cent in 2010, while the proportion of the population with access to basic sanitation has remained at 72 percent over the years. HIV prevalence declined from 14 percent in 2005 to 10.6 percent in 2010 (DHS,2010). In the health sector, births attended by skilled personnel increased from 38 percent in 2005 to 58 percent in 2010 and maternal mortality and infant mortality declined from 984 per 100,000 live births and 76 per 1,000 births to 675 deaths and 72 deaths, respectively during the same period.

A serious challenge for Malawi in achieving MDGs is its high population growth rate and its youth population (young people constitute almost 50% of the population). Even if the fertility rate declines from the 2010 level of 5.7 per women to 4.6 by 2020, the population is expected to double by 2030, from 13 million to 26 million. This population expansion will cause difficulties in meeting demand for basic services and would affect attainment of MDGs.

The country experienced significant weakening in macroeconomic performance in recent years (from 2010 to early 2012) and rising governance concerns, which led to suspension of the International Monetary Fund's Program and Development Partners' (DPs) budget support. This resulted in severe reduction in foreign exchange inflows leading to shortages in the supply of critical imports. The new government that came in place in the first half of 2012 has resolved to address structural and capacity gaps, but the economy remains vulnerable to shocks, particularly given its undiversified production and export structure. Other challenges include: insufficient energy generation and supply; high transportation costs; inadequate skilled human resource; inadequate financial resources; high illiteracy levels; natural resources degradation; over dependence on rain-fed agriculture and HIV and AIDS pandemic.

The government has been responding to the development challenges through the design and implementation of successive medium-term strategies. The Malawi Growth and Development Strategy (MGDS) is Malawi's second generation poverty reduction strategy paper that focuses on both 'growth' and 'development' themes and priorities. The overarching goal is to revive the economy through sustainable economic growth and infrastructure development targeted to create wealth and reduce poverty. To achieve this goal, five thematic areas and six-key priority areas were identified in the first MGDS (2006-2011) and six thematic areas and nine priority areas in the second MGDS (2011-2016). The six thematic areas include: sustainable economic growth; social development; social support and disaster risk management; infrastructure development; improved governance; and cross-cutting issues.

The quality of the design and implementation of the MGDS and related plans, particularly annual MGDS plans and national budgets, greatly influences the achievement of the

country's development goals including the MDGs. Malawi employs a number of planning tools aimed at ensuring that annual development plans and budgets focus on achieving the objectives of the MGDS while taking into account some of the parameters of the country's macroeconomic framework. These tools include the Medium-Term Expenditure Framework (MTEF), the Public Sector Investment Programme (PSIP) and the National Annual budget, as well as district development plans. While a decentralization policy has been elaborated, a strong fiscal and institutional decentralization framework is yet to be developed.

In recognition of the key role played by Official Development Assistance (ODA) in Malawi's development agenda, which accounts for about 40% of Malawi's total annual budget, GoM has worked closely with its partners to create frameworks to improve the effectiveness of development assistance such as putting in place the Development Assistance Strategy (DAS, 2006-2011) and Sector Working Group Guidelines.

While Malawi has made some progress in ensuring that annual plans and budget are responsive to the MGDS outcomes and that their implementation is strong, there are a number of capacity challenges which are undermining the effectiveness of development programming efforts and utilization of development resources. Key challenges are outlined below.

**MGDS prioritization:** The MGDS presents a comprehensive picture of the many challenges facing the country. Given limited resources further efforts are required to improve MGDS focus on results and prioritize among the many ambitious programmes. This need for further prioritization has been recognized during the recent National dialogue on the economy, which led to the endorsement of a near-term Economic Recovery Plan.

**Scaling up a pro-poor focus and a gender and human rights perspective into programme planning and implementation:** The recently published Integrated Household Survey (IHS3 2010/11) reports that the incidence of poverty (measured through the headcount index) has declined only slightly to 50.7 percent. The MGDS II assessment of the poverty challenge from going down from 52.4 percent to 39 percent is much more optimistic. Extreme poverty continues to worsen and income remains unevenly distributed reflecting inequalities in the access to assets, services and opportunities across the population. Poverty rates among female-headed households are significantly higher than male-headed households with limited access to larger land holdings and failure to engage in cash crop production contributing to the increase in household poverty. The current use of tools that bring a pro-poor focus and a gender and human rights perspective into programme planning and implementation is limited. Consequently resources are not used consistently in ways that would yield the greatest returns in terms of poverty reduction and upholding human rights. There is a need to revisit poverty reduction plans and increase access to social services and protection, to ensure steady progress in reducing poverty for all sections of society.

**Weaknesses of aligning policies, programmes and budgets:** The credibility of the budget is undermined by the weak links between the MTEF, PSIP and the MGDS planning process. This leads to ineffective use of development resources and non-alignment of programmes and budgets to national priority interventions. With the reinvigoration of MTEF, the macro-fiscal, ministerial strategic planning and medium term budgeting processes would need to be enhanced to truly reflect what is contained in MGDS II.

**Weak capacities for results oriented planning, M&E and reporting:** At the moment, the "Planning and Policy Analysis" function in Malawi encompasses a broad range of activities. The main responsibility for this function lies primarily within the Planning and Development Divisions in the Ministry of Economic Planning and Development (MEPD). There are a number of challenges that would need to be addressed in order to ensure a fully

developed and modern “planning and policy analysis” function in Malawi. Main issues to be resolved include, amongst others, the following:

- (i) Strategic planning often is undertaken without linking it to available resources.
- (ii) Relevant policy analysis work is not always undertaken and utilized for decision making.
- (ii) There is need to improve the quality of public investment through more focused and properly appraised public investment based on improved use of investment analysis linked to the medium term budgeting framework.
- (iii) The capacity to develop improved macroeconomic forecasting is currently weak – strengthening this function is important, as the Government moves forward with a number of critical economic reforms (including 49 % devaluation of the local currency) to address the downturn of the economy.
- (iv) Non-inclusive and non-participatory planning processes have left out key players and stakeholders in the economy thereby compromising on ownership and contribution of members of the society.

The national Monitoring and Evaluation (M&E) Framework is also not mature. Key challenges include setting up appropriate institutional capacities and incentives to motivate both the supply of and the demand for solid evidence to inform public decision-making; developing managerial and technical capacity to ensure the application of robust methodology; and developing a results-oriented public sector culture that embeds the effective use of M&E within the broader purpose of generating credible evidence to enhance understanding and support decisions about development results.

While the demand for evidence about performance is increasing, there is still scant use of the information generated through monitoring and evaluation efforts. A significant issue is the poor integration of institutions and actors associated with M&E of public policies, which leads to multiplication of monitoring processes. The planning and finance ministries and the Office of the President and Cabinet (OPC) have units with responsibilities for M&E. These roles need to be clarified and linked. At the sectoral level about 60% of ministries have a functional M&E systems. Due to resources limitation, inadequate human resource skills and ineffective data banks and information systems, only about 30% of the M&E systems are functioning at the district level. Consistent efforts are required to upgrade and strengthen the national M&E system on all levels.

Results-based management (RBM) practices have not yet permeated throughout the planning, budgeting and M&E systems in institutions. The planning, budgeting and M&E functions are not aligned. Even though some performance information is included in the output budget, this is not necessarily results-oriented in nature. The results based notions that are applied in the systems appear to be generating incentives that reinforce upward controls to the detriment of more developmental use of M&E evidence. Legislative bodies and citizens, key players with the authority to demand accountability for results vis-à-vis public investments, are not yet sufficiently involved. There is a need to promote a culture of performance in the public service based on agreed results.

While the systems for monitoring and evaluation are conceptually linked, currently very little attention is paid to evaluation and more specifically, to the evaluation of national development projects, programmes or policies.



Available data is not always reliable and in some cases it is outdated or inconsistent and sometimes incomplete. There is lack of data on gender situations for meaningful programming. Differences in data collection tools and methods have affected comparison of results over time and between different geographical locations. For instance, it has been realised that the country's poverty rate from the Integrated Household Survey results could not be compared with results from Welfare Monitoring Surveys. While both surveys use methodologies developed elsewhere, they are an example of cases where results are inconsistent. Another concern is about significant skills gaps at all levels. The problem is aggravated by lack of comprehensive statistics policy and an outdated legal framework on statistics, which affects arrangements for consistency in data collection, flow of data and coordination between data collection institutions.

**Weaknesses in capacities for aid management:** Government should strengthen its capacity to bring DPs together and make their individual efforts better aligned to its programmes. This calls for strengthening of operational and dialogue structures, systems and, in some cases, competencies that are yet to be advanced in Malawi in light of changing aid architecture. It is now a well established fact globally that, to be effective, aid systems and structures must go well beyond mere financial disbursements and management of aid relationships and have a much stronger orientation toward delivering sustainable and effective development results. Within the differing mandates of the finance and planning ministries there must be a system of collaboration in service of development effectiveness. The term 'development effectiveness' is used to describe a desirable outcome from effective and efficient use of domestic and external resources, processes, policies, institutions and engagement with all key stakeholders. It recognizes that efforts towards aid effectiveness are only part of the solution to effective achievement of development results.

The weak coordination/collaboration between the two central ministries (planning and finance) has created some fluidity in the manner Sector Working Groups (SWGs) are supported. The current state of affairs of leaving SWGs' stability and sustenance to the whims of the respective sector with marginal central guidance has, at best, tended to disjoint their collective effort and, thus, weakening them as the central technical-level forums for dialogue with stakeholders, including DPs and civil society.

The role of non-state actors needs to be better conceptualised, developed and clarified for their greater participation in aid and development effectiveness policy dialogue processes, project and programme design and implementation, and M&E of externally supported interventions. A more inclusive consultative dialogue around MGDS II implementation would help enlist better structured inputs from civil society to the MGDS II developmental agenda and integrate private sector perspective.

Mechanisms for mutual accountability are affected by weak M&E systems in areas such as indicators selection, data collection and analysis and weak procurement and audit functions. This leads to insufficient utilization of national systems by DPs, which further weakens the systems. Rapid progress in these reform areas is critical, both to facilitate efficiency gains and to enhance the country's accountability for use of development resources.

### **3. STRATEGIES, INCLUDING LESSONS LEARNED AND THE PROPOSED JOINT PROGRAMME**

#### **3.1 Background and context**

The Joint Programme (JP) on Strengthening Institutional Capacity for Development Effectiveness and Accountability will contribute to MGDS II Theme 5: Improved Governance - Sub-theme 1: Economic Governance. The JP will contribute to the following MGDS strategies: 1) harmonizing the national budget and priorities in the national development strategy; 2) ensuring that external support is aligned to the national development strategy; 3) ensuring that sectoral and local plans are aligned to the national development strategy; 4) strengthening the monitoring and evaluation of the implementation of the national development strategies and programmes; 5) improving national procurement, audit and reporting systems at all levels; and 6) developing capacity for negotiating bilateral and multilateral agreements. Interventions in M&E will be in line with the National M&E Master Plan.

The Government of Malawi (GoM) has been reforming its public financial management systems over the last ten years with the overarching objective of achieving macro fiscal discipline, effective allocation of resources, efficient and effective delivery of government programs, transparency of public finances and strengthened accountability. While this has yielded significant improvements in the legal framework, IT systems and budget procedures, the full benefits of these reforms have not yet been felt in terms of aggregate fiscal discipline, strategic allocation of resources and effective service delivery. More recently the government decided to bring together a number of related reform initiatives under a unified Public Financial and Economic Management Reform Program (PFEM RP) in order to give the various elements strategic coherence using a common basket funding mechanism by establishing a Multi Donor Trust Fund (MDTF) to be administered by the World Bank and executed by GoM.

The JP has been designed to support, and operate within, the structures of the PFEM RP. Tentative donor commitments for the PFEM RP to-date include: DFID \$9 million, AfDB \$3.9 million, USAID \$2.7 million, EU \$1.2 million and GIZ \$500,000 initially (and possibly more by program's end).

The components of the PFEM RP are: planning and policy analysis; resource mobilization; budgeting; procurement; accounting and financial management; cash and debt management; parastatal financing, monitoring and reporting, external auditing and PFEM RP management. Under the MDTF, three areas have been initially prioritised as a result of resource constraints and these are: (i) the roll-out of Integrated Financial Management System (IFMIS), (ii) internal audit, and (iii) external oversight and scrutiny. Budget, revenue management and procurement components are likely areas for next support from the MDTF.

The Joint Programme will, on the other hand, support implementation of PFEM reforms in the following PFEM RP components:

- Planning and Policy Analysis - PFEM RP Component 1, dealing with Key Issue 1 Harmonizing planning through use of SWGs with reference to the overall development strategy (MGDS II) and ensuring harmonized sector plans with the overall development strategy.
- Resource Mobilization - PFEM RP Component 2, dealing with Key Issue 2 in the PFEM RP on ensuring the principles of Paris Declaration operate between Government and its partners.
- Reporting and Monitoring – PFEM RP Component 8, dealing with Key Issues 10 and 12 on improved reporting, including MGDS monitoring arrangements and harmonization of reporting procedures, as well as improved follow up to reports and audits.



- In addition, the programme will contribute to PFEM RP Component 3 on Budgeting, which requires developing a medium term budgeting framework based on MGDS II and well developed forecasting capacity. The support to MoF will include some support for the debt management function, which falls under Component 7 of the PFEM RP on Cash and Debt Management.

All these initiatives are priority areas reflected in the MGDS II (2011-2016) and UNDAF Action Plan (2012-2016) jointly signed by the Government of Malawi and the Malawi United Nations (UN) System on 17<sup>th</sup> April 2012.

Other related projects are:

- Irish Aid support to IHS3, GIZ's support for macro-economic advisory services with a view to improving the alignment of the national development strategy and the national budget.
- JICA is assisting the Ministry of Economic Planning and Development to improve the effectiveness of the Public Sector Investment Programme and harmonising it with other ministries' data banks.
- Norway and DFID are supporting NSO to implement the National Statistics Strategy which has a direct influence on the availability of information for evidence-based planning and decision making.
- Close links will be established with the UNDP supported Public Service Capacity Development Programme. The aim of this programme is to strengthen the capacity of the public service to better manage and deliver services. The programme focuses on developing effective leadership – a necessary prerequisite to strengthening development effectiveness and accountability frameworks.

The JP has taken into account the international commitments on aid and development effectiveness that the GoM is a signatory to such as: the Paris Declaration on Aid Effectiveness; Accra Agenda for Action; and Busan Partnership for Effective Development Cooperation. In Busan, national governments and Cooperating Partners reached an agreement to form a new, more inclusive Global Partnership for Effective Development Cooperation and shift the focus of aid effectiveness towards development effectiveness. The Joint Programme is also based on the UN principle of *'Delivering as One'*.

Key JP beneficiaries are institutional stakeholders, policy makers, civil servants, non-state actors and service providers. The key secondary beneficiaries are the Malawi citizenry who are expected to benefit from effective and quality driven public service delivery.

### **3.2 Lessons learned**

The JP builds on lessons learned from the comprehensive reviews of the MGDS and the DAS and final evaluations of three previous project interventions: MDG-based Planning and Costing, Joint Programme Support for Strengthening Monitoring and Evaluation (JPSME) and Development Assistance Coordination (DACU) Project. Key lessons are:

- Creating a “whole-of-government” M&E system is not a short term endeavour as it involves recruitment, training and re-training of key personnel, creation of data systems and procedures for sharing information and procedures for reporting M&E findings, as well as predictable access to resources for M&E activities at all levels in the public sector. Like other institutional capacity development initiatives, it takes

sustained effort over a period of years to make an M&E system operate efficiently. The JP should sustain efforts to train key staff at all levels in all related topics and ensure that there is an enabling environment for the M&E functions. In this context “whole of government” relates to the efforts made by the Joint Programme Support for Strengthening M&E Systems to develop M&E systems in all central and line ministries and departments and city and district councils during the same period.

- While monitoring is a necessary component of the national M&E system, previous reports point to the need to credit the importance of evaluation and provide resources for it. The JP has taken on board this recommendation.
- Effective leadership and management play a key role in promoting behavioral changes in institutions. The use of new systems, procedures and arrangements require visible commitment from leadership in organizations. If leadership demands use of evidence for planning and decision-making, it is easy to influence a culture of data collection and monitoring in that organization. As a case in point, Chikhwawa District Council, at one point, was one of the few districts where sectors complied with reporting requirements. This was the situation because of the role that the then District Commissioner (DC) for Chikhwawa played in championing M&E and reporting. It is worthwhile for the JP to consider having “champions”, whether individuals or teams, in institutions to promote Results-Based Management, MDGs-Based Costing and HRBA to programming.
- Inclusive development processes require deliberate efforts to share information whether for education or advocacy purposes. Initiatives such as production of knowledge products, programme review reports, development strategies or policies need to be accompanied by clear communication strategies and plans. In this regard, the JP will consider developing and implementing strategies for its products and initiatives such as the National Human Development Reports (NHDRs), the new development cooperation framework, among others.
- Even though many projects include objectives on promoting gender, very few show evidence of implementation of gender-related activities. Meaningful gender consideration requires projects to provide clear operational guidance as to gender oriented activities. In this regard, the JP will promote development of guidelines and templates to facilitate gender mainstreaming in planning and implementation of activities.
- Efforts have focused more on aid effectiveness processes than on the impact of better aid on service delivery and outcomes. Demonstrating and attributing the impact of aid effectiveness is challenging and there is no common understanding of what results can realistically be expected or how these will be measured. In addition, the current concentration of aid management interventions in MoF has created knowledge gaps on aid and development effectiveness principles and concepts across other institutions and non-state actors which have undermined their ability to play a more proactive role. The JP will ensure a roadmap for country-level implementation of aid and development effectiveness commitments.

## **4. THE JOINT PROGRAMME**

### **4.1. Rationale and scope**



The JP is the UN's main vehicle for achieving the 2012-2016 UNDAF Outcome 4.2, namely: *Public Institutions are better equipped to manage, allocate, and utilize resources for effective development and service delivery by 2016*. The UNDAF Action Plan which has been formulated to operationalise the UNDAF outcome has defined four outputs which are contributing to the Outcome as follows:

- Output 4.2.1: Capacity for public sector management strengthened for effective service delivery.
- Output 4.2.2 National institutions utilize RBM systems for planning, monitoring and evaluation to enhance ownership and leadership for achievement of development results.
- Output 4.2.3: Government has sufficient capacity to effectively negotiate, manage and account for development assistance.
- Output 4.2.4: National Institutions have the capacity to align policies, programmes and budgets with national development strategies and MDGs for efficient achievement of development results.

The Joint Programme on Strengthening Institutional Capacity for Development Effectiveness and Accountability addresses the interventions for UNDAF Outputs 4.2.2, 4.2.3 and 4.2.4.

Outputs 4.2.2 and 4.2.4 have financial commitments from UNICEF, UNAIDS, UNFPA and UNDP. In many instances two or more UN Agencies are contributing to the same annualized results (actions). This situation made it compelling for the agencies to opt for developing a Joint Programme.

The approach reduces transaction costs for Implementing Partners, responsible parties and other stakeholders arising from a reduction in reporting requirements and use of common arrangements. It also facilitates improvement in coordination of programme activities. A joint programme approach is consistent with the principle of *Delivering As One* particularly where a basket fund mechanism will be the modality for funding the programme.

The key elements of the JP implementation strategy are outlined below.

**Results-Based Management (RBM):** RBM practices by definition is the strategy through which the JP will ensure that the planning, management, monitoring and evaluation functions and reporting and accountability arrangements focus on results. RBM will be embedded in all activities supported through the programme. In addition, the JP will pursue an approach of designating individuals or teams in public institutions to serve as "champions" and mentors during the process of institutionalizing RBM.

**Fulfillment of Paris Declaration/Accra Agenda for Action and Busan High Level Forum commitments.** Implementation of aid effectiveness commitments has been uneven both at country and global levels. It is on this basis that the recent High Level Forum on Aid Effectiveness in Busan, South Korea re-affirmed the commitments made in the Paris Declaration and Accra Agenda for Action and agreed a new more inclusive Partnership for Effective Development Cooperation that broadened the focus from effective aid to the challenges of effective development. The JP will seek to develop capacities for implementation and monitoring of agreed aid and development effectiveness commitments at country level, to truly realize the spirit of the Busan 'globally light, country heavy agenda. It addresses expectations for more inclusive development agenda, including through deeper inclusion of civil society and the private sector, stronger country ownership of development

priorities, improved focus on results, greater accountability through strengthening parliament and local government roles, and more transparent and predictable development cooperation making better use of country-led coordination mechanisms.

**Capacity Development:** Effective institutions and policies are essential for addressing the challenge of sustainable development. The JP will provide efficient support to develop critical capacities in institutions. Realizing that capacity development is a medium to long-term effort, the programme will make use of local teaching and learning institutions as source of skills development. Skills development areas will include: RBM, MGDS/MDGs-based planning and costing, HRBA and gender mainstreaming, budgeting and policy analysis skills, aid and development effectiveness concepts and principles.

**Communication strategies:** Inclusive development demands affective access to information on various levels and by diverse groups of stakeholders. Communication strategies will be prepared covering knowledge products, policies, reports, processes and events to improve stakeholders' knowledge and understanding, the visibility of results and ultimately, the involvement of all key stakeholders. Among other products, communication strategies will be prepared and implemented for the MGDS, the new debt and aid policy and strategy, NHDRs and MDGs acceleration strategy.

### **Joint Programme Outputs**

The Joint Programme has the following outputs, which, except for output 4, are also UNDAF outputs:

- Output 1      National institutions utilize RBM systems for planning, monitoring and evaluation to enhance ownership and leadership for achievement of development results.
- Output 2      National Institutions have the capacity to align policies, programmes and budgets with national development strategies and MDGs for efficient achievement of development results.
- Output 3:      Government has sufficient capacity to effectively negotiate, manage and account for development assistance.
- Output 4:      Effective Project management services delivered

The scope of each of the outputs is outlined below.

**Output 1      National institutions utilize RBM systems for planning, monitoring and evaluation to enhance ownership and leadership for achievement of development results.**

This output is intended to promote and institutionalize RBM systems in ministries and at district level as a means for enhancing ownership and leadership for achievement of development results. It will provide support to establish sustainable training capacity in RBM, MGDS/MDG planning and costing and HRBA in University of Malawi, Bunda College, MIM and Staff Development Institute. Support will also be provided for training managers and planning, debt and aid, budget and M&E officers in OPC, ministries and districts in RBM, HRBA, MGDS/MDG-based planning and costing and links to budgeting.

Other activities funded under this output will improve the institutional capacity of the MEPD to undertake the MGDS annual reviews and the OPC-Department of Projects and Programmes Implementation, Monitoring and Evaluation to assess performance and accountability for results. This includes the following key activities: (i) conducting an annual analysis of the national budget alignment to MGDS II priorities and MDGs; (ii) undertaking public expenditure tracking surveys (PETS) in key sectors, (iii) producing and disseminating annual MGDS II review reports; (iv) facilitating review of the progress documented by PETS and MGDS reviews by PSS and Cabinet and in Parliament; v) conducting quarterly performance assessment of MDAs as a mechanism for strengthening feedback and enforcing accountability (vi) conducting at least biannual consultations with stakeholders- one around the time of the mid-year budget review and another one around the annual MGDS II review report; (vii) producing and disseminating annual MDGs reports and post-2015 MDG report.

A key element of the support under this output is activities to upgrade the M&E architecture in order to secure its integrity and development relevance. This will be done on the basis of thorough assessment of results-based and gender sensitive M&E and reporting capacity across all ministries and district councils, strengthened impact monitoring focusing on results and mechanisms for coordinating M&E initiatives at the national, sector and district levels. More specifically activities will aim to ensure improved quality of development data and improved data flow from districts to sector ministries and between sectors to central ministries. Efforts will be made to encourage use of MASEDA in developing planning and policy development processes also addressing issues of compatibility of data systems.

Gradually national institutions will develop skills in RBM, MGDS/MDG-based planning and budgeting, HRBA, and policy analysis. As management systems for planning and M&E become more results based, it is expected that MGDS implementation will embed a culture of greater learning and adjustment in decision-making in service of development effectiveness.

**Output 2 National Institutions have the capacity to align policies, programmes and budgets with national development strategies and MDGs for efficient achievement of development results.**

The support under this output will be geared towards improving alignment of policies, programmes and budgets with national development strategy and the MDGs on the basis of a comprehensive RBM Manual agreed with all stakeholders. On this basis project planning, appraisal, M&E, budget and aid policy guidelines and procedures will be updated in order to ensure an integrated and results oriented national planning and M&E system that uses the MTEF as a tool to help Government shape its budget in line with its development objectives. The Joint Programme will also support at least 10 pilot districts and 5 sectors to practically apply the RBM practices and undertake sector, respectively district review and planning processes. Selected government agencies will receive technical and organizational support during the process of institutionalizing RBM. The programme will allow consistent definition of results and definition of appropriate programmes, outcomes and outputs for the annual budget and the MTEF. It will put in place a process that ensures that results from all pilot agencies feedback into the RBM manual and are used to further refine RBM manual and procedures.

Another set of activities under this output will support the SWG management process including: (i) periodically reviewing SWG functionality and updating SWG Guidelines; (ii) setting up a calendar and reporting mechanism for SWG meetings; (iii) supporting ministries in launching the SWGs; (iv) organizing joint learning events for members of SWGs in relevant technical areas such as SWaps/PBA's, sector MTEFs, national debt and aid policy

and strategy requirements; (v) organise joint discussions between sectors to ensure coherence of sector planning processes and alignment with national priorities.

Other activities will assist Government in undertaking major development strategy reviews including: (i) production of at least two NHDRs; (ii) mid- and end-term MGDS II reviews; (iii) at least three MGDS II based thematic evaluations by 2016. All these initiatives will be accompanied by well defined communication strategies targeting key stakeholders.

The results-based management perspective that will be supported through all of the above activities will be streamlined in the process to update MGDS II in 2014 and formulate the successor strategy to MGDS II for the period after 2016.

**Output 3: Government has sufficient capacity to effectively negotiate, manage and account for development assistance.**

This output is intended to implement activities that complement the first two outputs, but focusing specifically on strengthening the coordination role of the Debt and Aid Division (DAD) under MoF. The focus will be on the provision of capacity building support for strengthening debt and aid management functions, aid and debt policy and strategy formulation, improved preparations for Common Approach to Budget Support (CABS) group meetings and High Level Forum (HLF) dialogue, and stakeholder engagement, sensitization and education activities targeting a broad range of actors. Some of the expected results are the finalization and dissemination of debt and aid management policies, and development of development cooperation strategy for the period 2012-2016 with a results framework, well elaborated targets and indicators, and results oriented monitoring instruments. The upgraded Aid Management Platform (AMP) and CS-DRMS systems will allow better integration of donor partner flows into the budget and the MTEF and improved decision-making on the basis of regular analytical reports.

In addition to receiving a significant portion of general budget support, the GoM manages sector SWAp that have been equally significant to the GoM budget. The support to preparation of CABS review and HLF meetings will enable central and line ministries to play a stronger leadership role in aid dialogue in order to strengthen Government –DPs mutual accountability for results of development cooperation.

Sensitization and education activities with Government, Parliament, district level officials, civil society, academia and the private sector will create support for implementation at country level of Global Partnership for Effective Development Cooperation commitments on inclusive country ownership, and greater transparency and accountability for the use of development resources.

Through the support from the programme, national stakeholders will also successfully engage in the Global Partnership for Effective Development Cooperation meetings and building blocks and will disseminate the international good practices at country level.

**Output 4: Effective Project management services delivered**

MoF, MEPD and OPC have been assessed as having sufficient capacities to implement the project. Support will be provided to ensure effective and efficient delivery of results, timely



preparation of annual work plans and budgets and Joint Programme Steering Committee (JPSC), Programme Management Coordination (PMC) and Technical Working Group (TWG) meetings, as well as mid-and end-term evaluation and required audits.

### **Roles of Participating UN Agencies**

Within the UN family the role of **UNDP** is to lead other participating UN agencies in supporting the Government and CSOs to develop national capacities to achieve national development priorities and goals. UNDP Malawi is recognized for and enjoys a comparative advantage in upstream policy advice, technical and financial support, and advocacy to make a real improvement in people's life, particularly through good governance, improved public sector management, monitoring of poverty reduction and achievement of the MDGs. UNDP is also a lead agency on coordination and strategy development for sustainable environment and disaster risk reduction, among others. UNDP will support activities for RBM, alignment, and aid management and coordination aiming at achieving outputs 1-3 of the JP. UNDP will also be the Administrative Agent for the JP and will coordinate the involvement of all other UN agencies in the programme.

**UNAIDS** provides overall leadership for establishing the global AIDS agenda and at country level is supporting strategic planning, prioritization and costing of multi-sectoral and effective HIV and AIDS response at all levels. UNAIDS support in the context of the JP will be focused on supporting MASEDA, the RBM, HRBA, MGDS/MDG based planning and costing training, and the roll out of RBM practices to selected sectors and districts.

**UNICEF** works with the Government of Malawi, national institutions, civil society and the local communities to reach the most vulnerable children and women with assistance. It provides support in the areas of child policy development; health and nutrition; water and sanitation; basic education and youth development; child protection; social policy development; advocacy for child rights and development communication. It has provided pioneering assistance in the development of MASEDA which is the main source of information for reporting on progress towards achievement of the MGDS outcomes and the MDGs. UNICEF will continue to provide support to MASEDA and district database development also in the context of the JP, and will also support training activities and practical roll out of RBM to selected sectors and districts, as well as implementation of MGDS reviews and public expenditure tracking surveys.

**UNFPA** is the world's largest international source of funding for population and reproductive health programmes. In Malawi it has been supporting gender and development programmes in HIV prevention among young people and sexual and reproductive health. It is the lead UN agency for MDG 3. It is assisting government efforts to collect, compile, analyse and disseminate official statistics. Also in the context of the JP UNFPA will assist MASEDA. UNFPA will also support provision of training in RBM, HRBA, MGDS/MDG based planning and costing, and the roll out of RBM practices to selected districts and sectors.

## **4.2 Gender Mainstreaming**

Gender equality and empowerment of women are essential to achieving development results. The JP aims to ensure that capacities are built to mainstream gender. It includes specific targets in this respect. In particular care will be taken to ensure that participatory and evidence based MDGs/MGDS planning and reporting is gender sensitive. Guidelines will be provided for collection and analysis of gender-disaggregated data and for incorporating gender, HIV and AIDS and HR issues in national, sectoral and district planning processes and in the budget preparation process. The Guidelines will be incorporated in the RBM Manual and will be informed by a survey of results-based and gender sensitive M&E and



reporting capacity across all MDAs and district councils. The programme will specifically seek to encourage women's organizations participation in aid and development effectiveness agenda and mechanism for dialogue.

### **4.3 Sustainability of results**

There is a strong government commitment for the JP's objectives and strategies, which are consistent with current arrangements for MGDS programming and PFEM RP implementation. Activities under the JP will strengthen the capacities of the institutions to fulfil their mandates effectively. This will entail development of skills and transfer of knowledge to key staff in institutions as well as development of systems, guidelines and tools.

The sustainability of the JP results and outcomes is also dependent on availability of sufficient funding commitments to support implementation of all intended interventions. As mentioned, the Programme is a key ingredient of the overall PFEM RP. It will support activities in several PFEM RP Components, for which funding from the MDTF is not available. As the programme is fully aligned with the PFEM RP, spending commitments will ensure sustainability of the JP results where any funding gap is expected to be supported by other Cooperating Partners apart from the UN Agencies involved.

The JP will make deliberate effort to develop capacities in the country's public learning and teaching institutions including the Malawi Institute of Management, Mpemba Staff Development Institute, and the University of Malawi to deliver RBM, MGDS-Based Planning and Costing and HRBA training to ensure that as many people as possible from the public sector are trained. A list of the learning and teaching institutions expected to participate in the programme is presented in Annex 5. The JP will promote the development of curriculum for use by the learning institutions in their regular training programmes. Among other aspects the curriculum will take into account different levels of personnel in the public sector. Innovative arrangements will be established to fully develop the capacities of these institutions and subsequently engage them to provide tailor-made training services for public sector personnel.

## **5. RESULTS FRAMEWORK**

Table 1 outlines a detailed listing of required results and resources for the joint outcome and outputs to be achieved during the implementation of the JP. It also lists the specific UN Agency activities related to the specific outputs to be achieved. In addition, the national implementing partners responsible for each activity are listed. A detailed work plan for achieving each output during 2013 is presented in Annex A, including the recipient national entity that will be working with each UN Agency. On the basis of the results framework (Table 1), the total estimated budget of the JP is US\$18,482,500 to be sourced from four UN Agencies namely: UNDP, UNICEF, UNFPA, and UNAIDS. The total estimated budget, which includes a funding gap of US\$4,820,000 is distributed as follows:

UNAIDS	<b>\$150,000</b>
UNDP	<b>\$11,695,100</b> ( including a gap of \$3,520,000)
UNFPA	<b>\$2,000,000</b>
UNICEF	<b>\$ 4,637,400</b> (including gap of \$1,3 million)
<b>TOTAL</b>	<b>\$18,482,500</b>

The UN agencies together with the government counterparts will make appeals to DPs in Malawi to contribute towards the funding gap.



**RESULTS AND RESOURCES FRAMEWORK**

<b>OUTCOME/OUTPUTS</b>	<b>INDICATORS</b>
<b>UNDAF Outcome 4.2:</b> Public institutions are better able to manage, allocate and utilize resources for effective development and service delivery by 2016.	<b>Indicator:</b> Percentage of aid reported in the national budget <b>Baseline:</b> 55% (2009), <b>Target:</b> 90% (Dec 2016) <b>Indicator:</b> % of development budget (part 1 and 2) utilized (2010: 30; 2016:80)
<b>UNDAF Output 4.2.2:</b> National Institutions utilize RBM systems for planning, monitoring and evaluation to enhance ownership and leadership for achievement of development results.	<b>Indicator:</b> % of Ministries with functional M&E systems. <b>Baseline:</b> 60% (2010) <b>Target:</b> 90% (2016) <b>Indicator:</b> No. Of public institutions utilizing the MDG based planning and budgeting tools <b>Baseline:</b> 2 (2010) <b>Target:</b> 16 (2016) <b>Indicator:</b> No. of public institutions practicing RBM <b>Baseline:</b> 0 (2010) <b>Target:</b> 7
<b>UNDAF Output 4.2.3:</b> Government has sufficient capacity to effectively negotiate, manage and account for development assistance	<b>Indicator:</b> % of aid flows provided as program based approach <b>Baseline:</b> 22% (2010) <b>Target:</b> 70% (2016) <b>Indicator:</b> % of aid flows using national procurement and Public Finance management systems <b>Baseline:</b> 62 %, 66 % (2010) <b>Target:</b> 75 %, 75% (2016) (2016)
<b>UNDAF Output 4.2.4:</b> National Institutions have the capacity to align policies, programmes and budgets with national development strategies and MDGs for efficient achievement of development results	<b>Indicator:</b> % annual national budget allocated to key sectors (health, education, agriculture) <b>Baseline - 2011:</b> 18%, 19%, 14%. <b>Target (2016) - 16%, 21%, 11%</b>

**Strengthening Institutional Capacity for Development Effectiveness and Accountability**

JP Outputs	Implementing Partner / Responsible Party	Indicative activities for each Output	UN agency	Source of Funds	Year 1	Year 2	Year 3	Year 4	TOTAL
(Give corresponding indicators and baselines)									
<b>UNDAF Output 4.2.2/Output 1:</b> National Institutions utilize Results-Based Management (RBM) systems for planning, monitoring and evaluation to enhance ownership and leadership for achievement of development results <b>Indicator 1:</b> No. of Public institutions utilizing the MDG based planning and budgeting tools (2010:2; 2016: 16) <b>Indicator 2:</b> % of Ministries with functional M&E systems. Baseline: 60% (2010) Target:90% (2012)		1.1 Develop the capacity of learning and training institutions (University of Malawi, MIM, Bunda College and SDI) for delivering training in RBM, MGDS/MDG-based planning and budgeting and HRBA	UNDP	Funded	25000	38500	30000	20000	113500
<b>Indicator 3:</b> No. of district councils with functional M&E systems Baseline: 7 (2012); Target: 28 (2016)	MEPD	1.2 Train managers and planning, debt and aid, budget and M&E officers in OPC, central and ministries and districts in RBM, HRBA, MGDS/MDG-based planning and budgeting and links to budgeting	UNAI DS, UNDP, UNFP A, UNICE F	Funded	17000	500000	500000	283000	1300000
				Unfunded	200000	200000	200000	100000	700000

**Strengthening Institutional Capacity for Development Effectiveness and Accountability**

<p><b>Indicator 4:</b> No. of staff in ministries and districts trained in RBM tools.  <b>Baseline:</b> 56 at district level, 25 in line ministries.  <b>Target (2016):</b> 800 at district level, 260 at ministry level  <b>Baseline :</b> 5 (2012); <b>Target:</b> 16 (2016)</p>	<p>MEPD</p>	<p>1.3 Upgrade M&amp;E architecture on the basis of thorough assessment of results-based and gender sensitive M&amp;E and reporting capacity across all ministries and district councils addressing, inter alia, data quality, integrity and harmonization issues and compatibility of data systems</p>	<p>UNDP, UNICE F, UNFP A</p>	<p>Funded</p>	<p>15000</p>	<p>400000</p>	<p>3900000</p>	<p>300000</p>	<p>1105000</p>
<p><b>Indicator 5:</b> No. of public institutions assessed for performance annually and provided feedback.  <b>Baseline:</b> 0 (2011), <b>Target (2016):</b> 24</p>	<p>MEPD with NSO</p>	<p>1.4 Update MASEDA, WMS and MVAC and strengthen their utilization in national planning and policy development</p>	<p>UNAI DS UNDP, UNICE FUNF PA</p>	<p>Funded</p>	<p>105000</p>	<p>100000</p>	<p>80000</p>	<p>60000</p>	<p>345000</p>
<p><b>Indicator 6:</b> MDGS annual review reports available by October each year.  <b>Baseline (2011):</b> No Target (2016): Yes</p>	<p>MEPD/NSO</p>	<p>1.5 Undertake MGDS II annual review: (i) conduct annual analysis of the national budget alignment to MGDS II priorities and MDGs; (ii) undertake public expenditure tracking surveys (PETS) in key sectors; (iii) produce and disseminate annual MGDS II review reports; (iv) facilitate review of progress by PSs and Cabinet and in Parliament; (v) conduct biannual consultations with stakeholders; (vi) produce and disseminate annual MDGs reports and post-2015 MDGs report</p>	<p>UNDP, UNICE F, UNFP A</p>	<p>Unfunded</p>	<p>100000</p>	<p>300000</p>	<p>400000</p>	<p>400000</p>	<p>1200000</p>
				<p>Funded</p>	<p>100000</p>	<p>380000</p>	<p>400000</p>	<p>350000</p>	<p>1230000</p>
				<p>Unfunded</p>	<p>250000</p>	<p>150000</p>	<p>150000</p>	<p>100000</p>	<p>650000</p>



**Strengthening Institutional Capacity for Development Effectiveness and Accountability**

<p><b>Indicator 3:</b> No. of public institutions practicing RBM  <b>Baseline:</b> 0 (2010);  <b>Target (2016):</b> 16</p>	<p>MoF</p>	<p>2.3 Update and disseminate budget guidelines on the basis of RBM manual</p>	<p>UNDP</p>	<p>Funded</p>	<p>15000</p>	<p>20000</p>	<p></p>	<p></p>	<p>35000</p>
<p><b>Indicator 4:</b> % of aid flows provided as program based approach. <b>Baseline (2010):</b>22; <b>Target (2016):</b>70</p>	<p>MEPD with MoLGRD</p>	<p>2.4 Update and disseminate district socio-economic and Planning manual/guidelines for alignment with National Budget, sectoral and national priorities.</p>	<p></p>	<p>Funded</p>	<p>25000</p>	<p>250000</p>	<p>215000</p>	<p></p>	<p>490000</p>
<p></p>	<p>MEPD</p>	<p>2.5 Facilitate the mid-term MGDS II update and formulation of successor strategy to the MGDS II</p>	<p>UNDP, UNICEF</p>	<p>Funded</p>	<p></p>	<p>100000</p>	<p>90000</p>	<p>200000</p>	<p>390000</p>
<p><b>Indicator 5:</b> Proportion of development co-operation covered by indicative forward expenditure plans covering at least three years ahead  <b>Baseline:</b> 30 % (2012),  <b>Target:</b> 70 % (2016)</p>	<p>MEPD</p>	<p>2.6 Roll out RBM practices, MGDS/MDG- based sector review, planning and budgeting in at least 5 sectors for achieving harmony with national priorities and consistent definition of results for the budget and MTEF</p>	<p>UNAI DS, UNDP, UNICEF UNFP A</p>	<p>Funded</p>	<p>90000</p>	<p>350000</p>	<p>600000</p>	<p>500000</p>	<p>1540000</p>
<p><b>Indicator 6:</b> A system for tracking allocations to gender equality and women's empowerment is in place.  <b>Baseline:</b> No (2012);  <b>Target:</b> Yes (2016)</p>	<p>MEPD in collaboration with MoF</p>	<p>2.7 Manage the SWG process: i) review SWGs functionality and approved guidelines; ii) support sector to initiate SWGs; iii) organize joint learning events for members of SWGs in SWAPs/PBAs, sector MTEFs, national debt and aid policy and strategy requirements; iv) organize joint discussions between sectors to ensure coherence of sector planning processes and alignment with national priorities</p>	<p>UNDP</p>	<p>Funded</p>	<p>50000</p>	<p>143000</p>	<p>150000</p>	<p>100000</p>	<p>443000</p>

**Strengthening Institutional Capacity for Development Effectiveness and Accountability**

	MEPD	2.8 Undertake national development strategy review and evaluation: 2 x NHDRs, mid- and end-term MGDS II reviews, debt and aid policy and strategy reviews, at least 3 x MGDS II based thematic evaluations by 2016	UNDP, UNICE F, UNFP A, UNAI DS	Funded	180000	580000	600000	600000	1960000
				Unfunded	50000	150000	150000	100000	450000
	MEPD with MoLGRD	2.9 Roll out district development review and planning process and RBM in at least 10 pilot districts for achieving harmony with sectoral national priorities and the budget	UNDP, UNICE F	Funded	50000	200000	300000	200000	750000
	MEPD, MoF	2.10 Develop and implement comprehensive communication strategies for key NHDR, MDGs and MGDS II	UNDP, UNICE F, UNFP A, UNAI DS	Funded		100000	100000	40000	240000
		Sub-total Output 2			766000	2189000	2405000	1840000	7200000
		Funded			476000	1693000	1965000	1440000	5574000

**Strengthening Institutional Capacity for Development Effectiveness and Accountability**

UNDAF Output	MoF	3.1. Strengthen aid and debt management functions: (i) update description of functions in DAD and staff job descriptions; (ii) produce and disseminate debt and aid reports (annual Aid Atlas, annual Debt Report, Debt Sustainability analysis report, quarterly monitoring of donor funded projects reports) in time for CABS, HLF, and MGDS review; (iii) upgrade and extend access to the Aid Management Platform (AMP) and CS-DRMS systems and link them to the budget system.	UNDP	Funded	140000	230000	150000	141500	661500
<b>4.2.3/Output 3:</b> Government has sufficient capacity to effectively negotiate, manage and account for development assistance <b>Indicator 1:</b> % of aid flows using national procurement and Public Finance management systems, respectively Baseline: 62 %, 66 % (2010) Target: 75 %, 75% (2016)	MoF				50000	150000			200000
<b>Indicator 2:</b> No. of DPs/respectively sector ministries, with access to the online AMP <b>Baseline :</b> 5 DPs; 0 ministries (2012); <b>Target</b> (2016): 16 DPs; 5 ministries	MOF	3.2 Formulate and disseminate Development Cooperation Strategy for 2012-2016 and a post-Busan implementation plan	UNDP	Funded	80000	90000			170000
<b>Indicator 3:</b> Level of consistency between DP information of aid flows and information on AMP <b>Baseline:</b> 80 %; <b>Target</b> (2016): 100 %	MOF	3.3. Update and disseminate the Debt and Aid management policies and Medium Term Debt Management Strategy	UNDP	Funded	40000	20000			60000
		3.4 Review Debt and Aid Policy and Strategy			7000			60000	67000
				Unfunded	20000	20000			40000
				Unfunded					

**Strengthening Institutional Capacity for Development Effectiveness and Accountability**

<p><b>Indicator 4:</b> Functioning arrangements for mutual accountability in place  <b>Baseline:</b> No (2012)  <b>Target:</b> Yes (2016)</p>			Funded	3000	200000	200000	100000	503000
<p><b>Indicator 5:</b> No of key stakeholders sensitized in aid and development effectiveness  <b>Baseline:</b> 50 (2012);  <b>Target (2016):</b> 300</p>	MOF	UNDP	Funded		5000			5000
<p><b>Indicator 6:</b> No. of HLF forums held annually  <b>Baseline:</b> 1 (2011)  <b>Target:</b> 2 (2016)</p>	MoF	UNDP	Funded	0	29000	20000	20000	69000
<p><b>JP Output 4. Effective Project management services delivered</b></p>	MoF/MEP D		Funded	340000	864000	440000	371500	2015500
				270000	540000	350000	301500	1461500
	MoF/MEP D		Funded	67000	100000	100000	100000	367000
	MoF/MEP D		Funded	45500	65000	65000	65000	240500
	MoF/OPC /UNDP		Funded	200000	234000	234000	234000	902000



**Strengthening Institutional Capacity for Development Effectiveness and Accountability**

Indicator 1: % of annual performance targets met Baseline: 60% Target 95%	MOF/ME PD	4-4 Organize programme steering committee meetings, TWGs meetings and implement attendant recommendations and decisions	Funded	10000	20000	20000	20000	70000
	MOF/ME PD	4-5 Organize and conduct monitoring activities	Funded	10000	15000	15000	10000	50000
	MOF/ME PD	4-6 Facilitate project audits	Funded		30000	30000	30000	90000
	MOF/ME PD	4-7 Facilitate project mid-term and end of term evaluations	Funded		50000		60000	110000
		Sub-total Output 4		397500	580000	530000	585000	2092500
		TOTALS		2,456,500	5,891,500	5,635,000	4,499,500	18,482,500
			Funded	1496500	4381500	4355000	3429500	13662500
			Unfunded	960,000	1,510,000	1,280,000	1,070,000	4,820,000

## 6. MANAGEMENT AND COORDINATION ARRANGEMENTS

MoF is the Implementing Partner (IP) for the JP and will be responsible for the overall planning and management of the programme and achievement of its objectives. This arrangement is necessary because the JP will be implemented in close cooperation with and within the structures of the PFEM RP which is led by the MoF (see Figure 1). The Secretary to the Treasury (ST) supported by the Director of Debt and Aid Division in MoF will be responsible for the overall coordination and oversight of the JP. The Director of Debt and Aid will be the National Coordinator for JP. The National Joint Programme Coordinator (NJPC) will be supported by DEAP Advisor who will contribute to various aspects of development effectiveness agenda and ensure that the JP provides effective coordination, managerial and technical services for effective and efficient attainment of programme results. The DEAP Advisor will be based in the Debt and Aid Division, MoF. The terms of reference/Job Descriptions for the NJPC, DEAP Advisor, are provided in Annex 1.

A Programme Steering Committee will be responsible for providing overall supervision, guidance and monitoring of implementation of activities to ensure efficient and effective achievement of the results of the JP. The Committee will be chaired by the ST and will be composed of senior officials from the following institutions: MEDP Planning and M&E Divisions, OPC, Office of the Director of Public Procurement (ODPP), Ministries of Local Government and Rural Development, Agriculture, Education, Health and Transport and Public Works, National Statistical Office (NSO), Malawi Economic Justice Network (MEJN), EU, WB, DFID, AFDB, UNAIDS, UNICEF, UNFPA, UNDP, MIM, MCCI, Economics Association of Malawi (ECAMA), Lilongwe District Council. The list of focal points or members of the steering committee from the respective organizations is provided in Annex 2.

Management and coordination arrangements for the JP will be aligned to GoM PFEM structures which are also used by the MDTF, such as (i) PFEM Steering Committee (PFEMSC) (i) PFEM Technical Committee (PFEMTC); (iii) Technical Working Groups (TWGs) and (iv) PFEM Unit under MoF. Figure 1 below depicts the JP management and coordination structure and its position vis-a-vis the PFEM structures. Coordination with other partners supporting the PFEM RP will be ensured through participation in the meetings of the Group for Financial and Economic Management (GFEM). The relationship between PFEM and DEAP structures is as follows:

- 1) The ST with the support from the NJPC will represent the JP in the Government PFEM SC. The committee meets semi annually to review progress on the PFM reform program outcomes and to adjust and amend the strategy and work program as necessary. The Stash the Chair of the both the JP's SC and the PFEM SC will represent progress under the JP in the PFEM SC meetings.
- 2) The NJPC will represent the JP in the Government PFEM TC, which consists of directors and senior government officers from PFEM institutions. The PFEM TC meets every two months and provides oversight of PFEM activities and proposes and reviews PFEM activities.
- 3) The PFEM Unit, within the Debt and Aid Division under MoF is the Coordinating Unit for the entire PFEM RP Programme, including contributions from the MDTF and other support. The DEAP Advisor nd Technical Specialist will support the PFEM Unit to steer reforms in several PFEM RP components relevant to the JP.
- 4) Technical Working Groups (TWGs): At the operational and technical level, the same Technical Working Groups that are set up for the PFEM RP will be utilized for the JP. There are 10 working groups which will pursue the technical work of the PFEM RP. TWGs are chaired by the Directors heading the relevant technical department/unit. They report to the PFEM TC and ensure that

implementing units/departments comply with the policy guidelines as directed by the PFEMTC and PFEMSC. TWGs are expected to hold monthly meetings. The TWGs relevant to the JP will provide technical input and participate in the preparation of annual work plans and monitoring of implementation.

The Debt and Aid Division/MoF, MEPD and the Department of Projects and Programmes Implementation, Monitoring and Evaluation (OPC) will be designated Responsible Parties for the activities of the JP. The Responsible Parties will be directly accountable to the MoF.

Day-to-day implementation of the programme will be carried out by the Assistant Director of Debt and Aid Division in MoF; the Director of Planning in MEPD, the Director of Monitoring and Evaluation also in MEPD and the Director for Policy Research and M&E in OPC in the Department of Projects and Programmes Implementation, Monitoring and Evaluation in OPC. Specifically, the Directors of Planning and M&E in MEPD will implement activities under JP outputs 1 and 2, respectively – corresponding to UNDAF Outputs 4.2.2 and 4.2.4. The Assistant Director of Debt and Aid will be responsible for implementing activities under the JP output 3 UNDAF Output 4.2.3. The newly established Department of Projects and Programmes Implementation, Monitoring and Evaluation in OPC will be the responsible party for distinct activities under Output 1. The Directors, respectively Assistant Director will be designated as Output Coordinators for the respective outputs.

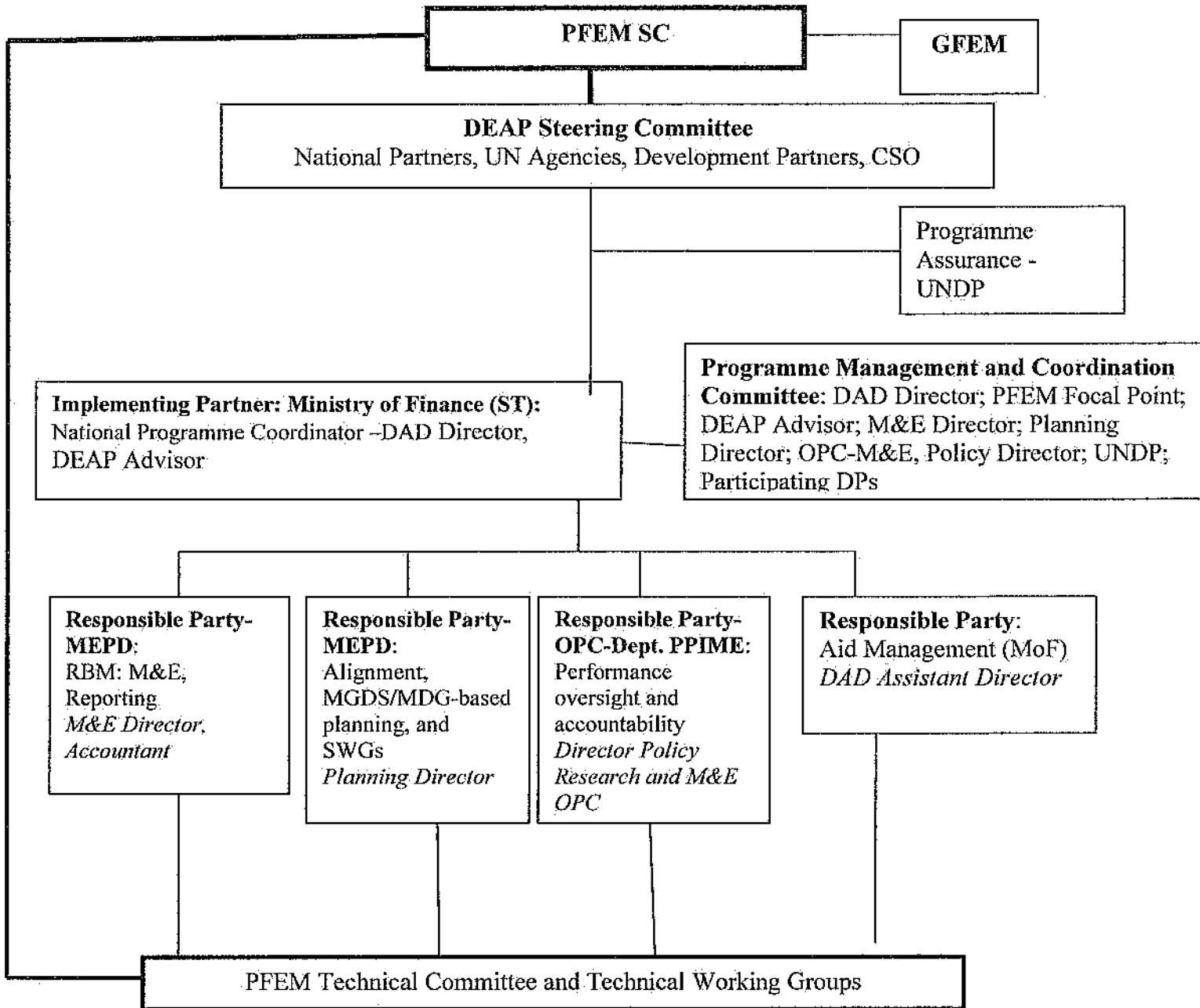
In order to foster collaboration and synergy in the implementation of the two Outputs, MEPD will engage a Project Manager. The Project Manager will report to the Secretary for EPD through the Directors of Planning and M&E and will be responsible for the day-to-day implementation of Outputs 1 and 2. The Project Manager will be supported by a Finance and Administrative Assistant. The terms of reference/Job Description for the Output Coordinators/Project Manager and the Finance and Administrative Assistant are provided in Annex 1.

To ensure coordinated implementation of the programme the NJPC will convene Programme Management and Coordination Committee (PMCC) meetings at least once every quarter. The meetings will be attended by the representatives of all responsible parties in the programme and the focal point in Government for the PFEM RM.

Ministry of Local Government and Rural Development, line ministries, the National Statistical Office (NSO), city and district councils and selected CSOs and private sector organizations will participate in the implementation of the programme through formal arrangements with the MoF and MEPD.

UNICEF, UNAIDS, UNFPA and UNDP will make commitments towards implementation of JP Outputs 1 and 2 which correspond to the UNDAF Action Plan Output 4.2.2 and 4.2.4. Only UNDP is making financial commitments for implementation on JP Output 3 which corresponds to UNDAF Action Plan Output 4.2.3. UNICEF and UNDP have made financial commitments to the activities under the JP output 4.2.4.

Figure 1: JP Management and Coordination Structure



The UN Resident Coordinator (RC) will be the overall facilitator of all UN Agencies participating in this Joint Programme and will be jointly responsible with the Ministry of Finance for ensuring that all programme deliverables are on track and delivered as planned. UNDP will be designated the Managing Agent for Programme and Fund Manager for funds channelled to the basket fund.

### UN Management Arrangements



Management of this Joint Programme on Strengthening Institutional Capacity for Development Effectiveness and Accountability will be linked to the overall co-ordination structure of the UNDAF Action Plan and the 2012-2013 UNDAF M&E Transformation Plan. Under the 2012-2016 UNDAF, the UNDAF M&E Technical Working Group is expected to provide technical support and general management oversight during the planning and implementation and to ensure effective programme management, coordination, monitoring and timely UN feedback. As lead UN agency, UNDP will be the Managing Agent for the programme depending on funding modalities. The UNDAF M&E TWG is composed of staff from UNICEF, UNFPA, UNAIDS, WFP, WHO and UNDP.

## **7. FUND MANAGEMENT ARRANGEMENTS**

The Programme will be financed through core and non-core contributions by participating UN agencies, Government and Development partners. Two funding modalities are envisaged: a parallel financing and basket fund arrangement modalities. UNDP is designated Managing Agent for the basket or pooled funds.

### **7.1 Parallel Financing**

The bulk of the resources for the Joint Programme will be provided through parallel funding arrangements. However, UNDP will be responsible for consolidated reporting as agreed upon by the JP Steering Committee. Each agency will make its own arrangement to disburse of funds to designated Responsible Party in line with approved Annual Work Plans (AWPs) and following the procedures of the UN Harmonized Approach to Cash Transfers (HACT).

Cash transfers for activities in AWP's can be made by UN Agencies using the following modalities:

- a) Direct cash transfers whereby cash is transferred directly to the Implementing Partner or Office of the President and Cabinet or Ministry of Economic Planning and Development or selected districts, prior to the start of activities based on agreed cost estimates;
- b) Reimbursements whereby the Implementing Partner is reimbursed for expenditures agreed prior to the costs being incurred; and
- c) Direct payments to districts, vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner.

The National Project Coordinator/ Manager will be responsible for preparing and submitting financial reports and requests for advance of funds to UN Agencies. The financial reports and requests are to be submitted according to the Funding Authorisation and Certificate of Expenditures (FACE) standard format observing the agreed dates. Delays in submission may negatively impact the access to future advances. No new direct cash transfers will be made until at least 80% of prior advances have been satisfactorily reported against. If the implementing partner does not fully liquidate any advances within a stated period from date of transfer, UN Agencies will suspend any further Direct Cash Transfer until the Implementing Partner clears all outstanding Direct Cash Transfer.

Reimbursements of previously authorized expenditures shall be requested and released quarterly or after the completion of activities. UN agencies shall not be obligated to reimburse expenditures made by the implementing partner over and above the authorized amounts. Following the completion of any activity, any balance of funds shall be reprogrammed by mutual agreement between the implementing partner and the respective UN agency, or refunded.

### **7.2 Role of the Managing Agent**



Where a UN agency chooses to use the pooled mechanism, the Managing Agent of the basket fund will be responsible for the following:

- ensuring that adequate financial resources are available in the basket fund for the implementation of activities as agreed in the Annual Work Plans;
- ensuring that all financial reporting requirements are adequately complied with by reviewing quarterly financial reports from MOF, MEPD and OPC;
- ensuring that quarterly advances based on agreed work plans are transferred timely to MoF, MEPD and OPC upon acceptance of the financial report for the previous quarter;
- facilitating audits as required;
- ensuring timely submission of regular progress and financial reports to all stakeholders;
- monitoring programme implementation together with national counterparts (e.g. spot checks, inventory checks, field visits);
- facilitating specific procurement and recruitments if so requested by Government;
- providing relevant technical advice and assistance in programme implementation, including sharing of best practices in M&E obtained through global UN Knowledge Networks.

### **7.3 Joint Annual Work Plans and Funds Transfer Arrangements**

In keeping with joint nature of the programme, the Responsible Parties will prepare Joint Annual Work Plans (J-AWPs) which will be reviewed in the PFEM TWGs and agreed between MoF, OPC and MEPD. The joint AWP will be signed by all Responsible Parties and UNDP. Under the pooled funding mechanism, UNDP will disburse funds to three project bank accounts held by MoF, MEPD and OPC, respectively. The cash transfers will be according to the National Implementation (NIM) modality and following the procedures of the UN Harmonised Approach to Cash Transfers (HACT).

## **8. MONITORING, EVALUATION AND REPORTING**

Effective M&E of the activities of the joint Programme is critical for realization of set outputs and outcomes. The Government of Malawi realizes that good quality financial monitoring is critical to the effective implementation of the joint Programme and to accountability in the use of resources. To enable regular and quality reporting, key performance indicators have been identified for each output. These indicators will help to focus efforts and resources for evaluating Programme performance. The monitoring of the joint programme will be in accordance with its M&E framework which is also aligned to the UNDAF-AP. It provides an overview of the targets, indicators, data sources with relevant risks and assumptions and mitigating factors.

The Joint Programme will feed into the annual review of the overall performance of the PFEM RP. An independent consultant under the WB executed MDTF will be appointed each year to carry out an independent evaluation of the achievements of the program against the benchmarks established under the M&E framework.

In accordance with current UNDP programming policies the JP will be monitored through the following:

#### Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log which shall be updated by the Output Coordinators (in MEPD with support by the Project Manager) to facilitate tracking and resolution of potential problems or requests for change.

- Based on the initial risk analysis submitted (See Annex 1), a risk log shall be regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information a Project Progress Reports (PPR) shall be submitted by the JP NPC and Output Coordinators to the JP Steering Committee, using the standard report format.
- a project Lesson-learned log shall be regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- a Monitoring Schedule Plan shall be prepared by the Output Coordinators and updated to track key management actions/events

#### Annually

- **Annual Review Reports.** Annual Review Reports shall be prepared by the Output Coordinators (in MEPD with support by the Project Manager) and shared with the JP SC.
- **Annual Programme Review.** Based on the above reports, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the joint programme and appraise the Joint Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the JP SC and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.
- **Midterm and end of program review.** At the end of 2 years a midterm review will be initiated by UNDP to review progress made and analyse any implementation challenges. This will help in reshaping the strategy and reviewing the funding availability and allocations. Towards the end of five years, an end of project evaluation will be conducted to assess achievement of objectives and outcomes. This will also assess progress made towards achieving programme outcomes and critically analyze implementation challenges and document lessons learned in order to guide scope of the subsequent PSD.

**Table 1: Joint Programme Monitoring and Evaluation Framework\***

Expected Results (Outcomes & outputs)	Indicators (with baselines & indicative timeframe)	Means of verification	Collection methods (with indicative time frame & frequency)	Responsibilities	Risks & assumptions
<p><b>Outcome:</b> Public institutions are better able to manage, allocate and utilize resources for effective development and service delivery by 2016.</p>	<p><b>Indicator 1:</b> Percentage of aid reported in the national budget (2009: 55%, Dec 2016: 90 %)</p>	<p>National Budget and Aid Atlas reports</p>	<p>Routine data collection, Annual budget and Quarterly Atlas reports</p>	<p>MOF</p>	<p><b>Assumptions:</b> Effective government ownership and leadership of the CABS/SWAp process; Government commitment to reporting on utilization of development assistance; Government commitment to efficient achievement of MGDS priorities</p> <p><b>Risk:</b> High turnover of skilled staff in Government; Insufficient resources for implementation of the MGDS priorities.</p>
	<p><b>Indicator 2:</b> % of development budget (Part 1 and 2) utilized (2010:30; 2016:80)</p>	<p>MoF expenditure reports</p>	<p>Administrative data</p>	<p>MoF</p>	<p>Effective Government ownership and leadership</p>



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<p><b>UNDAF Output 4.2.2/JP Output 1:</b> National Institutions utilize RBM systems for planning, monitoring and evaluation to enhance ownership and leadership for achievement of development results.</p>	<p><b>Indicator 1:</b> % of Ministries with functional M&amp;E systems. Baseline: 60% (2010) Target: 90% (2016)</p>	MEPD reports	Quarterly progress reports	MEPD	<p><b>Assumption:</b> Effective Government ownership and leadership <b>Risk:</b> High vacancy rates</p>
	<p><b>Indicator 2:</b> No. of public institutions utilizing the MDG based planning and budgeting tools Baseline: 2 (2010) Target: 16 (2016)</p>	Evaluation report	Survey & Administrative data	MEPD	<p><b>Assumption:</b> Effective Government ownership and leadership <b>Risk:</b> High vacancy rates</p>
	<p><b>Indicator 3:</b> No. of district councils with functional M&amp;E systems. Baseline: 7 (2012); Target: 28 (2016)</p>	MEPD and District council reports	Survey, quarterly project progress reports	MEPD	<p><b>Assumption:</b> Effective Government ownership and leadership <b>Risk:</b> High vacancy rates</p>
	<p><b>Indicator 4:</b> Number of staff in ministries and districts trained in RBM Baseline: 56 at district level; 25 in line ministries Target: 800 at district level; 260 at central level and in line ministries (2016)</p>	MEPD and training institutions reports	Quarterly project progress reports	MEPD	<p><b>Assumption:</b> Effective Government ownership and leadership <b>Risk:</b> High vacancy rates</p>
	<p><b>Indicator 5:</b> Number of public institutions assessed for performance annually and provided feedback Baseline: 0 (2011); Target: 24 (2016)</p>	Assessment reports	Quarterly project progress reports	OPC	<p><b>Assumption:</b> Effective Government ownership and leadership</p>
	<p><b>Indicator 6:</b> MGDS annual review reports available by October each year Baseline: No; Target: Yes (2016)</p>	MGDS Annual review report	Annual project progress report	MEPD	<p><b>Assumption:</b> Effective Government ownership and leadership <b>Risk:</b> Not all SWGs functioning</p>

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<p><b>UNDAF output 4.2.4/JP</b> <b>Output 2:</b> National Institutions have the capacity to align policies, programmes and budgets With national development strategies and MDGs for efficient achievement of development results</p>	<p><b>Indicator 1:</b> Sector and district plans aligned with MGDS priorities and linked to MTEF process Baseline: 0 (2011); Target: 5 sectors and 10 districts (2016)</p>	<p>Planning and budget documents</p>	<p>Survey Administrative data</p>	<p>MEPD</p>	<p><b>Assumption:</b> Effective Government ownership and leadership</p>
	<p><b>Indicator 2:</b> Number of functional SWGs Baseline: 6 (2012); 16 (2016)</p>	<p>MEPD reports</p>	<p>Survey Administrative data</p>	<p>MEPD</p>	<p><b>Assumption:</b> Effective Government ownership and leadership of SWG process</p>
	<p><b>Indicator 3:</b> No. of public institutions practicing RBM Baseline: 0 (2010) Target: 16 (2016)</p>	<p>MEPD reports</p>	<p>Periodic data collection and surveys</p>	<p>MEPD</p>	<p><b>Assumption:</b> Effective Government ownership and leadership Government commitment to reporting on utilization of development assistance. Government commitment to efficient achievement of MGDS priorities</p>
	<p><b>Indicator 4:</b> % of aid flows provided as program based approach (2010:22; 2016:70) Baseline: 22% (2010) Target: 70% (2016)</p>	<p>Aid Atlas reports</p>	<p>Administrative data</p>	<p>MoF</p>	<p><b>Assumptions:</b> CABS/SWAp mechanisms functioning <b>Risk:</b> DPs withhold funds from general and sector budget support due to risks with government systems</p>

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	<p><b>Indicator 5:</b> Proportion of development co-operation covered by indicative forward expenditure plans covering at least three years ahead. Baseline: 30 % (2012), Target: 70 % (2016)</p>	Aid Atlas reports	Annual Administrative data	MoF	<p><b>Assumptions:</b> Effective government ownership and leadership of the CABS/SWAp process; Government commitment to reporting on utilization of development assistance; Government commitment to efficient achievement of MGDS priorities</p>
	<p><b>Indicator 6:</b> A system for tracking allocations to gender equality and women's empowerment is in place Baseline: No (2012); Target: Yes (2016)</p>	Annual budget statements and reports	Administrative data	MoF	<p><b>Assumption:</b> Effective Government ownership and leadership Government commitment to efficient achievement of MGDS priorities</p>
<p><b>UNDAF Output 4.2.3/JPOutput 3:</b> Government has sufficient capacity to effectively negotiate, manage and account for development assistance</p>	<p><b>Indicator 1:</b> % of aid flows using national procurement and Public Finance management systems, respectively Baseline: 62 %, 66 % (2010) Target: 75 %, 75% (2016)</p>	Survey reports, Aid Atlas	Survey and administrative data	MoF	<p><b>Assumption:</b> national procurement and public finance systems fully developed <b>Risk:</b> Donor fatigue</p>
	<p><b>Indicator 2:</b> No. of DPs, respectively sector ministries, with access to the online AMP Baseline : 5 DPs; 0 ministries (2012); Target: 16 DPs; 5 ministries (2016)</p>	MOF progress reports	Project quarterly reports	MoF	<p><b>Assumption:</b> Availability of connectivity bandwidth <b>Risk:</b> IT security issues on DPs side</p>

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<p><b>Indicator 3:</b> Level of consistency between DPs information of aid flows and information on AMP Baseline: 80 %; Target: 100 % (2016)</p>	<p>Aid Atlas reports</p>	<p>Administrative data</p>	<p>MoF</p>	<p><b>Assumptions:</b> Effective government ownership and leadership of the CABS/SWAp process; Government commitment to reporting on utilization of development assistance; Government commitment to efficient achievement of MGDS priorities</p>
<p><b>Indicator 4:</b> Functioning arrangements for mutual accountability in place Baseline: No (2012) Target: Yes (2016)</p>	<p>Mutual accountability reports, minutes of HLF meetings</p>	<p>Annual data collection, reporting on targets in MGDS reviews</p>	<p>MoF</p>	<p><b>Assumption:</b> Effective Government ownership and leadership</p>
<p><b>Indicator 5:</b>No. of HLF forums held annually Baseline: 0(2012) Target: 1(2016)</p>	<p>MoF reports, minutes of HLF meetings</p>	<p>Annual Project progress reporting</p>	<p>MoF</p>	<p><b>Assumption:</b> Participants are available to attend the fora <b>Risk:</b> Too many meetings</p>
<p><b>Indicator 6:</b> No of key stakeholders sensitized in aid and development effectiveness Baseline: 50 (2012); Target: 300 (2016)</p>	<p>MoF reports</p>	<p>Quarterly project progress reports</p>	<p>MoF</p>	<p><b>Assumption:</b> Effective Government ownership and leadership of aid and development effectiveness agenda</p>

\* Detailed indicator definitions are provided in Annex 4

## 9. LEGAL CONTEXT OR BASIS OF RELATIONSHIP

**Table 2: Basis of Relationship**

<b>Participating UN organization</b>	<b>Agreement</b>
UNDP	This Joint programme document shall be the instrument referred to as such in Article I of the Standard Basic Agreement between the Government of Malawi and the United Nations Development Programme (UNDP), signed by the parties on 15 <sup>th</sup> July 1977.
UNICEF	This Joint programme document shall be the instrument referred to in the Standard Basic Agreement between the Government of Malawi and the United Nations Children’s Fund, signed by the parties on 28 <sup>th</sup> June, 1994.
UNFPA	UNFPA is covered by the UNDP Standard Basic Assistance Agreement with the Government of Malawi signed 15 <sup>th</sup> July 1977.
UNAIDS	UNAIDS is covered by the UNDP Standard Basic Assistance Agreement with the Government of Malawi signed 15 <sup>th</sup> July 1977.

### Annex 1: Risk Log

<b>Project Title: Strengthening Institutional Capacity for Development Effectiveness and Accountability</b>				<b>Project ID:</b>	<b>Date:</b>		
<b>#</b>	<b>Description</b>	<b>Type</b>	<b>Impact &amp; Probability (scale from 1-low to 5-high)</b>	<b>Countermeasures/ Management response</b>	<b>Owner</b>	<b>Last Update</b>	<b>Status of risk</b>
1	Lack of high-level political commitment for Development Effectiveness and Accountability and Results-Based Management practices	Political	Risk occurring would have a very serious negative impact making it extremely difficult to achieve the programme outcome.  Probability: 3    Impact: 5	MoF, OPC and MEPD to impress upon senior officials the need and merits of promoting development effectiveness and merits of RBM	Project Steering Committee and GFEM		
2	Limited collaboration between Moaned MEPD in promoting SGWs	Organizational	Risk occurring would have a negative impact making it difficult to achieve the programme outcome.  Probability: 3    Impact: 5	MoF and MEPD to impress upon senior officials the need and merits of SWGs	Steering Committee		
3	Sector Ministries not able or willing to provide M&E data to MEPD	Strategic	Risk occurring would have a serious negative impact as it will hamper achievement of the programme outcome and outputs.	OPC to impress upon Sector Ministries to collaborate and coordinate with MEPD; increase	Steering Committee, PSs MoF and MEPD		

**Strengthening Institutional Capacity for Development Effectiveness and Accountability**

4	Insufficient funding from donors	Financial	<p>Probability: 3 Impact: 4</p> <p>Insufficient funding may suggest limited donor confidence in the programme. This would have a serious negative impact on achieving the programme outcome and outputs.</p> <p>Probability: 2 Impact: 4</p> <p>Will lead to delays in transfer of quarterly advances to MoF and MEPD, hence potential delay in the implementation of programme activities.</p> <p>Probability: 2 Impact: 3</p>	<p>efforts to develop M&amp;E capacity of Ministries. Sector M&amp;E officers to be part of Coordination meetings.</p> <p>MoF, MEPD and UNDP to lobby current and new donors to allocate extra funds</p>	Steering Committee			
5	Delays in financial reporting by MEPD and MOF	Financial	<p>Probability: 2 Impact: 3</p> <p>Could result in lack of ownership of national initiative and ineffective achievement of results</p> <p>Probability: 2 Impact: 2</p>	<p>MoF and MEPD to adhere to financial reporting deadlines. UNDP to facilitate advance transfers once financial reports approved.</p>	UNDP Programme Analyst			
6	Non-state actors not willing to participate in government committee	Strategic	<p>Probability: 2 Impact: 2</p>	<p>MoF and MEPD to implement awareness programmes to motivation participation by non-state actors</p>	PSC			



## **Annex 2: DEAP Job Descriptions**

### **1. DEAP PROGRAMME MANAGEMENT AND COORDINATION**

The Joint National Programme Coordinator (JNPC) will be responsible for the overall management of the Joint Programme implementation and the financial accountability for the programme funds, both for the parallel funds and basket funds made available to the Joint Programme. He/she will represent the MOF on the overall programmatic policy issues and serve as a main liaison with the Programme Steering Committee, MOF, the Responsible Parties and other project-implementing partners. The JNPC will serve as the secretary to the Steering Committee and other programme level committees. He/she will compile a Joint Annual Work Plan and programme level reports including progress reports. He/she will be responsible for organizing joint programme activities such as programme monitoring visits.

Day to day management of the programme will be assigned to Output Coordinators represented by the Assistant Director in the Debt and Aid Division, the Director of Monitoring and Evaluation Division in MEPD, the Director of Planning and Development Division in MEPD and a Director in OPC. The JNPC together with the directors, respectively assistant director will constitute the Programme Management and Coordination Committee which will be headed by the JNPC.

The Programme Management and Coordination Committee shall have the following responsibilities:

1. To ensure that the DEAP outcomes and outputs are achieved, to monitor fund flow and to produce comprehensive progress and financial progress reports.
2. To provide technical support and skills training to see that counterparts are able to achieve the expected outputs, backstopping national staff, as required.
3. To communicate closely with the programme partners to coordinate the programme activities.
4. To communicate closely with development partners.

### **2. JOINT NATIONAL PROGRAMME COORDINATOR**

#### **Duties and Responsibilities:**

The Director of the Debt and Aid Division, MOF will serve as the Joint National Programme Coordinator. The National Programme Coordinator will report to the Secretary to the Treasury. He will be responsible for the overall management of the Joint Programme implementation and the financial accountability for the programme funds disbursed to the Ministry of Finance. He will represent the Joint Programme on the overall programmatic policy issues and serve as a main liaison with the Programme Steering Committee, MOF, the Responsible Parties (MEPD), OPC and other project-implementing partners.

### **3. OUTPUT COORDINATORS/ MANAGER**

The Output Coordinators will be responsible for the effective and efficient implementation of the activities and achievement of programme results in their respective outputs. The Output Coordinators in MEPD will be supported by a Manager and a Finance and Administrative Assistant.

**Duties and Responsibilities:**

- Plan the activities falling under the respective output and monitor progress against the approved work-plan;
- Mobilize personnel, goods and services, training and funds to initiative activities, including drafting terms of reference and work specifications and overseeing all contractors' work;
- Monitor events as determined in the project monitoring schedule plan, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments, or reimbursement using the FACE (Fund Authorization and Certificate of Expenditures);
- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- Manage and monitor risks initially identified and submit new risks to the SC for consideration and decision on possible actions if required; update the status of these risks by maintaining the risks log;
- Capture lessons learnt during programme implementation – a lessons learnt log can be used in this regard;
- Coordinate stakeholder inputs and TWG activities, calling regular management meetings to monitor progress against work plans and ensure adequate delivery of products;
- Establish partnerships with other development programmes to create synergies in the achievement and sustainability of programme results;
- Perform regular progress reporting to the SC as agreed to with the SC;
- Prepare the annual review report, and submit the report to the SC and the outcome group;
- Prepare the annual work plan for the following year, as well as quarterly plans if required; and
- Update the Atlas Project Management module if external access is made available.

**4. DEAP ADVISOR**

**I. Post Information**



**UNITED NATIONS DEVELOPMENT PROGRAMME  
JOB DESCRIPTION**

**Post Title: Development Effectiveness and Accountability Project (DEAP) Advisor**  
**Post Number:**  
**Type of Contract: FTA International**  
**Duty Station: Lilongwe, Malawi**

**Current Grade (if applicable):**  
**Proposed Grade: P- 4**  
**Supervisor Grade: Deputy Resident Representative (Programme), P- 5**



## **II. Organizational Context**

As part of the measures to operationalise Outcome 4.2 of the 2012-2016 UNDAF, namely: *Public institutions will better manage, allocate and utilize resources for effective development and service delivery*, the UN system in collaboration the Government of Malawi has developed a project document on Strengthening of Institutional Capacity for Development Effectiveness and Accountability. The Project has been conceived to address gaps in capacities in the areas of planning, monitoring and evaluation, development assistance management and results-based management (RBM) while recognizing the synergies and inter-relationships between them.

The Project seeks to achieve the following outputs: i) National institutions utilize Results Based-Management (RBM) systems for planning, monitoring and evaluation to enhance ownership and leadership for achievement of development results; ii) Government has sufficient capacity to effectively negotiate, manage and account for development assistance; and iii) National institutions have the capacity to align policies, programmes and budgets with national development strategies and MDGs for efficient achievement of development results.

It is the UN's response to the 2011-2015 Malawi Growth and Development Strategy (MGDS) Theme 5: Improved Governance - Sub-theme 1: Economic Governance and to the Public Financial and Economic Management (PFEM) Report Programme. The latter is the main vehicle through which Development Partners are going to support the economic governance agenda in the MGDS.

The Strengthening Institutional Capacity for Development Effectiveness and Accountability Programme (DEAP) and the PFEM Reform Programme entail a wide scope of technical areas and large number of stakeholders at the national, sectoral and local levels. The nature of interventions will demand high levels of coordination capabilities, strong analytical and organizational skills as well as experience in development cooperation management. It is against this background that a DEAP Advisor is being sought to assist in the management and coordination of the programme.

The advisor will be located at Ministry of Finance. He/she will operate under the overall guidance of Secretary to the Treasury and the UNDP Deputy Resident Representative (Programme). He/she will work closely with JNPC and the Assistant Resident Representative of the Capacity Development Cluster of the UNDP country office in Malawi. The Advisor will be responsible for all aspects of the development effectiveness and accountability project and ensure an efficient attainment of project outputs and results. Specifically, the Advisor will provide expert advice to support the coordination and management of DEAP; RBM practices in M & E; development assistance management and MGDS-based planning and provide technical assistance to the Output and activity Coordinators in OPC-Department of Projects and Programme Implementation, Monitoring and Evaluation, Ministry of Finance and Ministry of Economic Planning and Development.

## **III. Functions / Key Results Expected**

**Summary of Key Functions:**

1. Provides **top-notch expertise and advice** to UNDP, OPC, Ministry of Finance, and Ministry of Economic Planning and Development with regard to development of policy, strategies, innovations and best practices in RBM, development cooperation and national development goals and MDGs achievement;
2. **Strengthens the capacities of, OPC, MoF, and MEPD** for the implementation, management, coordination, monitoring and evaluation of the DEAP;
3. **Ensures effective management of the DEAP** focusing on quality control of the full cycle of programming from formulation, monitoring, implementation and reviews.
4. Facilitates and maintains **strategic partnerships and resource mobilization**;
5. Undertakes **advocacy and information, education and communication (IEC) and contribute to learning and knowledge management**.

1. Provides **top-notch expertise and advice** to UNDP, MOF, OPC and MEPD with regard to development of policies, strategies, innovations and best practices in RBM, development cooperation and national development goals and MDGs achievement.
  - Conducts research and analysis of developments in the areas development cooperation, RBM and national strategy planning and management;
  - Keeps abreast of developments and trends in the areas international development cooperation, managing for development results, national planning and MDGs achievement;
  - Technically contributes to the institutionalization of RBM, Human Rights-Based Approaches and MDGs/MGDS-Based planning and budgeting in Ministries, Departments and Agencies and district councils;
  - Recommends and initiates policy formulation and reviews impact assessments in the areas pertaining to development effectiveness;
  - Guides the MGDS and MDGs annual review processes to ensure high quality of reports and cost-effectiveness;
  - Provides regional and international best practices in programming and management for effective development cooperation, RBM and national goals and MDGs achievement; and
  - Contributes to the processes for acceleration on lagging MDGs and priority goals in the MGDS;

2. The Advisor will institutionalize and maintain donor intelligence, strategic partnership and resource mobilization and undertake advocacy activities. The Advisor will initiate and undertake capacity development activities to ensure skills transfer and on the on-the-job learning for national staff to ensure sustainability of the programme activities upon end of project phase.

**3. Strengthens the capacity of OPC/MoF / MEPD/District Councils** for the implementation, management, coordination, monitoring and evaluation of DEAP:

- Provides technical assistance to MoF, OPC and MEPD for these Ministries to assume leadership and strategic oversight of the planning, budgeting, implementation and

monitoring of the DEAP components, in line with output and outcome indicators;

- Conducts a thorough analysis of the policy, managerial and technical aspects and advise MoF, MEPD and UNDP on arrangements to ensure effective management and implementation of DEAP;
- Provides technical expertise to ensure effective application of the Results-Based Management (RBM) tools, establishment of management targets and monitoring and achievement of results;
- Works closely with and provides technical assistance to the DEAP National Component Managers to promote effective coordination of activities in relation to the PFEM Reform;
- Ensures effective monitoring and evaluation of the DEAP Project and introduces adjustments to programme design and implementation strategies as/when necessary in consultation with key stakeholders;
- Provide technical assistance for the development of reporting systems and the elaboration of consolidated annual progress reports for the programme;
- Provides technical expertise to the formulation of TORs and recruitment of short-term consultants needed to undertake knowledge products or other works related to the programme.
- Undertakes effective liaison and coordination with participating UN agencies, PFEM focal point and other National Programme Partners (actual and potential) to ensure a coordinated, harmonised and integrated approach which guarantees ongoing financial and technical support for its development and consolidation.
- Transfers skills and develops capacity in RBM, Aid Management and coordination and strategic planning, HRBA to programming, MGDS-based planning and costing through trainings, on-the-job coaching, briefings and study sessions, etc.

**2. Ensures effective management of the DEAP Project** focusing on quality control of the full cycle of programming from formulation, monitoring, implementation, and reviews.

- Provides leadership and guidance in the implementation of the DEAP Project other related projects within PFEM Reform Programme.;
- Assists in effective application of RBM tools, establishment of management targets and monitoring and achievement of results;
- Assists in strategic oversight of planning, budgeting, implementing and monitoring of the DEAP Project, tracking use of resources in accordance with UNDP rules and regulations, as well as policies and procedures.
- Undertakes effective monitoring, measuring the impacts of the DEAP on a regular basis.
- Ensures team work with the government colleagues, as well as with colleagues in the UNDP country office and the UN system.
- Contributes to the learning initiative in the government as well as in the UNDP CO, and to the knowledge management initiatives, particularly for government and UNDP.

**3. Facilitates and maintains strategic partnerships and resource mobilization:**

- Develops partnerships for achieving effective resource mobilization to achieve programme outcomes;
- Establishes and promotes partnerships with UN agencies, bilateral and multilateral donors, government institutions, organized private sector, CSOs and other stakeholders;
- Contributes to the Economic Governance Sector Working Group (SWG) to help bridge the potential gap between the government and development partners;
- Prepares briefings on possible areas of cooperation and identification of opportunities for



cost-sharing;

- Contributes to the establishment of cooperation and inter-change between national and sub-national institutions and key national and international stakeholders;
- Provides technical support and expert advice in the formulation, implementation, monitoring, and reviews of the UNDAF, UNDP country programme, and the UN Joint Programmes and Programming for UNDAF outcome 4. 2 and
- Identifies strategic and innovative areas of cooperation with interested development partners in supporting development effectiveness.
- Provides technical contribution to the UN M & E group's work
- Ensures strategic linkages between DEAP Project and PFEM – RP.

**4. Undertakes advocacy and information, education and communication (IEC) and contributes and knowledge management, focusing on:**

- Facilitates a process of creating and raising the level of awareness on issues emerging in the fields of development cooperation, RBM and national goals and MDGs achievement;
- Contributes to the development and implementation of the MGDS, MDG and National Human Development Report communication strategy and action plan;
- Generates best practices and communicates them with the aim of informing the national-level policy and political dialogue in the fields;
- Provides specialist advice on a timely basis to UNDP and the UN System on significant policy measures being considered or implemented by the Government in the area of development effectiveness;
- Creates high-level advocacy on relevant development policies and programmes in relation to development effectiveness across the representatives of top echelon of the country's stakeholders;
- Actively participates in UNDP's corporate knowledge networks (i.e. team works) and share international level knowledge in the portfolio with national partners
- Determines appropriate media for reaching out to the public and design strategies for reaching target groups; and
- Promotes South-South collaboration in support for exchange of information and experience with other countries.

#### **IV. Impact of Results**

The key results have impacts on the overall success of the Strengthening Institutional Capacity for Development Effectiveness and Accountability. In particular, the key results have impact on the definition, planning, budgeting and implementation of programming activities, programme monitoring and knowledge management and the creation of strategic partnerships with actual and potential programme partners. In specific terms, it has impacts on the following results areas:

- Capacity development of OPC, MoF, MEPD and other national and sub-national government agencies involved in the area of decentralised and participative planning through the provision of specialist technical advice and expertise, training, and knowledge and

information management.

- Management, coordination, implementation and monitoring of the National Programme for DEAP.
- The development and management of strategic partnership with key national and international stakeholders in the field of development effectiveness.

## **V. Competencies**

**Corporate Competencies:**

- Promotes the vision, mission and strategic goals of UNDP.
- Demonstrates integrity by modelling the UN's values and ethical standards.
- Displays cultural, gender, religion, race, nationality, and age sensitivity and adaptability.

**Functional Competencies:**

**(1) Technical knowledge:**

- Demonstrates a thorough understanding of the issues and challenges related to development effectiveness and accountability as stipulated in the Paris Declaration on Aid Effectiveness and Busan global partnership agreement.
- Exhibits a good knowledge of institutional development and capacity development issues.
- Displays process, transparency and accountability in the country.
- Expertise in RBM and M & E tools and practices

**(2) Development and Operational Effectiveness:**

- Ability to lead and contribute to strategic planning, change processes, results-based management, work planning, and reporting.
- Ability to formulate and manage budgets, oversight of implementation, monitoring and evaluation of development projects.
- Ability to apply development theory to the specific country context to identify creative, practical approaches to overcome challenging situations.
- Ability to build and sustain effective partnerships with UN Agencies and main constituents, advocate effectively, communicate sensitively across different constituencies.
- Ability to mobilise resources and undertake cost-recovery.
- Ability to implement new systems and effect behavioural and attitudinal change.

**(3) Knowledge and Information Management and Learning:**

- Facilitates knowledge and information sharing and learning culture.
- Has good knowledge on UNDP programme and operational issues.
- Actively works towards continuing personal learning and development in one or more Practice Areas, acts on learning plan and applies newly acquired skills.
- Has knowledge of UNDP/UN policies and programme in disaster risk reduction.

**(4) Management and Leadership:**

- Builds strong relationships with stakeholders and clients, focuses on impact and results for clients, and respond positively to feedback.
- Ability to establish effective working relations and team working in a multicultural team environment, and sensitivities to cultural differences.
- Excellent interpersonal skills.
- Consistently approaches work with energy and a positive, constructive attitude.
- Demonstrates strong oral and written communication skills.
- Demonstrates capacity to communicate effectively; resource management; capacity to plan and organize programmes effectively.
- Demonstrates resourcefulness, initiative and mature judgment.
- Demonstrates openness to change and ability to manage complexities.
- Patience to work under pressure and maintains positive outlook and humour.

<b>VI. Recruitment Qualifications</b>	
Education:	At least a Master's degree in Economics, Business Administration, International Relations, Public Policy, and Development Studies or in any related social sciences.
Experience:	<ul style="list-style-type: none"> <li>• At least 7 years practical experience in development cooperation and development programming at international and national levels.</li> <li>• Experience in developing countries, preferably in the Africa region.</li> <li>• Thorough knowledge of development policies, aid and debt policies, RBM practices, aid and development effectiveness and strategic planning and budgeting.</li> </ul>
Language Requirements:	Excellent written and oral communication skills and fluency in English. Another UN official language as an advantage.

<b>VII. Signatures- Post Description Certification</b>			
<i>Incumbent (if applicable)</i>			
Name	Signature	Date	
Supervisor			
Name / Title	DRR-P	Signature	Date
Chief Division/Section			
Name / Title	RR	Signature	Date

## 5. PROJECT ACCOUNTANT

### **Duties and Responsibilities:**

Reporting to the Output Coordinators in Ministry of Economic Planning and Development, the Accountant will be responsible for providing of financial and administrative services for the outputs managed by the MEPD. Specific duties will include:

1. Assisting the Output Coordinators in maintaining the financial records (Excel Spreadsheet for the programme on monthly, quarterly and yearly basis;
2. Assisting in preparation of financial matters (e.g. payment vouchers) for the programme;
3. Establishing and maintaining a proper accounting system consistent with UNDP/GOM financial regulations, rules, policies and procedures for implementing project;



4. Conducting a constant review and evaluation of internal accounting and control procedures and providing technical guidance to the Output Coordinators on professional accounting requirements;
5. Reviewing and analyzing financial statements and supporting information related to the basket fund programme expenditures and preparing budgets and periodic cash-flow projections;
6. Preparing monthly expenditure reports for submission to UNDP, MoF and Malawi Government's Department of Accountant General;
7. Examining all payment vouchers and cheques made to ensure that they have been properly entered into the books and are consistent with UNDP's requirements, and
8. Signing security documents (vouchers and cheques), verifying that all payments are properly authorized by responsible officers and preparing mostly reconciliation statements.

## **Annex 3: Joint Programme Committees**

### **1. JOINT PROGRAMME STEERING COMMITTEE**

#### **Membership**

The Joint Programme Steering Committee membership will comprise high-level decision-makers from Government, the UN family and representatives of development partners. Being a policy and decision making body, attendance of meetings will preferably be in person rather than by delegation in order to ensure decisions being made during meetings without further consultations.

The membership of the Steering Committee will be as follows:

- Secretary to the Treasury, MoF (Chair)
- Secretary for Economic Planning and Development
- Commissioner for Statistics
- Principal Secretary, Dept of Projects and Programmes Implementation, Monitoring and Evaluation, OPC
- Director of Debt and Aid, MoF
- PFEM RP Coordinator
- Principal Secretary, MLGRD
- World Bank Country Manager
- Head of Delegation, European Commission
- Head of Mission, DFID
- Director of GIZ
- AfDB Representative
- MEJN Coordinator
- ECAMA representative
- MCCI representative
- Malawi Institute of Management (MIM)
- Lilongwe District Council
- UNICEF Resident Representative
- UNFPA Representative
- UNAIDS Representative
- UNDP Resident Representative

Duties and Responsibilities of the Steering Committee

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;



- Address project issues as raised by the Joint National Programme Coordinator and Output Coordinators;
- Provide guidance on new project risks and agree on possible countermeasures and management actions to address specific risks;
- Agree on programme and output coordinators' tolerances as required;
- Review the JP progress and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Review combined delivery reports prior to certification by the implementing partner;
- Appraise the JP annual review report, make recommendations for the next JP annual work plan, and inform the outcome group about the results of the review;
- Provide ad-hoc direction and advice for exception situations when the National Programme Coordinator and Output Coordinators' tolerances are exceeded;
- Assess and decide to proceed on programme changes through appropriate revisions;
- Consider and provide guidance on all recommendations from the Technical Working Groups (TWGs).

### **Modalities of operation**

The Steering Committee will meet twice per year: in the fourth quarter of the Government Financial Year to assess progress and approve the work plan and budget for the subsequent year; and in the second quarter of the Government Financial Year to review the annual progress and financial report and consider policy issues. All meetings will be convened by the Debt and Aid Division, MoF.

## **2. PROGRAMME MANAGEMENT AND COORDINATION COMMITTEE**

### **Membership:**

- NJPC – Chair
- Assistant Director, DAD
- Director of Planning, MEPD
- Director of M&E, MEPD
- Director of Research, M&E, OPC
- DEAP Advisor, MoF/UNDP
- PFEM RP Coordinator, MoF
- PFEM RP World Bank Focal point
- LOGISIP Coordinator, MoLGRD
- UNDP Programme Analyst
- EU Focal Point

### **Duties and Responsibilities**

- Review implementation of quarterly and progress reports to identify programmatic and operational challenges and offer solutions;
- Review Output Monthly and Quarterly plans in relation to the PFEM RP and LOGISIP to ensure coordination and complementary of activities;
- Review the DEAP Advisor's report;
- Discuss detailed implementation arrangements of main activities of PFEM RP, LOGSIP and DEAP.
- Share pertinent information on upcoming programme events.

### **Modalities of operation**

The Programme Management and Coordination Committee will meet every other month assess progress and discuss implementation arrangements for work plan and budget for the subsequent period. All meetings will be convened by the Debt and Aid Division, MoF.

## Annex 4: Indicators definitions

<b>Indicator</b>	<b>Indicator Definition/ Unit of measurement</b>
Percentage of aid reported in the national budget	% of aid scheduled for disbursement to the government sector that is recorded in the annual budgets approved by Parliament  <b>Unit:</b> Percentage
% of development budget (Part 1 and 2) utilized (2010:30; 2016:80)	Proportion of the development budget (parts 1&2) spent in a particular year  <b>Unit:</b> Percentage
No. Of public institutions utilizing the MDG based planning and budgeting tools	Number of government ministries, departments and agencies that exhibit the following: 1) have staff trained in using MDG-based planning and budgeting tools and methodology; 2) have developed and are implementing programmatic plans which benefit from application of the MDGs-based planning and costing process and tools  <b>Unit:</b> Number
No. of public institutions practicing RBM	Number of ministries, departments and agencies that: 1) have developed planning documents that are consistent with the MGDS and have well organized and measurable system of indicators to track progress; 2) are tracking achievement of targets and indicators; 3) are reviewing organizational and individual performance and are reporting feedback; 4) are integrating outcomes from monitoring and evaluation into planning  <b>Unit:</b> Number
% of Ministries with functional M&E systems.	Number of sector Ministries that have established M&E systems that are operational i.e. those that meet the following criteria: a) Have M&E Unit in place b) Staff attended M&E skills development training c) Regularly produce M&E Products such as reports d) Make use of M&E information Out of the total number of Ministries.  <b>Unit:</b> Percentage
% of district councils with functional M&E systems	Number of district councils that have established M&E systems that are operational i.e. those that meet the following criteria: i) have a M&E officer/focal point ii) Staff attended M&E course iii) produce M&E Products such as reports iv) Make use of M&E information Out of the total number of districts.  <b>Unit:</b> Percent

<p>Number of public institutions assessed for performance annually and provided feedback</p>	<p>Assessment of institutional performance of government ministries/departments and agencies through administering OPC/Ministries Performance agreements and other instruments</p> <p>Unit: Number</p>
<p>Sector and district plans aligned with MGDS priorities and linked to MTEF process</p>	<p>Strategic planning linked to MGDS and the budget</p>
<p>No of functional SWGs</p>	<p>The SWG is considered functional if the following conditions are met:          (i) The SWG has instituted governance structures like Policy and Management Committee and Technical Working Groups          (ii) There is at least one meeting every 6 months of the SWG's governance bodies (Policy and Management Committee, Technical Working Groups)          (iii) There is a secretariat for managing the work of the SWG          (iv) The SWG meets at least once annually in its full composition - to plan activities, conduct joint sector review etc.</p>
<p>% of aid flows provided as program based approach</p>	<p>Percentage of aid provided through sector and general budgets</p> <p>Unit: Percentage</p>
<p>% of aid flows using national procurement and Public Finance management systems, respectively</p>	<p>Numerator: Aid flows using country systems (average of a, b, c and d)</p> <p>Denominator: total aid flows to the government sector</p> <p>Where:          (a) equals aid flows disbursed for the government sector using national budget execution procedures          (b) equals aid flows disbursed for the government sector using national financial reporting procedures          (c) equals aid flows disbursed for the government sector using national auditing procedures          (d) equals aid flows disbursed for the government sector using national procurement procedures</p>
<p>Level of inclusiveness in arrangements for Mutual accountability among co-operation actors</p>	<p>Assessment is made on the basis of the following five criteria:          (i) Existence of an aid strategy agreed between partner country government and providers of development co-operation          (ii) Existence of country-level aid effectiveness targets for both partner country government and co-operation providers          (iii) Assessment against these targets is undertaken jointly by government and providers of development co-operation          (iv) Active involvement of civil society, local government and parliamentarians in such reviews.          (v) Results of such exercises are made public.</p> <p>Unit: A country is considered to have a mutual assessment in place when <i>at least four</i> of the five criteria are met.</p>

<p>A system for tracking allocations to gender equality and women's empowerment is in place</p>	<p>The criteria for this indicator are as follow:                  (i) A system overseen by ministry of finance that considers gender impact in budget decisions and incorporates measures to mitigate any adverse impact on gender equality and women's empowerment, and to actively promote advance of gender equality and women's empowerment. Evidence of this would be proformas for gender impact assessment to accompany bids for funding to Ministry of Finance; and sector gender budget statements accompanying budget documents produced by Ministry of Finance.                   (ii) A system that marks budget allocations towards gender equality and women's empowerment policy objectives and results. Evidence of this would be budget classification systems, gender markers etc.   <b>Unit:</b> One of the two criteria are met</p>
<p>Proportion of development co-operation covered by indicative forward expenditure and/or implementation plans covering at least three years ahead.</p>	<p>Applies to aid for the government sector.  <b>In order to score "Yes", the plan must meet each of the following criteria:</b>                  (i) The plan covers all known components of the co-operation provider's country programme (for example, it covers all aid modalities, and includes estimates of future aid volumes that have yet to be allocated to specific activities or signed in co-operation agreements).                  (ii) Figures provided relate to the government's fiscal year.</p>
<p>Level of consistency between DP information of aid flows and information on AMP</p>	<p>DPs are required to report to AMP on quarterly basis.  <b>Numerator:</b> Aid flows reported on AMP  <b>Denominator:</b> Aid flows scheduled for disbursement by provider                  ODA flows for year n are considered to have been scheduled for disbursement when notified to government in year n -1, or in year n for agreements entered into in that year   <b>Unit:</b> Percentage</p>
<p>No. of key stakeholders sensitized in aid and development effectiveness</p>	<p>The key stakeholders are determined by the Busan outcome document that recognizes the role of diverse group of stakeholders. Below follows a brief introduction of each group and their likely role:  <b>Senior decision-makers in Government</b> – OPC, MoF, MEPD, sector ministries: Broaden and deepen ownership of the Busan agreement; sustain commitment to implement Busan-type reforms in institutions  <b>Members of Parliament:</b> Implementation of Busan commitments on strengthening the role of Parliament in the oversight of development process  <b>Development partners in the country</b> that have endorsed the Busan agreement – Encourage implementation of Busan commitments at the country level in Malawi; Further develop and share knowledge and good practice on effective development cooperation; Establish Mutual Accountability for results of development cooperation  <b>South-South cooperation providers</b> that participate on the basis of common goals, shared principles and differential commitments  <b>Civil society organizations</b> – umbrella groups, think-tanks, CSOs at regional/local level, international NGOs working in Malawi: Implement Busan commitments to enable CSOs to exercise fully their roles as independent development actors; Encourage CSOs to implement practices that strengthen their accountability and their contribution to development effectiveness, guided</p>



	<p>by the Busan agreement, the Istanbul Principles and the International Framework for CSO Development Effectiveness</p> <p><b>Private sector organizations:</b> Leverage and strengthen the impact of diverse sources of finance to support sustainable and inclusive development</p> <p><b>Local government</b> - Support the exchange of experiences at local level; Strengthen participation and accountability at sub-national levels, as agreed in Busan</p> <p><b>Other policy communities having an impact on development</b> – climate change policy makers, trade policy experts: Promote synergies and coherence; Support the exchange of experiences; Influence policymaking to promote development objectives through better cooperation</p> <p><b>Academia:</b> Further develop and share knowledge and good practice on aid and development effectiveness</p> <p><b>Organizations present in Malawi that did not endorse the Busan agreement:</b> Raise awareness of the Busan agreement; Encourage collaboration and engagement in the country-level aid coordination framework</p>
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## Annex 5: List of Public Learning and Teaching Institutions Expected to Participate in the Programme

**Malawi Institute of Management (MIM)** was established by Malawi Government through the Act of Parliament (April, 1989) to provide Management Training, Consultancy and Research services. The mandate of MIM is to deliver these core services to managers in all sectors of the economy with particular emphasis on Government.

The **Malawi Polytechnic** is one of the constituent colleges of the University of Malawi (UNIMA). University of Malawi has been in existence since 1965 and is a federal University with five constituent colleges. The Polytechnic has five faculties, five centres and fifteen departments. The faculties include Commerce, Engineering, Applied sciences, Education and Media and the Built Environment. The Polytechnic has fifteen departments covering such disciplines as accounting, management, civil, mechanical and electrical engineering, architecture and land management, physics and bio-chemical sciences, technical teaching and journalism. This multidisciplinary nature of the college puts the Polytechnic in a unique position to meet the multi-faceted needs of industries and developmental needs of the society at large.

**Chancellor College** is one of the constituent colleges of the University of Malawi (UNIMA). The College has five faculties and twenty-six departments. The faculties include education, humanities, law, science and social science covering such disciplines as Biology, Chemistry, Classics, Computer Sciences, Economics, English, Fine and Performing Arts, Law, French, Geography and Earth Sciences, Mathematical Sciences, Political and Administrative Sciences, Physics, Population Studies, Psychology, Sociology and Religious Studies.

**Mpemba Staff Development Institute (SDI)** was established in 1962 to train Malawians to assume positions in the Public Service. Over the years SDI has provided induction courses on Public Service Rules and Regulations and conditions and service for new entrants into the civil service. SDI also conducts research and consultancies.



**Bunda College of Agriculture** is part of the newly constituted Lilongwe University of Agriculture and Natural Resources (LUANAR). The University provides high quality education, research, outreach and entrepreneurship in the areas of agriculture and natural resources for industrial and social-economic development of Malawi.

**Mzuzu University** was enacted by the Parliament of Malawi in May 1997 to provide high quality education, training, research and complimentary services to meet the technological, social and economic needs of individuals and communities in Malawi. The University has five Faculties as follows: Education, Environmental Sciences, Information Science and Communications, Health Sciences and Hospitality Management and Tourism. The University has twenty-two departments covering such disciplines as Biology, Chemistry, Mathematics, History, Fisheries, Forestry, Land Management, Renewable Energy Technologies, Information and Communication Technology, Hospitality Management and Tourism.

