**United Nations Development Programme**

**Partner Countries: China (Ministry of Commerce) and Malawi (Department of Disaster Management Affairs Officers)**

**South-South & Triangular Cooperation Project Document**

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| --- | --- |
| **Project Title: China-Malawi-UNDP Cooperation: Disaster Management and Risk Reduction Project** |  |
| **UNDAF Outcome 1.1:** Targeted vulnerable households are resilient (capable of meeting their basic needs and withstanding shocks) by 2016.**UNDAF Outcome 1.2:** Improved management of environment, natural resources and climate change for sustainable development at national and district level by 2016.***Malawi UNDAF Outputs***1.2.1. Disaster risk management mainstreamed in policies, development plans and programmes at national level and implemented in 15 disaster-prone districts;1.2.2. Data and knowledge on the impact of natural disaster collected and made accessible to decision makers and government, private sector and civil society; 1.2.3. Coordination mechanisms and implementation arrangements for Disaster Risk Management/Disaster Risk Reduction established and used at national level and disaster-prone districts.***China UNDAF Outcome*** *3: China’s enhanced participation in the global community brings wider mutual benefits.* |  |
| **Expected Output(s):** ***Malawi Country Programme Document 2014-2016, Output 2.2***National policies, local and national institutions effectively support equitable and sustainable economic growth and food security by 2016. |  |
| ***China Country Programme Document 2011-2015, Output 6*** Deepen China’s engagement and participation in global and regional development partnerships to realize the MDGs and to address climate change. The project will enhance existing mechanisms for South-South cooperation and thus facilitate the sharing of China’s knowledge, technology and experience in climate change and renewable energy.**Implementing Partners:*****Government of Malawi:*** *Department of Disaster Risk Management Affairs (DoDMA)***Responsible parties:*****UNDP:*** *Malawi and China Country Offices****Government of China:*** *MOFCOM: Department of International Trade and Economic Cooperation (DITEA) in Beijing; Economic and Commercial Counsellor’s Office in Lilongwe* |  |
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**Brief Description**

*The China-Malawi-UNDP Cooperation Disaster Management and Risk Reduction Project is one component of the China-Africa-UNDP Cooperation Umbrella Programme (hereafter “umbrella programme”) started in December 2013. This project is integrated into the Government of Malawi’s (hereafter GoM) disaster risk reduction policy and the UNDP-supported Disaster Risk management (DRM) Support Programme, and follows the Small Grant Scheme (SGS) modalities under this support. The project will help support poor and vulnerable communities located within Malawi’s 15 identified disaster-prone districts and reduce social, environmental and economic losses resulting from natural disasters and especially flooding. This will be achieved by piloting small grant projects proposed by non-governmental organisations (NGOs) and local-level community groups in rural Malawi communities. The project goal is to enhance existing and/or to introduce these communities to technically feasible, locally available, and easily implementable environmentally and socially sustainable natural disaster management solutions. For the Government of China (hereafter GoC), the project reflects its efforts to further deepen and broaden its cooperation with other developing countries pursuant to the Memorandum of Understanding signed between China and UNDP in September 2010.*

Total resources required $900,000

Total allocated resources: $900,000

* Core (TRAC UNDP Malawi) $400,000
* Other:
	+ Funding from MOFCOM $500,000 (all in cash,

 one-off contribution)

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| --- | --- | --- | --- |
| Programme Period: | October 2015 to June 2017 |  |  |
| Atlas Award ID: | 00067161 |  |  |
| Project ID: | 00083071 |  |  |
|  |  |  |  |
| Start Date: | October 2015 |  |  |
| End Date: | June 2017 |  |  |
|  |  |  |  |
|  |  |  |  |
| Management Arrangements: | NIM  |  |  |

**Agreed by *Ministry of Commerce, China***

*Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

**Agreed by *Department of Disaster Management Affairs, Malawi***

*Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

**Agreed by UNDP Malawi**

*Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

**Agreed by UNDP China**

*Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

1. **Situation Analysis** [[1]](#footnote-1)

Malawi is prone to climate related disasters, especially droughts and floods, which have a considerable effect on its vulnerable population. Currently, 15 out of the country’s 28 districts are considered as disaster prone. Periodic droughts and floods have continued to affect Malawi regularly; between 1990 and 2006, Malawi experienced 33 weather-related disasters. The frequent occurrence and increasing severity of floods in Malawi have impacted much of the country’s population. Farmers have little ability to adapt to or recover from disasters, making them more vulnerable to future events.

These disasters reduce crop growth and production (especially maize, which is Malawi’s main agricultural product), which often results in food deficiencies for the local population and are particularly devastating to the poor and vulnerable. In early 2013, for instance, Malawi received heavy rains, which lead to flooding in several districts, with the southern part of the country being the most affected. Houses collapsed and roads were rendered impassable, and livestock and crops were washed away. Throughout 2013, Malawi faced acute food shortages, which exacerbated the situation of the flood-affected communities. Humanitarian and development efforts have been undertaken to address these issues, but flooding (to varying levels of severity) recurs yearly.

The Malawi Department of Disaster Management Affairs (DoDMA) has set up a policy framework for Disaster Risk Management based on the 1991 Act,[[2]](#footnote-2) and engaging in other policy related work to address these issues.[[3]](#footnote-3) UNDP has assisted DoDMA in this regard, and continues to do so under the current DRM Support Programme within the 2012-2016 United Nations Development Assistance Framework (UNDAF). However, there is need for more efforts to support community based initiatives, both to minimize the existing vulnerabilities and build resilience, and also to inform local and national policy and planning processes. This has been substantiated through various evaluation reports.

1. **Strategy**

As the GoM prioritises disaster management and risk reduction, there is a clear opportunity for a South-South cooperation project undertaken by Malawi, China, and UNDP. At the request of the GoM, UNDP has decided to engage deeply in the disaster risk management sector in an effort to help reduce the food deficiencies and other negative impacts resulting from recurring natural disasters in Malawi through the creation of a dedicated project within the UNDP DRM Support Programme in collaboration with the GoC.

**Goal**

The goal of this project is to increase community resilience to flooding in disaster-prone rural Malawi. The project will have the objective of introducing rural communities to technically feasible, locally available, and easily implementable environmentally and socially sustainable disaster risk management solutions, which in turn would also affect positively food security, livelihoods and local economic activities in Malawi resulting from periodic and recurrent flooding. The project will pilot small-scale disaster risk management solutions in several different communities in rural Malawi, with a view that natural disaster management should be combined with agricultural development.

**Rationale**

The rationale behind UNDP’s support to Malawi’ DRM policy is based on UNDP’s longstanding experience in helping developing countries design disaster risk management programme and early recovery activities in the wake of natural disasters. The rationale for UNDP and China working together with Africa is China’s growing importance in global development, combined with its own unique history of poverty reduction. Non-traditional development actors have already had a profound impact on global development issues and achievement of the Millennium Development Goals (MDGs). China, as the world’s second largest economy in absolute terms, is the single most important non-traditional development actor, and if the current trends continue, China’s role will only become more important. In playing this role, China will continue to draw on its own unique experiences of development, through which over 550 million people were lifted out of poverty within only three decades.

UNDP’s role will encompass drawing on its in-depth global and national expertise on disaster risk management, its experience in South-South cooperation, its on the ground presence and expertise in Malawi, and its experience of managing programmes with local partners through calls for proposals.

**Strategy**

1. **Integration within pre-existing GoM’s disaster risk reduction policy**

To achieve this, the project is integrated into the GoM’s disaster risk reduction policy and in the UNDP-supported DRM Support Programme. Under this Support Programme, in 2013 DoDMA initiated a call for disaster reduction project proposals and received over 140 applications from local NGOs and local-level community groups. DoDMA identified potential projects in the 15 disaster-prone, and short-listed 15, of which five are already moving forward with DoDMA and UNDP funding. Among the five current projects, two are run by NGOs and each has received $60,000, and the other three are run by community groups and have received $30,000 each, altogether totalling $210,000. This China-Malawi-UNDP trilateral cooperation project will follow DoDMA’s existing approach of involving NGOs and community groups as implementing partners and fund disaster reduction projects. DoDMA’s focus for this China-UNDP cooperation project is on flood disaster risk reduction.

1. **Selection of the project proposals**

In this cooperation project, UNDP Malawi will, in consultation with DoDMA and the Economic and Commercial Counsellor’s office in Malawi (ECC), issue a call for proposals with a view to select new project proposals (through a call for proposals) to fund. Each project will receive between $30,000 and $60,000, and altogether not exceeding the available project funds.

The project will target communities located within Malawi’s 15 disaster-prone districts, which have been particularly afflicted by flooding. The projects will be chosen based on their applicability to individual community needs, which will be assessed through needs assessment studies, local consultations and site visits, conducted by DoDMA in close cooperation with UNDP Malawi, the Chinese Economic and Commercial Counsellor at the Chinese embassy in Malawi (hereafter “ECC”), and a Chinese technical expert in disaster risk reduction from a designated State institution with whom UNDP China has worked before (henceforth “the Chinese technical expert”). Winning projects will be selected based on their capacity to both enhance flood prevention mechanisms and target crops that play a significant role in fostering food security (grain crops, corn, wheat etc.) as well as crops that can generate cash revenue and economic growth.

The project proposals will then be reviewed, and further developed in detail to ensure that they are sustainable and meet local community needs in delivering disaster risk reduction benefits during site visits to rural communities by DoDMA, UNDP Malawi, the Chinese ECC, and the Chinese technical expert. Other criteria will include the presence of a risks assessment, a gender perspective assessment, implications for environmental sustainability, and a monitoring and evaluation plan.

1. **Announcement of the results**

UNDP Malawi, DoDMA, and the Chinese ECC will then formally announce the selection of successful project proposals.

1. **Implementation of the small-scale projects**

The individual projects will each be implemented under the SGS modalities[[4]](#footnote-4) by the winning local NGOs and local-level community groups. DoDMA will ensure linkages with local district councils to ensure cooperation and synergies. DoDMA, UNDP Malawi, and the Chinese technical expert will provide technical guidance to the NGOs/ local community groups throughout implementation stage.

1. **Monitoring and evaluation of the projects**

Throughout the implementation of the projects, DoDMA will be primarily responsible for monitoring and evaluation to ensure proper delivery of the projects. UNDP Malawi will also oversee the project through monitoring and evaluation based on the reports submitted by DoDMA on a quarterly basis or more often if the need arises. The quarterly narrative and financial reports based on UNDP templates will then be provided by UNDP China to MOFCOM in Beijing.

1. **Final evaluation and report**

Upon completion of the projects, an independent external consultant will prepare a technical evaluation report, to be reviewed by DoDMA and UNDP Malawi, outlining the overall successes/challenges/lessons for the disaster risk management projects in local communities.

In addition, a final evaluation, which includes an assessment of the overall trilateral cooperation project and an analysis of successes, challenges and lessons learned from the cooperation experience, will be undertaken by UNDP China in partnership with UNDP Malawi, and presented to MOFCOM in Beijing.

1. **Deliverables**

The project has seven deliverables:

1. Deliverable 1: Chinese technical expert has provided technical advice for detailed project plans.
2. Deliverable 2: Communities in flood-affected areas have had the opportunity to respond to the call for proposals.
3. Deliverable 3: Competitive selection of proposal winners completed.
4. Deliverable 4: Detailed project plans of the chosen proposals are finalized, and implementation of the project begins.
5. Deliverable 5: Evaluation and monitoring, in the form of quarterly narrative and financial reports based on UNDP templates, are produced by DoDMA with assistance from UNDP Malawi. The reports will be provided by UNDP China to MOFCOM in Beijing.
6. Deliverable 6: Technical report outlining successes, challenges, lessons learned, and recommendations for implementing technically feasible, locally available, and easily implementable environmentally and socially sustainable disaster risk management solutions.
7. Deliverable 7: Final evaluation report for MOFCOM, including assessment of overall cooperation project to analyse successes, challenges and lessons learned from the cooperation experience and to ensure MOFCOM and UNDP China have access to policy-relevant information drawn from the Malawi cooperation project, finalized and shared with MOFCOM.

The substantive deliverables will be identified during selection and development of the project proposals.

1. **Joint Results and Resources Framework**

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| **Intended Outcomes as stated in the respective CPs’ RRFs:** **Outcome 1.1**: Targeted vulnerable households are resilient (capable of meeting their basic needs and withstanding shocks) by 2016. **Outcome 1.2:** Improved management of environment, natural resources and climate change for sustainable development at national and district level by 2016.*Malawi Outputs:* *1.2.1. Disaster risk management mainstreamed in policies, development plans and programmes at national level and implemented in 15 disaster-prone districts;**1.2.2. Data and knowledge on the impact of natural disaster collected and made accessible to decision makers and government, private sector and civil society;* *1.2.3. Coordination mechanisms and implementation arrangements for Disaster Risk Management/Disaster Risk Reduction established and used at national level and disaster-prone districts.* |
| **Outcome indicators** *(as stated in the RRF of CP of respective partner countries, including baselines and targets):***Indicator 1:** Total number of plans with some disaster and/or climate risk management (DRM/CRM) components.**Baseline** 26 (2013); **Milestone:** 32 **Indicator 2**: Number of budgeted plans with some disaster and/or climate risk management (DRM/CRM) components. **Baseline:** 0 (2013); **Milestone**: 6 (2015)**Indicator3**: Number of preparedness plans that cover response and recovery. **Baseline**: 10 (2013); **Milestone: 15** |
| **Partnership Strategy** This South-South Cooperation programme will seek to enhance cooperation between UNDP Malawi and UNDP China, the Malawi Government and local communities so that each partner can share its competitive advantage and expertise in a coordinated manner.The advantages of cooperation with UNDP for MOFCOM is UNDP’s neutrality and the fact that the UN is an international organization of which China and partner countries are member-states. Also China can utilise both UNDP’s neutrality and extensive network in the international development community to gain access to non-state actors, experts in development and by providing in-depth local knowledge through its Country Office in Lilongwe. By drawing on each partner’s comparative advantages, and combining knowledge and experiences of the various actors, the project’s approach will help expand the scope and reach of South-South cooperation endeavours in bringing China, Malawi and UNDP to support poverty reduction and disaster risk management in a better way than if UNDP or China had acted alone.  |
| **Project title and ATLAS Project (formerly Award) ID: Disaster Risk Management Support, Project Number/output: 83071: Award number 67161)**  |
| **INTENDED OUTPUTS** | **OUTPUT TARGETS FOR (YEARS)** | **INDICATIVE ACTIVITIES** | **RESPONSIBLE PARTIES** | **INPUTS** |
| **Output 1****Completed selection of winning proposals and design of project plans** Country/ Implementing Partner: UNDP Malawi, DoDMA, ECC | - Call for proposals issued.- Selection of proposal winners- Separate detailed project plans for each winning proposal, including target communities based on needs assessments and timeframes for projects implementation. | * Launch project/ put out call for applications
	+ Panel selection of winners
	+ Financial management and due diligence
	+ Project plans design
 | * *UNDP Malawi*
* *DoDMA*
* *MOFCOM*
* *Chinese Technical expert*
 | * $35,000 (UNDP)
* $20,000 (MOFCOM)
 |
| **Output 2****Implementation and monitoring of the small-scale pilot projects**Country/ IP: UNDP Malawi, DoDMA | - Beginning implementation of the small-scale pilot projects - Monitoring of small-scale pilot projects | * Implementation of the small-scale pilot projects
	+ Depending on length of projects, writing regular updates on progress and challenges, and how these are being addressed
 | * *UNDP Malawi*
* *DoDMA*
* *MOFCOM*
* *Chinese Technical expert*
 | * $330,000 (UNDP)
* $410,000 (MOFCOM)
 |
| **Output 3****Assessment and evaluation of the small-scale pilot projects and of the overall trilateral cooperation exercize**Country/ IP: UNDP Malawi, UNDP China, DoDMA, MOFCOM | - Submission of a technical report on overall successes/challenges/lessons for developing disaster risk management solution in local communities (final independent evaluation)- Final evaluation report for MOFCOM, including assessment of overall cooperation project to analyse successes, challenges and lessons learned from the trilateral cooperation experience | 1. Producing the technical report on small-scale pilot projects (external consultant)
2. UNDP/MOFCOM Monitoring Mission
3. Producing the final evaluation report on trilateral cooperation format for UNDP/MOFCOM
 | * *UNDP Malawi*
* *DoDMA*
* *MOFCOM*
* *Chinese Technical expert*
* *UNDP China*
* *External consultant (for final independent evaluation)*
 | * $35,000 (UNDP)
* $70,000 (MOFCOM)
 |
| **Total planned budget:*** *Core*
* *Non-Core*
 | $ 900,000* $ 400,000
* $ 500,000
 |  |  |  |
| **Budget for UNDP China** **Budget for UNDP Malawi** **Total Budget** | * $ 97,000 (non-core \* MOFCOM contribution)
* $ 803,000 – comprising core UNDP Malawi TRAC funding ($400,000) and non-core MOFCOM contribution ($ 403,000)
* $ 900,000
 |  |  |  |

1. **Multi-Year Work Plan by Partner Country[[5]](#footnote-5)**

**Country: Implementing Partner:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **EXPECTED OUTPUTS[[6]](#footnote-6)***And baseline, indicators including annual targets* | **PLANNED ACTIVITIES***List activity results and associated actions*  | **TIMEFRAME** | **RESPONSIBLE PARTY** | **PLANNED BUDGET** |
| Q4‘15 | Q1‘16 | Q2‘16 | Q3‘16 | Q4‘16 | Q1‘17 | Q2‘17 | Funding Source | Budget Description | Amount |
| Output 1**Completed selection of winning proposals and design of project plans**  | * Launch project/ put out call for applications
 | x |  |  |  |  |  |  | * *UNDP Malawi*
* *DoDMA*
 | UNDP Malawi | Communication |  $ 10,000 |
| * Panel selection of winners
 | x |  |  |  |  |  |  | * *UNDP Malawi*
* *Malawi government*
* *MOFCOM*
* *Technical expert*
 | UNDP Malawi |  |  |
| * Project management (including financial assessment and due diligence)
 |  | x |  |  |  |  |  | * *UNDP Malawi/DoDMA*
 | UNDP Malawi |  | n/a |
| * Detailed project plans design
 |  | x |  |  |  |  |  | * *UNDP Malawi*
* *DoDMA*
* *Chinese Technical expert*
 | MOFCOM | Chinese technical expert  | $ 30,000  |
| Output 2**Implementation and monitoring of the small-scale pilot projects** | * Implementation of the small-scale pilot projects
 |  | x | x |   x | x | x |  | * *UNDP Malawi*
* *DoDMA*
* *MOFCOM*
* *Chinese Technical expert*
 | MOFCOMUNDP Malawi | Small grants and implementation | $759,028  |
| * Depending on length of project, regular updates on progress and challenges, and how these are being addressed
 |  |  | x | x | x | x | *x* |  | * *UNDP Malawi*
* *DoDMA*
* *Chinese Technical expert*
 | UNDP Malawi | Monitoring and Evaluation | $10,000 |
| Output 3**Assessment and evaluation of the small-scale pilot projects and of the overall trilateral cooperation exercize** | * Submission of a technical report on overall successes/challenges/lessons for developing disaster risk management solutions in local communities (final independent evaluation)
 |  |  |  |  |  |  | x | * *External consultant*
 | UNDP Malawi | Final evaluation | $15,000 |
| * Monitoring Missions to Malawi
 |  |  | x |  |  |  | x | * *UNDP China*
* *MOFCOM*
 | MOFCOM  | Monitoring missions  | $33,972 |
| * Project management, quality assurance and analysis of successes, challenges and lessons learned from the trilateral cooperation experience
 |  |  |  |  |  |  | x | * *MOFCOM*
* *DoDMA*
* *UNDP China*
* *UNDP Malawi*
 | MOFCOM | Project management | $42,000  |
| TOTAL |  |  |  |  |  |  |  |  |  |  |  |  | $900,000 |

1. **Management Arrangements**

This cooperation project will benefit from an existing and well-established project management structure involving community level project committees, district-level civil protection committees and public works officials, and a national-level (DoDMA) overview.

UNDP China will be the overall project manager under the UNDP-China Umbrella programme for trilateral cooperation, which includes the present project. The project will be implemented by local NGOs and local-level community groups managed by the GoM DRM Support Programme, in close consultation with UNDP Malawi, GoC, and UNDP China. The project will be overseen by the existing DRM Support Programme Steering Committee.

Overall Project Management and GoC Strategic Project Partner: UNDP China will provide overall project management. In accordance with the desire of the GoC and given the nature of this South-South cooperation project, UNDP China will play the leading role for strategic liaison between all stakeholders and partners responsible for coordination with MOFCOM and Chinese institutions involved and the Chinese technical expert. As the project partner in this South-South Cooperation, UNDP China is to work closely with UNDP Malawi to ensure the achievement of the stated cooperation project objectives.

Project implementation: As part of the larger DRM Support Programme, DoDMA will have the leading responsibility for the overall project implementation (selection of the project proposals, management of the local NGOs and local-level community groups, ongoing and final monitoring and evaluation) of the individual projects. DoDMA will receive support from project partners including UNDP Malawi and the Chinese technical expert in carrying out this role. UNDP Malawi will contribute to regulatory advice on the overall project implementation, and will also assist DoDMA in the selection of pilot projects, development of the detailed project plans, including needs assessment, and project monitoring and evaluation.

Technical expertise: China will provide additional technical expertise and be fully engaged in the design of the detailed project plans following selection of successful grantees, first quarter of implementation stage, and final evaluation phase of the project. The Chinese technical expert in disaster risk reduction will come from a designated state institution with whom UNDP China has worked before. The Chinese technical expert will play a coordinating role with the local Economic and Commercial Counsellor to further support Malawi’s disaster resilience, while also facilitating agricultural development.

Steering Committee: Since the project forms part of the already existing DRM support to DoDMA, and follows the SGS modalities under this support, the China-Malawi-UNDP cooperation project will be overseen by the DRM Support Programme Project Board. The Project Board is the group of executives responsible for making on a consensus basis management decisions for a programme and its projects, when guidance is required by the Project Manager, including recommendation for UNDP and approval of project revisions. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. The Project Manager will consult this group when constraints (usually in terms of time and budget) exceed capacity. The Steering committee will hold meetings every six months, and include representatives from DoDMA, UNDP Malawi, NGOs/local community groups and the Chinese ECC.

The list of partners and their corresponding responsibilities is provided below:

| **Partner’s Name** | **Type of institution** | **Location** | **Responsibilities** |
| --- | --- | --- | --- |
| Department of Disaster Management Affairs, Government of Malawi | Ministry | Lilongwe, Malawi | * Responsible for project implementation
* Member of the selection panel
* Partner for development of detailed project plans, including needs assessment, and project monitoring and evaluation.
* Partner for policy directions.
* Member of the Steering Committee.
* Produce quarterly progress reports and review final independent report to share with UNDP
 |
| UNDP Malawi | International Organization  | Lilongwe, Malawi | * Member of the selection panel
* Partner for the needs assessment and regulatory advice/approvals
* Assist DoDMA in development of detailed project plans, including needs assessment, and project monitoring and evaluation.
* Collaborate with UNDP China to ensure project objectives are met.
* Member of the Steering Committee.
* Project monitoring and evaluation, including arranging a final independent evaluation.
 |
| UNDP China | International Organization | Beijing, China | * Overall project manager.
* Collaborate with UNDP Malawi office to ensure project objectives are met.
* Liaison with GoC/MOFCOM officials and other Chinese institutions
* Share quarterly progress reports with MOFCOM.
* Produce, in collaboration with UNDP Malawi, final assessment of project for MOFCOM.
 |
| Ministry of Commerce, China | Ministry | Beijing, China  | * Overall project coordination, including project design, and monitoring and evaluation
* Assist with the identification and selection of Chinese technical experts or consultants, where applicable
* Financial and technical partner
* Provide feedback to quarterly progress and final reports
 |
| Economic and Commercial Counsellor, Ministry of Commerce, China (ECC) | Ministry  | Lilongwe, Malawi | * Local Chinese project partner.
* Liaison with UNDP Malawi
* Member of the selection panel.
* Partner for development of detailed project plans, including needs assessment, and project monitoring and evaluation.
* Member of the Steering Committee
 |
| Local district councils | Local government | Provincial districts, Malawi | * Coordination with DoDMA to facilitate implementation at local level
* Liaison with relevant local stakeholders
 |
| NGOs/local community groups   | NGO/civil society organisation | Lilongwe, Malawi | * Local partners for project implementation.
* Responsible for development and implementation of project plans successfully selected, and reporting.
* Grant recipients
 |
| Chinese Technical Expert | Individual Expert | Lilongwe, Malawi | * Member of the selection panel.
* Provide consultancy role in reviewing project proposals for technical feasibility and suitability for suggested sites, et al.
* Partner for development of detailed project plans, including needs assessment, and project monitoring and evaluation of the early stages of the project.
 |

All matters related to the Project shall be determined by the Project Steering Committee, in consultation with representatives of MOFCOM, DoDMA and UNDP.

The list of partners and their corresponding responsibilities is provided below:

**Implementing Partner**

----------------------

**Project Manager**

*DoDMA*

*UNDP Malawi*

**Project Board**

**SSC Partner Country**

*Malawi DoDMA*

**Executive**

*UNDP Malawi*

**SSC provider**

*MOFCOM/ Economic And Commercial Counsellor*

**Project Coordinator**

*UNDP Malawi*

**Project Assurance**

*UNDP China*

1. **Time-frame**

The timeframe for the Project is from October 2015 to June 2017. The aim will be to complete all activities of the Project within this planned timeframe. The Project uses the National Implementation Modality of UNDP. Hence, the Project will be managed and implemented by DoDMA, with UNDP and MOFCOM as project partners.

1. **Monitoring Framework and Evaluation**

For the China-Malawi-UNDP Cooperation Project, DoDMA with assistance from UNDP Malawi will produce quarterly narrative and financial reports based on UNDP templates, which will be provided by UNDP China to MOFCOM in Beijing. An independent external consultant will also prepare a final report, which will be reviewed by DoDMA and UNDP Malawi, and provided by UNDP China to MOFCOM in Beijing. The quarterly reports will provide a summary of results and focus on the extent to which progress is being made towards outputs, and that progress remains aligned to appropriate outcomes. Reporting for quarterly reports will be provided in the following month, and an annual report will be provided in the following quarter.

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will also be monitored through the followings:

Within the annual cycle

* An Issue Log will be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
* Based on the initial risk analysis submitted a risk log will be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
* Based on the above information recorded in Atlas, a Project Progress Reports (PPR) will be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
* A project Lesson-learned log will be activated and 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 will be activated in Atlas and updated to track key management actions/events.

Annually

* **Annual Review Report.** An Annual Review Report will be prepared by the Project Manager and shared with the Project Board. As minimum requirement, the Annual Review Report will consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
* **Annual Project Review.** Based on the above report, an annual project review will be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the 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 Project Board and may involve other stakeholders as required. It will focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

**Final technical evaluation**

The small-scale pilot projects will be evaluated in accordance with UNDP Evaluation Policy to assess how the pilot projects have implemented technically feasible, locally available, easily implementable environmentally and socially sustainable disaster risk management solutions. UNDP and the GoC in consultation with other stakeholders will jointly agree on the purpose, use, timing, financing mechanisms, team composition and terms of reference for evaluating a project including an evaluation of its contribution to an outcome which is listed in the Evaluation Plan. UNDP will commission the independent evaluation as mutually agreed by DoDMA, UNDP and MOFCOM.

Final report for MOFCOM on trilateral cooperation assessment. In addition, UNDP China will prepare a final report for MOFCOM on the trilateral cooperation project. The final report will include an assessment of the overall cooperation project to analyse successes, challenges, and lessons learned of the cooperation experience.

1. **Legal Context**

This project document shall be the instrument referred to as such in Article 1 of the SBAA between the Government of China and UNDP, signed on 29 June 1979 and the Government of Malawi and UNDP Malawi, signed on 15 July 1977.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the executing agency and its personnel and property, and of UNDP’s property in the executing agency’s custody, rests with the executing agency.

The executing agency shall:

1. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
2. assume all risks and liabilities related to the executing agency’s security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The executing agency agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

All matters related to the Project shall be determined by the Project Steering Committee, in consultation with representatives of MOFCOM, DoDMA and UNDP.

1. **ANNEXES**
* **Risk Assessments and Mitigations Strategies**

|  |  |  |  |
| --- | --- | --- | --- |
| **Risks** | **Probabilities** | **Impact** | **Management** |
| That the Chinese technical expert on flood management engaged by UNDP might not be able to take into account the local particularities of Malawi, leading to research, analyses and training materials irrelevant to the Malawian context. | Low | Medium/ high | * Comprehensive needs assessment will be conducted to ensure training and study tours are appropriately targeted.
* Technical expert to be carefully selected and debriefed by UNDP Malawi about the project context.
 |
| That the project implementation may be delayed due to seasonal constraints of the Malawian climate (rainy season from November to April), shortage of materials, and force majeure.  | Medium | Medium/ high | * Ensured delivery of proper materials (e.g. bricks)
 |
| That the individuals, associations or companies selected to implement the disaster management projects might not be sufficiently monitored in the implementation phase of the project.  | Low | Medium/ high | * Comprehensive needs assessment and proper project monitoring will be conducted by UNDP Country Office in Malawi, using UNDP Evaluation and Monitoring standards in consultation with project partners.
 |
| That the local projects may not be implemented on time and in line with required standards. | Medium | Medium/ high | * DoDMA will oversee the local small-scale pilot projects and adjust the timeframe depending on the actual needs in consultation with project partners.
* UNDP Malawi will provide quality assurance.
 |
| That general project management rules regarding fiduciary management and financial control are not fully implemented.  | Low | Medium/ high | * UNDP Malawi will ensure that regulatory procedures for cooperation with implementing partners are followed (due diligence of NGO implementing partners, external auditing of expenditures for the grants).
 |
| That high turnover of staff among project partners might endanger the continuity and speed of the project cycle. | Medium | Medium | * New staff assigned to project to benefit from comprehensive handover notes and briefing by project staff members.
* Project will be followed-up by several staff members to ensure back-up.
 |
| That local projects are not relevant or beneficial for the local population or not fully meeting targeted outcomes.  | Medium | Medium/ high | * Pilot projects will be required to indicate quantifiable and measurable outcomes for the projects.
* Field assessments after proposal shortlisting will check whether communities were consulted and if the intervention addresses their needs/vulnerabilities
 |
| That the local projects fail to incorporate a gender perspective, environmental sustainability, project sustainability and community impact. | Medium | Medium/ high | * The small-scale pilot projects will have a risk mitigation strategy, a local needs assessment and a gender and environmental assessment completed.
* UNDP Malawi and the technical expert in charge of developing the projects plans will ensure that the pilot projects incorporate these issues.
 |
| That the handover of the final evaluation report submitted to MOFCOM does not sufficiently reflect lessons learned and is not of use for China. | Medium | Medium/ high | * Continued inclusion and involvement of MOFCOM officials throughout the project implementation phase so that the final evaluation report includes GoC strategic perspective and offers useful policy information to MOFCOM.
 |
| That the policy lessons are not relevant to the Malawian government. | Medium | Medium/ high | * Continued involvement of GoM officials so that policy lessons are in line with national government priorities.
 |

* **Project Budget**

|  |  |
| --- | --- |
| **Funding Scheme** |  |
| Total budget from MOFCOM | $500,000  |
| Total matched funds from UNDP Malawi for project | $400,000  |
| **Total project implementation budget** | **$900,000**  |
|  |  |
| **UNDP China** |  |
| 50% of UNDP China Staff position (2 years) | $42,000  |
| UNDP/MOFCOM mission 1 (5 people, 1 week) | $16,986 (additional funds may be added from other sources of funding) |
|
| UNDP/MOFCOM mission 2 (5 people, 1 week) | $16,986  |
| Chinese technical expert | $30,000  |
| GMS (2%) to HQ (from MOFCOM contribution) | $9,346  |
| GMS (2.5%) to UNDP China (from MOFCOM contribution) | $11,682  |
| **Total UNDP China budget** | **$127,000**  |
|  |  |
| **UNDP Malawi** |  |
| Communication | $10,000  |
| Winning proposals funding | $695,619 |
| Monitoring  | $10,000  |
| Final independent evaluation | $15,000 |
| GMS (2%) to HQ (from UNDP Malawi contribution) | $7,477 |
| GMS (2.5%) to UNDP Malawi (from MOFCOM contribution) | $11,682  |
| GMS (6%) to UNDP Malawi (from UNDP contribution) | $22,222 |
| **Total UNDP Malawi budget** | **$773,000**  |
|  |  |
| **Total budget breakdown** |  |
| Total UNDP China budget | $127,000  |
| Total UNDP Malawi budget | $773,000  |
| Total project implementation budget | $900,000  |

1. This project is one component of the China-Africa-UNDP Trilateral Cooperation Umbrella Programme launched in December 2013. The umbrella programme is divided into two sub-projects, for which Burundi and Malawi were chosen as countries of implementation. [↑](#footnote-ref-1)
2. The 1991 Act was largely addressing emergency response and has now been revised to cater for the entire DRM cycle which includes mitigation, preparedness and recovery. It also promotes linkages to long-term development efforts for resilience building. The revised Act has also been aligned to the new DRM policy. [↑](#footnote-ref-2)
3. The other related policies include the Climate Change Policy, Land Use Policy and Forestry Policy which are all addressing elements related DRM. [↑](#footnote-ref-3)
4. This includes Guidelines and an MOU to be signed by the implementers of the Activity. [↑](#footnote-ref-4)
5. A separate, subsidiary multi-year AWP should be prepared **for each partner country** with an implementing partner. The AWPs for Year 1 can also be signed when the project document is signed to facilitate timely implementation. [↑](#footnote-ref-5)
6. Multiple countries/IPs can contribute to the same output and can share the same indicators. **Only the contribution by one country/IP should be present in any one subsidiary country AWP**. Joint results are included in the joint RRF. All AWPs together will yield the joint RRF. [↑](#footnote-ref-6)