

Joint UN Resilience Programme

Joint Programme



Joint Programme Document

December 2018



*Empowered lives.
Resilient nations.*



Cover Page

Project Title	Joint UN Resilience Programme
Organization Name	United Nations consortium, through Multi-Partner Trust Fund (MPTF) Office, administered by UNDP
Contact Persons	Ms. Maria Jose Torres (UN Resident Coordinator) Mr. James Okoth (FAO Country Representative, a.i.) Ms. Claire Medina (UNDP, Resident Representative a.i.) Mr. Johannes Wedenig (UNICEF Country Representative) Mr. Benoit Thiry (WFP Country Representative)
Project Goal	Aims to contribute to the national goal of building a resilient Malawi by reducing the number of people living in extreme poverty and hunger, to improve the anticipatory, absorptive, and adaptive capacities and facilitate transformative systems change, with improved access to finance and markets in more districts.
Location	Phalombe, Balaka, Mangochi, Chikwawa
Project Duration	4 years (2019-2023)
Partner UN Organizations (PUNOs)	FAO, UNDP, UNICEF and WFP
Total budget:	GBP 59,590,000 (including NGO consortium of GBP 21m)
Co-finance Contributions:	GBP 37,100 (DFID)
UN Agencies Contribution	FAO: GBP 400,000 UNDP: GBP 450,000 UNICEF: GBP 340,000 WFP: GBP 300,000

ACRONYMS AND ABBREVIATIONS

ACE	Agricultural Commodities Exchange
ACPC	Area Civil Protection Committee
ADC	Area Development Committee
AEC	Area Executive Committee
ARET	Agriculture Research and Extension Trust
BIF	Business Innovation Facility
BRACC	Building Resilience and Adapting to Climate Change
BRACED	Building Resilience and Adaption to Climate Extremes and Disasters
CCA	Climate Change Adaptation
CSA	Climate Smart Agriculture
CSONA	Civil Society Organisation Nutrition Alliance
CLA	Community-Level Aggregators
CLTS	Community Led Total Sanitation
CPP	Crop Protection Products
CFRM	Complaints and Feedback Response Mechanism
CSA	Climate Smart Agriculture
CSSC	Community Social Support Committee
CUMO	Concern Universal Microfinance Organisation
DAC	Development Assistance Committee
DCCMS	Department of Climate Change and Metrological Services
DCPC	District Civil Protection Committee
DEC	District Executive Committee
DESC	District Environment Sub-committee
DfID	Department for International Development
DIVERSIFY	Developing Integrated Value chains to Enhance Rural Smallholders' Incomes and Food Security Year-round (<i>a €2.8m EU-funded sweet potato and pigeon pea value chain project implemented by UP</i>)
DoDMA	Department of Disaster Management Affairs
DRM	Disaster Risk Management

DRR	Disaster Risk Reduction
DSA	Daily Subsistence Allowance
DSSC	District Social Support Committee
ECRP	Enhanced Community Resilience Programme
EP&D	Economic Planning & Development
EWEA	Early Warning Early Action
EWS	Early Warning System
FAW	Fall Army Worm
FEWSNET	Famine Early Warning System Network
FHH	Female Headed Households
FIM	Food Income and Markets Programme
FISP	Farm Input Subsidy Programme
FP	Family Planning
FTF AgDiv	Feed the Future Agricultural Diversity
GAP	Good Agricultural Practice
GBV	Gender Based Violence
GoM	Government of Malawi
HAI	Household Asset Index
HE	Horizontal Expansion
HH	Household(s)
IA	Irish Aid
IAPF	Irish Aid Programme Funding
IBCF	Incentive Based Contract Farming
IGA	Income Generating Activity (-ies)
IHS	Integrated Household Survey
IPC	Integrated Food Security Phase Classification
JCU	Joint Coordination Unit
JEFAP	Joint Emergency Food Aid Programme
KPI	Key Performance Indicator
LDF	Ministry of Local Government
MASEDA	Malawi Socio-Economic Database
MCA	Millennium Challenge Account

M&E	Monitoring and Evaluation
MEAL	Monitoring, Evaluation, Accountability and Learning
MFI	Micro-Finance Institution
MNSSPII	Malawi National Social Support Programme II
MoAIWD	Ministry of Agriculture, Irrigation and Water Development
MOST	Malawi Oilseeds Sector Transformation Programme
MSE	Micro/Small Enterprise(s)
MVAC	Malawi Vulnerability Assessment Committee
NRM	Natural Resource Management
NRS	National Resilience Strategy
NGO	Non-governmental Organisation
NSO	National Statistical Office
ODF	Open Defecation Free
OFSP	Orange Fleshed Sweet Potato
PCVA	Participatory Capacity and Vulnerability Assessment
PEA	Political Economy Analysis
PICS	Purdue Improved Crop Storage
PMU	Programme Management Unit
PROACT	Pro-Resilience Action (€4.8m EU funded project implemented by UP and Concern Worldwide)
PW/P	Public Works Programme
R4/FFA	Risk Reduction, Risk Transfer, Prudent Risk Taking and Risk Reserves/ Food Assistance for Asset Creation
SADC	Southern African Development Community
SCT/P	Social Cash Transfer / Programme
SHF	Smallholder Farmers
SRH/R	Sexual Reproductive Health Rights
SSP	Spray Service Provider
SSSP	Shock Sensitive Social Protection
SUN	Scaling Up Nutrition
TA	Traditional Authority
ToC	Theory of Change
TRACTION	Transparency and Accountability for Improved Growth and Services

UAV	Unmanned Aerial Vehicle
UBALE	United in Building and Advancing Life Expectations Programme
UBR	Unique Beneficiary Registry
UP	United Purpose
VAWG	Violence Against Women and Girls
VCPC	Village Civil Protection Committee
VDC	Village Development Committee
VE	Vertical Expansion
VSL	Village Savings and Loans
WESNET	Water and Environmental Sanitation Network

TABLE OF CONTENTS

Acronyms and Abbreviations

Executive Summary

- 1. Background and Rationale**
- 2. Lessons Learnt in Resilience Building**
 - 2.1 UN Delivering as One
 - 2.2 Partnership Landscape
 - 2.3 Complementary Interventions (Household, Community, National)
- 3. Sustainability**
- 4. Approaches**
- 5. Innovations**
- 6. Objectives**
- 7. Description of Headline Results and Outcome Areas**
- 8. Programme Theory of Change**
- 9. Monitoring and Evaluation**
- 10. Governance and Programme Management**
 - 10.1 Joint Coordination Unit
 - 10.2 Implementing Partners
- 11. Fund Management**
- 12. Assumptions and Risk Management**
- 13. Programme Staff**
- 14. Programme Budget**

Annexes

Annex 1: Theory of Change

Annex 2: Budget Summary

Annex 3: Programme Logframe

Annex 4: Independent MEAL and Governance for BRACC Programme in Malawi

EXECUTIVE SUMMARY

Problem

The high vulnerability of households and communities to shocks and stresses in Malawi, combined with persistent poverty, natural resource degradation, climate change and population growth, results in cyclical food insecurity crises and dependence on aid, eroding development gains and undermining long term poverty reduction.

Solution

In the context of the UNDAF for Malawi (2019-2023), the Joint UN Resilience Programme is designed as a Joint UN initiative to respond to these specific needs, addressing the complexity and diversity of shocks and stresses faced by communities and the resultant vulnerabilities these create for women, men, girls, boys and youth.

Using an integrated, multi-layered and sequenced approach, the Joint UN Resilience Programme will meet households' immediate needs, while supporting longer term efforts to enhance natural resource management, strengthen disaster preparedness and response mechanisms, support linkages to safety nets, increase access to appropriate financial services and products, and improve the functioning of markets systems.

In doing so, the Joint UN Resilience Programme is designed as a multi-partner initiative to strengthen anticipatory, absorptive and adaptive capacities to enable communities (including different gender and age groups) to better cope with, manage and 'bounce back better' from shocks and stresses. Working in collaboration with key stakeholders, including communities, government, local authorities and the private sector, the Joint UN Resilience Programme will strengthen existing capacities, structures and systems, to deliver transformative change.

The UN administrative agent for the Joint UN Resilience Programme will be the MPTF Office based in UNDP headquarters, with the RCO and Convening Agency in Malawi providing regular backstop support. A SDG Acceleration (Resilience Window) will be created and budgetary allocations managed through a 'pass through' funding modality. Programmatic and financial accountability rests with each PUNO, which will manage their respective components of the Joint Programme. The Joint UN Resilience Programme is envisaged a joint programme made possible by co-finance contributions from development partners. Initial support to the Joint UN Resilience Programme through the Resilience Window is envisaged from DFID, as a part of its Building Resilience and Adapting to Climate Change (BRACC) initiative.

The Joint UN Resilience Programme aims to support 1,159,938 poor and vulnerable direct beneficiaries in four districts to improve their resilience to climate and weather-related shocks and to achieve their full economic potential. The Joint UN Resilience Programme's vision is to be a collective and influential voice for innovation, evidence and impact, and to provide a collective platform for enhanced engagement on policy and programme implementation to build the resilience of households and communities, strengthen shock sensitive social protection,

expand climate smart agriculture, reduce exposure to hazards and risks, and achieve food and nutrition security by diversifying and improving income generation and economic opportunities.

This vision will be achieved through the following four outcomes:

Program Theory

Through sequenced, multi-layered interventions, **204,936 households in ‘Hanging In’, ‘Stepping Up’ and ‘Stepping Out’ groups will have strengthened resilience to withstand current and future weather - and climate-related shocks and stresses**, as well as an independence from humanitarian assistance over the long term.

The programme through specific activities will seek to enhance the food, nutrition and income security and overall resilience capacities to cope better with recurrent shocks/stresses of target communities in the 4 districts targeted: Balaka, Chikwawa, Mangochi and Phalombe.

This vision will be achieved through the following four specific outputs of the the Joint UN Resilience Programme programme:

Output 1: Intensified and diversified agricultural production and improved nutrition for targeted vulnerable communities.

Output 2: Enhanced and inclusive access to the productive resources necessary to develop increased, secure and predictable incomes.

Output 3: Reduced vulnerability and exposure of households and communities to risk.

Output 4: Increased capacity of national, sub-national and non-state actors to plan, coordinate and monitor resilience programming, including shock-responsive social protection.

To operationalise resilience, the Joint UN Resilience Programme will identify the causes of vulnerability in collaboration with communities, government, and the private sector, and strengthen existing capacities, structures and systems to build resilience in the following ways:

- ***Strengthened adaptive capacities:*** intensified and diversified agricultural production and processing; strengthened and adapted livelihoods; increased household/productive assets; improved food and nutrition security; improved access to technical/entrepreneurship training and skills development; enhanced access to, and interpretation of, weather and markets information; improved access to savings, tailored credit and loans;
- ***Strengthened absorptive capacities:*** improved access to safety nets (SCT, PW, crisis modifier and links to the Joint UN Resilience Programme component 3); improved access, knowledge and use of locally available nutritious produce;
- ***Strengthened anticipatory capacities:*** improved NRM, community-level DRR and EWS systems; reactivated/strengthened local structures to better plan, prepare and respond to disasters; improved access to financial risk management products (insurance, asset-based financing, micro-pensions)’ and;

- ***Transformative systems change:*** strengthened and responsive government systems; improved enabling environment for Micro and Small Enterprises (MSE); strengthened market linkages; new and inclusive business models; ensuring livelihood and EPR activities are inclusive and responsive to the needs of youth, women and marginalised groups, including the elderly and disabled.

Background and Rationale

With the majority of its population dependent on rain-fed, smallholder agriculture, Malawi is highly vulnerable to climatic shocks and stresses, which are increasing in intensity, frequency and unpredictability, making climate resilience ever more vital to safeguard Malawi's development gains and secure a more prosperous futureⁱ. Characterised by entrenched multi-dimensional poverty, with a large number of extreme poor people without sustained access to economic opportunity, coupled with weak national and sub-national institutions and systems to protect livelihoods, respond to shocks and generate economic growth, Malawi is one of the world's countries most impacted by a changing climateⁱⁱ.

Vulnerability in Malawi is primarily driven by chronic poverty, food and nutrition insecurity, high exposure to hazards and risks, inadequate provision and access to social services, lack of effective shock responsive social protection, disconnected shock preparedness, early warning and risk reduction systems, high exposure to hazards, limited economic opportunities, and weak coping capacity of households to withstand recurrent shocks and stresses. Malawi is one of the countries with high malnutrition incidence in Eastern and Southern Africa, with more than half of children suffering from chronic malnutritionⁱⁱⁱ.

Malawi ranks low in the 2016 Human Development Index (170th out of 188 countries) and in the 2016 Risk Management Index^{iv} (116th of 191 countries). A trend analysis of food insecurity by the national Integrated Context Analysis (Malawi ICA 2014), revealed that Malawi is highly vulnerable to climate variability, with 25 percent of the country having experienced drought more than seven times in the last decade. In recent years, the country has faced successive and compounding climatic shocks, from the worst flood in 50 years in 2015, to the strongest El Niño event in 35 years in 2016, which left 6.7 million people (39 percent of Malawi's population) in need of assistance.

Agriculture is harder hit than any other sector, and causes agricultural production to dwindle, rendering most households vulnerable to food and nutrition insecurity, lower household consumption, and income stagnation^v. When climatic shocks strike, the economy is devastated as productive investments are diverted to address the immediate needs of food insecurity. Many of the economic gains made by the economy and farm households are swept away in the aftermath of a poor harvest. The Government of Malawi estimated that the 2015 El Niño led to an annual production loss of US\$282 million within the agriculture sector out of total estimated losses of US\$500 million^{vi}.

Recurrent cyclical crises are preventing long-term poverty reduction. The causes of these crises are complex and diverse. On one hand, the country's high exposure to climate risks – primarily

arising from hazards such as dry spells, drought and flooding – results in frequent shocks and emergencies. However, this problem is compounded by underlying household vulnerability tied to food insecurity, low economic development, and seasonal patterns of production and consumption that exacerbate the impacts of large, covariate shocks. Hence, a significant proportion of Malawi’s humanitarian needs originate from largely predictable patterns, including normal seasonal variations in weather. Although investment in social protection has increased significantly over the last decade – largely driven by donor funding – and certain programmes are showing important impacts on poverty and food security, the current social protection system as currently configured does not yet sufficiently achieve its core goals of reducing household vulnerability to poverty and food insecurity and increasing resilience and livelihoods at scale. While it is important to recognize that social protection alone cannot address the factors that create food insecurity and emergencies in Malawi, the effectiveness of social protection could be improved to minimize the impact of seasonal exposure as well as of large shocks to households. A particular weakness is that the current social protection approach does not adequately address the predictable seasonal nature of needs and food insecurity, which can be exacerbated by climate stressors, nor reduce exposure to drought and flood risk at scale. There is, however, positive progress in this area – for example, positive impacts of the social cash transfer programme (SCTP) during the lean season. The system, as a whole though, does not adequately address the additional needs that arise from seasonal stressors. Moreover, while there are emerging linkages between social protection and the emergency systems that demonstrate important positive progress towards a more harmonized approach to addressing crises, there is not yet a consistent and coherent approach to responding to more moderate or extreme shocks caused by climate-related hazards and stressors. This is not surprising, given social protection capacity and systems constraints to delivering regular social protection and achieving core objectives, but recent innovations and coordination between social protection, emergency, and climate adaptation actors demonstrate that more can be done in this area. Strengthening targeting mechanisms and metrics is needed to accommodate improvements in measuring change and to focus resources where evidence of impact is strongest.

At the same time, Malawi’s economic progress remains volatile^{vii}, with growth at only 2.5% in 2016 largely due to weather-related shocks impacting agricultural productivity. With 86% of Malawi’s rapidly growing population reliant on subsistence agriculture, there is limited economic diversification. The country has an estimated per capita GDP of US\$381, with around 130,000 young people entering the labour market each year, but the formal sector producing only 30,000 jobs^{viii}, putting at risk progress in income diversification as a key driver of resilience building. Targeted interventions that effectively link a continuum of support for households that are variably *hanging in*, *stepping up*, and/or *stepping out* towards more climate-resilient development pathways are not as yet fully in place, with institutional gaps remaining a barrier to delivery.

High dependency on natural resources for livelihood and energy (88% of household energy needs are met by biomass) aggravate the impacts of climate change^{ix}. In light of their unequal access to resources and low participation in decision-making, women are disproportionately vulnerable to the impacts of climate change^x. Malawi’s landholdings are generally small (0.24ha per capita) and densely cultivated, causing overuse and environmental degradation of marginally productive land.

High humanitarian costs are a drain on resources that could otherwise be invested in adapting agricultural food systems to climate change, increasing absorptive capacity against climate change variability, and diversifying sources of economic opportunity for poor and vulnerable households^{xi}. Over half of Malawi's 28 districts are now disaster prone^{xii}. The intensity and frequency of shocks in Malawi prevent sufficient time for households to recover, thus perpetuating the cycle of food and nutrition insecurity, derailing graduation from poverty at scale, and dampening economic progress.

Climate predictions indicate the likelihood of further extreme weather events in Malawi that, if not well managed, will increase vulnerability. Average temperatures are expected to increase by 1.4 to 2°C in low and high warming scenarios, respectively, by 2040. The frequency of droughts is projected to increase by up to 20 percent, for dry spells of one to six months. The frequency of heat waves is projected to increase by between 10 and 20 percent compared to the recent past^{xiii}. These trends call for concerted action to improve complementary programming that improves the resilience of poor and vulnerable households to current and future weather events.

Rationale

Within this overall context, the Joint UN Resilience Programme will initially focus on four *primary districts*, where the results of multi-criteria analysis indicate that vulnerability to current and future weather-related shocks, poverty levels, and chronic food insecurity are greatest, and the foundations for systems strengthening are in place. By deploying a *continuum of support* to strengthen household and community resilience, the Joint UN Resilience Programme will adopt new ways of working among national and sub-national government, UN and other development partners, NGOs and the private sector to improve management and coordination mechanisms for resilience building.

By layering and sequencing the complementary resilience building activities that are outlined in this proposal, and by adopting a spatial concentration approach, the Joint UN Resilience Programme will accelerate the transition to breaking the cycle of crises and deliver impact through adoption of a range of multi-sectoral interventions targeted to different poor and vulnerable households and communities, including by strengthening shock sensitive social protection, scaling up the building and safeguarding of productive assets and natural resources, reducing exposure to risks, and stimulating diversification of economic opportunities.

Lessons Learnt in Resilience Building

UN Delivering as One

The Joint UN Resilience Programme has capacity to address multiple, interrelated vulnerability factors through evidence-based, targeted and integrated initiatives that provide a wide range of vulnerable communities and households with a combination of tailored support packages at the right time. In addition, the UN has significant experience across development and humanitarian programming and innovations in climate adaptation and resilience in Malawi. The UN has trusted, long-term working relationships with national and local level governments and with

vulnerable communities, and an ability to deliver key assistance to the last mile and nationwide. Furthermore, the UN has significant on-the-ground presence and capacity across all districts in Malawi.

In this context, four Partner UN Organizations (PUNOs) will jointly implement the the Joint UN Resilience Programme by building on their combined expertise, capacity and contextual knowledge to address chronic food and nutrition insecurity in Malawi, while building conditions for diversification into less weather-dependent livelihoods. FAO, UNDP, UNICEF and WFP each leverage off their respective relationships and comparative advantages with the key government sectors and actors on policy and programme development, systems building and technical assistance to ensure that together they address the multi-dimensional character of chronic vulnerability in the six proposed districts.

Together, the UN offers complementary solutions to the multiple causes of food and nutrition insecurity and climate vulnerability, while targeting all levels of the chronically poor and vulnerable, with a commitment to leaving no one behind.

Guided by a joint Framework (United Nations Development Assistance Framework – UNDAF 2019-2023), the UN consortium works with the Government and a diversity of development partners and is uniquely placed to implement, test, learn, and provide technical and operational support for the achievement of national commitments on resilience for a food and income secure country such as the MNSSP II, NRS, NAIP, and MGDS III.

The UN consortium will leverage and mobilise its resources, field presence, partnerships, and experience and expertise from previous and /or ongoing programmes to strengthen and consolidate the impact of the Joint UN Resilience Programme in the target districts and to offer value for money in a manner that brings the synergies and complementarities for sustainable results. These efforts include drawing from and building on the existing network of partners which extends across the 6 districts, as well as other donors, whose resources will also be leveraged for the planned interventions, including those from the Governments of Japan, the United States, Germany, China, Flanders, Switzerland, Norway, the European Union, and its own regular programme and multi-lateral resources to assist country-wide national efforts to break the cycle of hunger in Malawi.

Partnership Landscape

Pre-existing partnerships with the relevant line ministries, at national and sub-national levels, will also be instrumental to the impact and value of the proposed project, which includes the Ministry of Agriculture, Irrigation and Water Development, the Ministry of Finance, Economic Planning and Development, Department of Disaster Management Affairs, Ministry of Local Government and Rural Development, Ministry of Gender, Children and Welfare, Ministry of Trade, Tourism and Industry, and the Ministry of Natural Resources, Energy and Mining. The UN partnership network also includes a growing number of private sector actors and civil society organisations.

SUSTAINABILITY

The Joint UN Resilience Programme adopts a facilitator role from the outset, working in consultation and collaboration with communities, government and private sector to reach sustainability at multiple levels. Sustainability and eventual exit for the Joint UN Resilience Programme is anchored in strengthening government coordination, networking, and programme design and implementation skills, coupled with advocacy to increase budgetary allocation by the government to household resilience building. This entails strengthening local level staff's programme coordination, networking, design and implementation skills. The Joint UN Resilience Programme sustainability strategy will remain informed by the ongoing learning and adaptation to achieve maximum impact.

Institutional sustainability, Capacity Building and Systems Support: the Joint UN Resilience Programme will strengthen local formal and informal structures and capacities by working closely with national and local government counterparts throughout the planning, design and implementation stages. For instance, key coordination (DoDMA, Water Department, Forestry Department, VDC, VNRMC, SPC), extension (lead farmers, VSL agents), accountability and EWS structures will be supported to develop the capacity to plan, implement, monitor and sustain their initiatives. Vertical linkages between communities to the district level (through VCPC, ACPC and DCPC) up to national levels will be strengthened. With many activities either aligned to various Government plans and policies, or already implemented by the Government with the UN providing technical support, government ownership of the Joint UN Resilience Programme activities is ensured. Consortia members will also continue to participate in and work to further strengthen Government (national and district) Steering and Technical Committees to ensure full ownership and continued sustainability of the benefits and results beyond the project timeframe.

Financial Sustainability: By supporting farmers and private sector actors to pilot and scale innovative and inclusive business models and practices (including facilitating improved access to inputs, MSE financial services including insurance, new markets and value addition opportunities¹), the Joint UN Resilience Programme will support stable, profitable livelihoods opportunities particularly across stepping up and stepping out groups, while simultaneously supporting commercially attractive models for the private sector. This creates a mutually beneficial 'win-win' situation that ensures rural communities and private sector continue to collaborate to expand gains beyond the Joint UN Resilience Programme's lifetime. Where livelihood inputs or incentives are provided (mainly on pass-on basis) it is to secure initial buy-in but are subsequently strategically phased out once benefits are realised and demand stimulated, and are accompanied with relevant information, access to appropriate finance and market

¹ For instance, opportunities include integrating into the innovative new sweet potato processing value chain developed under UP's EU-funded DIVERSIFY project. DIVERSIFY works with Mothers Holding Company, the largest player in the Malawi baking industry (70% of market), to develop the first mass production OFSP-based baking line in the world. These bakeries will be supplied OFSP produced by smallholder farmers, providing them with an assured market for their produce, whilst concurrently helping bakers to reduce their costs and their reliance on expensive imports. Initial indications are that Mothers Holdings demand for OFSP will far outstrip current production levels. This represents a 'win-win' opportunity for both smallholders and processing companies.

linkages, to enable future ongoing access.

Community ownership and a culture of accountability: Communities are engaged at various stages of the project implementation, whether through targeting, designing the specific elements of the activity with the community themselves or through complaints and feedback mechanisms.

Policy level sustainability: the Joint UN Resilience Programme will contribute to and strengthen the on-going design and implementation of national-level resilience and shock responsive social protection policies, programmes and systems (e.g. MNSSPII, NRS, SCTP, UBR), as well as private sector development, especially insurance and financial service markets. Learning will be widely shared through national and international networks to encourage replication for wider benefits.

Environmental sustainability: The promotion of CSA best practices and innovations, together with watershed management approaches will ensure environmental sustainability while supporting smallholder producers to build resilience to climate change.

APPROACHES

The Joint UN Resilience Programme recognises multiple graduation pathways out of poverty and hunger and will therefore employ a deliberate stratified approach to targeting, with different cohesive packages of interventions tailored to the needs and characteristics of three identifiable groups: those who are ‘hanging in’, ‘stepping up’, and ‘stepping out’ (see Table 1 below for definition).

Table 1 – Target Groups

Target Group	Definition (NRS, pg 3)
<i>Hanging In</i>	<i>Households with little or no potential for market engagement or an ability to ‘step up’ or ‘step out’, will ‘hang in’, using agriculture as a safety net rather than a driver to move up the livelihood ladder.</i>
<i>Stepping Up</i>	<i>Households with land, labour, assets, and capacity for food surplus and/or commercial activity that can ‘step up’ the livelihood ladder into more diverse and higher value agricultural activities</i>
<i>Stepping Out</i>	<i>Rural households that can productively ‘step out’ of agriculture, and into more productive sectors of the economy. This could be a local “step out”, finding better-paid employment in local non-farm activities, combined with existing agricultural activities, or investing in an SME. It can also be a “migration step out” to take advantage of opportunities in peri-urban and urban areas.</i>

Seasonality, household characteristics, health status, livelihood opportunities, asset characteristics, geographic location, risk exposure, and the condition of their local environment combine in ways that impact people’s ability to ‘hang in’, ‘step up’, and/or ‘step out’ of poverty into more resilient and less weather-dependent livelihoods. The Joint UN Resilience Programme targeting will be based on a combination of factors linked to household characteristics, risk

- Understanding of catchment constraints (e.g. upland areas less productive, but IWM activities critical for downstream communities);
- Understanding of incentives (e.g. upland areas are harder to recover, larger incentives needed); and
- Understanding of households needs (e.g. if upland areas are less productive, likely food consumption is worse, so higher transfers required).

3. At the household level, certain indicators will be used to target households eligible for assistance under each household category.

Indicative characteristics

Characteristics	Labour Capacity	Food Consumption (Food Gap)	Access to Finance	Productive Assets	Income	Agriculture	Nutrition	Environmental Hazards
-----------------	-----------------	-----------------------------	-------------------	-------------------	--------	-------------	-----------	-----------------------

MP4R will leverage the United Beneficiary Registry (UBR) to assist with targeting in the four target districts. UBR is already in place in Phalombe and is planned to be rolled out in Balaka, Mangochi, Chikwawa over the coming months. Households/ individual criteria available in the UBR will be used as a basis for targeting, in addition to other criteria and/or self-targeting. A similar approach (e.g. same criteria and/or self-targeting) will be used in districts where the UBR is not yet rolled out. The national ID will be used where possible to track access to package of support. With this approach, we will be able to plot household and community level progression from very basic subsistence living to food secure, healthy, and economically viable households. Deliberate efforts will be made to ensure no one is left behind, including women, the disabled, and the most marginalised and that tailored support is offered to them.

MP4R will draw on approaches tried and tested to scale the following:

Hanging In:

Reducing the food consumption gap, boosting agricultural productivity, and enhancing natural resource management: Food for Assets (FFA) will be the entry point for asset creation activities under a watershed management approach, targeting the Hanging In group. In this, households will to build productive assets that will boost their agricultural productivity, and reduce their exposure to shocks, in exchange for a monthly food basket tied to the creation of assets. Households will tentatively receive this consumption smoothing support for a 3-year period, as part of a graduation strategy. Practices will be supported through effective linkages to extension workers and bolstered by knowledge cascaded down through the Farmer Field Schools (FFS) approach.

Micro-insurance scheme and village savings and loans: Households targeted under Food for Assets (FFA) will participate in a weather indexed insurance scheme, where insurance premiums will be paid against the risk of rainfall deficit where compensation via timely cash pay-outs is

The Joint UN Resilience Programme will draw on approaches tried and tested to scale the following [below include just the approaches under the UN consortium]:

Hanging In:

Reducing the food consumption gap, boosting agricultural productivity, and enhancing natural resource management: Food for Assets (FFA) will be the entry point for asset creation activities under a watershed management approach, targeting the Hanging In group. In this, households will build productive assets that will boost their agricultural productivity, and reduce their exposure to shocks, in exchange for a cash-equivalent of a monthly food basket tied to the creation of assets. Households will tentatively receive this consumption smoothing support for a 3-year period, as part of a graduation strategy. Practices will be supported through effective linkages to extension workers and bolstered by knowledge cascaded down through the Farmer Field Schools (FFS) approach.

Micro-insurance scheme and village savings and loans: Households targeted under Food for Assets (FFA) will participate in a weather indexed insurance scheme, where insurance premiums will be paid against the risk of rainfall deficit where compensation via timely cash pay-outs is triggered by thresholds related to yield loss during seasons of significant rainfall deficit. Pay-outs triggered from the insurance scheme may complement the transfers that could be provided contingency budget allocation depending on the seasonal performance. Over time, as their food and income security improves, households will be transitioned to provide own cash payments, starting with partial insurance premium contributions, to eventually full cash payments for policy coverage. Village savings and loans (VSL) groups will also be expanded and strengthened for households to address shocks and finance productive investments, such as improved seeds, livestock, and off-farm livelihoods.

Flexible and versatile cash transfers that mitigate lean season stresses or minor shocks, preventing negative coping strategies and protecting erosion of assets. Cash injections have strong income and employment spill-overs and multiplier impacts on non-beneficiaries by up to three times². The specific use of the lean season transfers will be determined based on the Food Insecurity Response Plan designed by the Government of Malawi (GoM).

Stepping Up:

Expanding Climate Smart Agriculture (CSA) to poor farmers: the Joint UN Resilience Programme will promote effective agricultural practices helping farmers adapt to climate change and making them more resilient to climatic shocks and stresses through cascading training, demonstration plots and exchange visits. Our approach encompasses a wide range of practices around crop production, agroforestry, soil, water, livestock and resources management. CSA has been demonstrated as an effective means of increasing yields while conserving natural resources through ECRP-DISCOVER, Graduation and FIM.

² ‘Local Economy Impacts and Cost-benefit Analysis of Social Protection and Agricultural Interventions in Malawi’ study (conducted by Malawi Government, Kagin consulting, University of California, ILO, FAO and UNICEF), March 2018

Skills development, climate resilient agricultural support, and integrated climate risk management: the Joint UN Resilience Programme will scale up the Farmer Field School (FFS) approach in four target districts based on adult education principles^{xiv}. Learning how to adapt in a systematic manner to a changing climate can positively influence livelihood decisions and actions by local communities. Particular attention will be extended to tailoring the curriculum and also to enable Extension Workers to integrate dimensions of resilience building at household and community levels into extension packages^{xv}. FFS will serve as a platform to expand integrated climate risk management, offering households packaged risk management strategies. Distribution of inputs, tools, productive assets, seeds and livestock will ensure greater access to improved and diversified production and adoption of technologies, reduced post-harvest losses, increase production and productivity and improve household resilience. Linkages between FFS and other components of the programme will be ensured, with the design outlined during the inception phase.

Stepping Up and Stepping Out:

Interventions for scale-up across all household categories:

Integrated catchment management (ICM) & natural resources management (NRM): The NRS, NAIP, MNSSP II and the National Climate Change Investment Plan (NCCIP)^{xvi} emphasise the urgent need to promote the adoption of an Integrated Catchment Management (ICM) in locations affected seasonally by natural disasters, rapid degradation of natural resources, and resource-based conflict. The Joint UN Resilience Programme will trial different models of catchment management incentives and expand catchment and micro-catchment protection to reduce flood risk, accelerate livelihood opportunities, and safeguard ecosystem services in the four target districts. Food for Assets (FFA) will be the entry point for asset creation activities under ICM for the hanging in-group, cascading down to the farmers knowledge transferred through the Farmer Field Schools (FFS) approach. groundwater retention. For stepping-up households, alternative models for incentivisation of catchment management approaches will be implemented aiming to improve agricultural productivity and watershed sustainability.

Nutrition sensitive programming: Making programmes more nutrition-sensitive, including the SCTP, will help generate and sustain improvements in nutrition by addressing the underlying causes of malnutrition. Dietary diversity will be promoted through a care group structure, as the primary platform for delivery and convergence of service provision.

Reducing exposure to risk: The Joint UN Resilience Programme will reduce exposure to flood risk by scaling up access to low-carbon multi-purpose flood evacuation centres and community engagement in the creation of small-scale flood mitigation structures (e.g., dykes, check dams, river retraining). The Joint UN Resilience Programme will reduce drought risk by increasing uptake of drought tolerant crops, community-based water harvesting, protection and restoration of water sources, and access to small-scale and community co-managed integrated solar-powered water systems. The Joint UN Resilience Programme will improve access by vulnerable households to timely and reliable early warning information to assist communities to better anticipate risks from floods and extreme weather events in four districts to protect lives, livelihoods and productive assets. The programme will also accelerate the adoption by district authorities of more robust information management systems for disaster risk management.

Households will also have access to downscaled reliable and timely climate and weather information linked to food security and agricultural advice to encourage informed decision making relating to crop, livestock and livelihood options.

Shock-responsive social protection: Evidence^{xvii} shows the feasibility, cost effectiveness and timeliness of using Malawi's social protection system to target, deliver, and scale up responses to crises, and for targeting and delivery of humanitarian support^{xviii}. Projections estimate that e-payment mechanisms for regular SCTP result in immediate efficiency gains when leveraging the SCTP during crisis and can lead to USD1.3 million accumulated net savings over 10 years, and time savings in delivering a humanitarian response equating to 10 days^{xix}. The Joint UN Resilience Programme will leverage the Integrated Food Security Phase Classification (IPC) and Joint Emergency Food Assistance Programme (*JEFAP*) tools, as well as the United Beneficiary Registry (UBR), for targeting purposes in the four target districts to improve shock responses, while informing country-wide humanitarian reform and contributing to a more effective shock-sensitive social protection system. Through investments in targeting for shock-responsive social protection using the UBR, time savings, equating to an estimated 18 days, financial savings, an estimated USD 308,640 in savings over 10 years, and efficiency gains can be expected after the first two years.

Linking UBR, National ID, and other resilience targeting and tracking systems: Building on global evidence on the value of social registries as inclusion and information systems, the UBR and its use for targeting and tracking of beneficiaries and the programmes they access within and beyond the MNSSP will be expanded in order to improve efficiency, monitoring of service delivery and household resilience building. The Joint UN Resilience Programme will develop a user programme information management system linked to the UBR and national ID to inform higher frequency resilience monitoring. The Joint UN Resilience Programme will also where possible use of the national ID card as a unique identifier in the targeted districts.

E-payment and cash transfers: In line with the digitisation plan of the Government of Malawi, the use of electronic cash transfers using mobile technologies will be scaled up, to increase efficiency gains and offer opportunities to explore electronic/mobile payment technologies for savings, lending, and insurance activities. Where e-payments are not feasible, the current cash in transit model will continue and mobile money platforms will be used to facilitate monthly cash transfers to participants, notified through SMS. In line with the Government's digitization policy and the plan of the national e-payment taskforce to develop an accessible, harmonised, integrated and robust payment solution, cost efficiencies will be explored, keeping in mind the use of certain platforms are limited within the contract period by the necessity to use the existing one (eg. Bank in contract with the MoGCDSW for the vertical expansion of the SCTP). For instance, the Joint UN Resilience Programme will explore activation of e-wallet function in the National ID card in the context of existing and future agreements with financial service providers.

Strengthened information and analysis relating to agriculture, food and nutrition. This approach will enhance the collection and analysis of information for planning and decision-making from national government to farm level, including market information, household food security surveys, livestock and crop disease surveillance, rainfall data, seed and crop assessments, food security and nutrition monitoring, and SMART nutrition surveys.

Enhancing capacity for coordination, planning and monitoring at district and community level. In line with the recommendations from the Towards Shock-Responsive Social Protection System in Malawi Study^{xx}, the the Joint UN Resilience Programme will support local administrations in streamlining/aligning structures for coordination in the areas of social protection/resilience and emergency response, as well as the development of integrated planning and M&E frameworks.

INNOVATIONS

The Joint UN Resilience Programme members are leading innovators in their fields and are committed to iterative learning and sharing of transformative innovations for maximum impact and reach. Examples of initial transformative innovations are summarised below, and regularly monitor their impact to inform planning and programming and additional innovations will be explored during implementation³:

Innovations for scale-up across all household categories:

Forecast-based Financing (FBF): Under the strategic shift to support the graduation pathways of the targeted households, FBF will make use of contingency finance and plans, along with forecasts and triggers to inform the delivery of assistance in a shock responsive manner, supporting the expansion of social protection systems in the Joint UN Resilience Programme target areas.

Malawi Resilience Dashboard: the Joint UN Resilience Programme will trial new ways for collecting, analysing and presenting information on household resilience in Malawi and strengthen social accountability for service delivery. Use of *Android* tablets to collect household information in real-time by measuring resilience through subjective methods will be scaled-up and aggregated onto a resilience dashboard as an instrument for impact monitoring, research, and adaptive management.

Community-based Early Warning Systems (EWS): Generating data from river gauges utilising Unstructured Supplementary Service Data (USSD) survey, which will be administered by mobile network operators (Airtel and TNM). This will enhance delivery real time delivery of river readings and will enhance timely early warning communication to flood prone communities. By improving transparent and open access information channels between community-based civil protection committees and district authorities, vulnerable communities will improve disaster prevention, preparedness and early recovery.

OBJECTIVES

The Joint UN Resilience Programme looks to support vulnerable populations in Malawi affected by crisis to overcome poverty and better withstand cyclical climate-related shocks which

³ Note that all these innovations have been extensively discussed and researched and can be elaborated upon in more detail if required.

predominately manifest as food insecurity, through long-term systemic change which will embed resilience into targeted communities and provide potential for significant scale up, creating disruptive systems change and contributing to the broader impact of **reducing extreme poverty and an end to the recurrent cycle of hunger and humanitarian assistance.**

This will be realised through phased and flexible programming which effectively traverses the humanitarian and development spectrum and integrates CCA, systems-strengthening and market-based approaches. The Joint UN Resilience Programme will support the permanent players within the system - government, private sector, community and civil society – to fulfil their roles and help to unlock current barriers and constraints and create income opportunities for those who are currently excluded. The Joint UN Resilience Programme will support efforts to support NRM and robust disaster preparedness and response mechanisms; improve dietary diversification within the household and furnish households with skills and alternatives to cope better with climate variability and providing alternatives that enable them to diversify their livelihoods through their income sources, strengthening links with the market and accessing more accessible and sustainable financial services at their communities. This will be done with the overall objective of enabling households, communities and government to better adapt, cope, recover and ‘bounce back better’ from cyclical shocks and stresses.

Through improving the absorptive, adaptive and anticipatory capacities of beneficiaries targeted, deliberate efforts will be made to ensure no one is left behind, including women, the disabled, and the most marginalised.

The Joint UN Resilience Programme will develop models for scale up and build the evidence base to inform national and international discourse on resilience.

The Joint UN Resilience Programme aims to contribute to the national **goal** of building a resilient nation by reducing the number of people living in extreme poverty and hunger. As envisaged in the Malawi Growth and Development Strategy (MGDS)^{xxi}, the National Resilience Strategy (NRS)^{xxii}, National Agriculture Investment Plan (Plan)^{xxiii}, Malawi National Social Support Programme (MNSSP)^{xxiv}, and the Climate Change Policy and Investment Plan^{xxv}, accelerating Malawi’s transition out of chronic poverty and food insecurity towards more climate-resilient development pathways calls for multi-sector, complementary interventions at different geographic, time and institutional scales.

As reflected in the National Resilience Strategy (NRS) intervention packages will be targeted to different poverty profiles, summarised using the ‘hanging in’, ‘stepping up’ and ‘stepping out’ model⁴.

DESCRIPTION OF HEADLINE RESULTS

This section firstly provides an overview of each output and how this relates to the headline

⁴ Developed by Dorward et. al. in 2009, and reflected in the Malawi National Resilience Strategy.

results the Joint UN Resilience Programme aims to achieve at Outcome and Impact level. It secondly outlines the key activities that will be implemented to achieve these outputs. The Joint UN Resilience Programme is comprised of the interventions that the UN are accountable for, however through a partnership with an NGO partnership under the DFID BRACC initiative, the below indicates the results.

The headline results at impact level are:

- 985,947 (85% % of the total planned caseload) people whose resilience has been improved as a result of project support;
- At least 174,196 households supported to cope with the effects of climate change (droughts and floods); and
- Reduced prevalence of moderate or severe food insecurity in the population, based on the Food Insecurity Experience Scale (FIES).

At Output level, the programme will achieve the following:

Output 1: Intensified and diversified agricultural production and improved nutrition for targeted vulnerable communities.

- 60% change in yields/acre of key crops (maize and other key cash crops) against the baseline figure
- 90,000 (40,000 M - 50,000 F) Number of households meeting the Minimum Dietary Diversity

Output 2: Enhanced and inclusive access to the productive resources necessary to develop increased, secure and predictable incomes.

- 78,750 cumulative number of poor people experiencing net positive income change GBP 6.5 million cumulative aggregate increase in income among poor people.

Output 3: Reduced vulnerability and exposure of households and communities to risk.

- 60% of HH have improved Household Resilience Capacity Index as informed by the Resilience Index Measurement Analysis (RIMA)
- 40% increase of targeted population adopting identified practices to reduce vulnerability to hazards and risks
- A decrease of hanging in households with borderline to acceptable food consumption (FCS)

Output 4: Increased capacity of national, sub-national and non-state actors to plan, coordinate and monitor resilience programming.

- 4 districts with integrated coordination, monitoring and social accountability systems for social protection/resilience and emergency interventions
- 4 districts that adopt and implement local disaster risk reduction strategies in line with the Sendai Framework for Disaster Risk Reduction 2015-2030 (National: Number of DDPs that have integrated DRM). Baseline is currently 9, but none are the four districts in our proposal so our target will be all four by end of the programme

The following is a summary of main activities aligned to outcome areas:

Output 1:

Promoting Climate Smart Agriculture (CSA): Identify Lead Farmers (LF) to cascade Climate Smart Agriculture (CSA) and Good Agricultural Practice (GAP) training, including crop diversification, livestock and post-harvest handling, and conduct demonstration days for other SHF in their area.

Strengthen agricultural extension services: Identify current gaps and provide refresher trainings to existing extension workers rolling out a training of other extension workers from the 4 districts using the Farmer Field School approach. Among the extension workers will be include Agriculture Extension Development Coordinator (AEDC), Agriculture Extension Development Officers (AEDOs) and Assistant Veterinary Officers (AVO). Linkages between the FFS and other components of the programme will be developed in detail during the inception period.

Promote enhanced nutrition: Promoting dietary diversification and Strengthening engagement of community leaders through the Community Leaders Action Nutrition (CLANS) groups

Output 2:

Activities under this output of the programme relate to market systems development, and will be delivered by NGO partners as part the DFID BRACC initiative.

Outcome 3:

Natural Resources Management (NRM), Watershed Management and Asset Creation: Watershed management approach is employed to prioritise locations with highly degraded landscapes. The Joint UN Resilience Programme will use various incentive models to improve watersheds linked to household categories. These interventions will aim to improve NRM, addressing social and gender constraints, to enable women and men to engage in sustainable land use and watershed management. The interventions will also support the construction of community and household level assets including swales, deep trenches, check dams, tree nurseries and woodlots, contour ridging and natural tree regeneration. With the Hanging In group, the Joint UN Resilience Programme will implement the FFA model. Different models of incentivising watershed management activities will be used with Stepping Up households. In addition to training provided through these approaches, households will apply the knowledge gained through the Farmer Field Schools approach. As part of the watershed approach, the Joint UN Resilience Programme will utilise agroforestry and forest management including tree nurseries and local seed collection, developing participatory forest plans and registering village forest areas with District Councils.

Lean Season Response: Provide lean season transfers to meet food consumption gaps, based on the Food Insecurity Response Plan and discussed with consortium members.

Outcome 4:

Community Level Planning: Support community-led solutions through participatory planning processes. Support community-managed DRR through developing local contingency plans and strengthening community disaster management committees, linked to district-level plans.

District Level Planning: Support DoDMA to reactivate the district DRM co-ordination structures including re-activation of technical sub-committees, such as the EWS sub-committees.

Hazard Mapping: Undertake hazard mapping in target districts using UAV, in collaboration with DoDMA, while also building capacity in DoDMA to conduct, analyse and utilise hazard maps. Link hazard maps with the development of village and area contingency plans.

Systems development and strengthening: the Joint UN Resilience Programme will develop and/ or strengthen existing systems underpinning the programme, including Forecast Based Financing, Shock-Responsive Social Protection, Linkages between the UBR-SCOPE-National ID.

Knowledge and evidence generation: the Joint UN Resilience Programme will ensure that evidence from the programme is shared with key Government counterparts and stakeholders to inform national programming and policy, as well as enabling adaptive programming approaches within the Joint UN Resilience Programme programme.

Change Management: the Joint UN Resilience Programme will support successful change management for target district and national technical officers, and institutions to strengthen the capacity of state and non-state actors to plan, coordination and monitor resilience programming, including shock responsive social protection.

Strengthen Local Government/Community Engagement and Accountability: Support local decentralised institutions to become stronger, more transparent, accountable, and gender-just. Support joint planning between communities and district stakeholders to develop watershed management plans and raise individual (particularly women and vulnerable groups) and collective voice to influence agricultural and natural resource policies and governance. Disseminate messaging on climate change adaptation and SRH/FP, and mobilise traditional leaders to promote responsible use of land and resources.

Cross-Cutting:

Policy Engagement: Share the Joint UN Resilience Programme experience to inform policy and regulatory decision making and implementation.

PROGRAMME THEORY OF CHANGE

The Joint UN Resilience Programme joint theory of change is built on a belief that any given household sits within the sphere of influence of multiple complex systems (including social/cultural systems, economic/market systems and political/governance systems) and that real, long-term resilience can only be achieved by transformative systems strengthening. In addition to providing targeted households with discrete packages of resilience-building interventions, therefore, the Joint UN Resilience Programme members will engage with and

work through recognised agents of change within key systems to leverage sustainable transformation. Key agents of change will be Malawi's 'permanent players', namely the Government, local civil society, and the private sector.

Evidence shows that combinations of multi-sectoral interventions are needed to drive positive change in household resilience^{xxvi}, including lean season support to bridge development-humanitarian action during periods of acute food insecurity; scalable social safety nets; household access to finance and business capital; strengthening farm and off-farm market systems; business and market development services; access to high quality education, health and extensions services; roll-out of flood and drought mitigation measures; and sustainable environmental and water management and energy services to reduce environmental degradation and safeguard the ecological basis for climate-resilient development.

For these interventions to achieve results at scale, a range of institutional and implementation support is needed to improve national and district level coordination networks as a means to strengthen delivery. The Joint UN Resilience Programme will partner with Ministries, departments and agencies (MDAs) to deliver the combination of cash transfers, extension advice, public works, market support, and other services needed to improve livelihoods, build resilience, and adaptation to climate change.

International experience and practice in Malawi suggest that multi-stakeholder coordination is possible and does deliver additional benefits^{xxvii}, but needs to be addressed at scale in targeted areas. Community mobilisation to raise awareness on resilience, prioritise activities, and inform targeting is also crucial^{xxviii}. Strengthening transparency and accountability among duty bearers will improve service delivery^{xxix} and ensure that funds are used efficiently and effectively.

Similarly, enhancing and harmonising household targeting across programmes, for example through the Unified Beneficiary Registry (UBR), will help document what other programmes beneficiaries are engaged in, and how these complement and influence the achievement of outcomes under the programme. Ensuring that evidence of resilience building contributes to iterative learning and adaptation is essential to inform adjustments to the combination of resilience building 'packages' and to enable continuous improvement and progress towards the achievement of project outcomes.

Summary Theory of Change (illustrated in Annex 1):

We know that: Persistent poverty makes people in Malawi particularly vulnerable to recurrent shocks and stresses. [Problem statement]

And so, we want to: Reduce extreme poverty and end the recurrent cycle of crises and humanitarian assistance. [Impact]

Within the lifetime of the present programme we believe we can achieve the following change

Outcome: Strengthened resilience of the targeted poor and vulnerable households to withstand current and future weather and climate related shocks and stresses

- **Output 1:** Intensified and diversified agricultural production and improved nutrition for targeted vulnerable communities.
- **Output 2:** Enhanced and inclusive access to the productive resources necessary to develop increased, secure and predictable incomes.
- **Output 3:** Reduced vulnerability and exposure of households and communities to risk.
- **Output 4:** Increased capacity of national, sub-national and non-state actors to plan, coordinate and monitor resilience programming, including shock-responsive social protection.

More specifically, the programme interventions are designed to: Increase the adaptive, absorptive and anticipatory capacities of targeted households, and contribute to transformative systems strengthening. [Intermediary Outcomes]

We will implement the following key interventions:

Intervention 1.1: Improved adoption of nutrition practices

Output 1.2: Increased agricultural production, adoption of Climate Smart Agriculture, and inclusive access to quality agricultural inputs.

Intervention 2.1: Increased and improved application of agricultural processing and handling among smallholder farmers.

Intervention 2.2: Increased and inclusive access to financial services and increased entrepreneurship and business skills

Intervention 2.3: Strengthened and more inclusive market systems and linkages between private sector and smallholder farmers.

Intervention 3.1: Improved natural resource management through asset creation and protection linked to food security.

Intervention 3.2: Improved natural resource management through asset creation and protection linked to sustainable natural resources based livelihoods

Intervention 3.3: Increased access to insurance products for smallholder farmers and private sector entities engaging with smallholder farmers

Intervention 3.4: Improved community access to effective climate information services and community-based risk mitigation

Intervention 3.5: Provision of Lean Season Top Ups to vulnerable households

Intervention 4.1: Successful change management through increased capacity of national, district, and community institutions

Intervention 4.2: Improved systems for resilience building among government stakeholders

Intervention 4.3: Increased production and use of knowledge and evidence

And cross cutting work in areas including:

- Robust monitoring and evaluation
- Inclusive community engagement and mobilisation (incl. Gender)

This will involve us having to: Deliver well-targeted packages of shock-responsive, resilience-building interventions at household and community level and work with and through recognised agents of change within key systems in order to identify and leverage positive disruptions.

[Approach]

In order to achieve this, we will need to work closely with the following [Change Agents]:

- Government agencies, including: DoDMA, Ministry of Agriculture, Irrigation and Water Development, Ministry of Health, EP&D, Local Development, Industry and Trade
- Local community based/civil society groups, including: Village Civil Protection Committees
- Private sector actors, including: agri-input companies, processors, traders, ARET agro-dealers, GAP providers
- Development partners, including: DFID, IrishAid, GIZ, EU, other UN agencies

In developing our theory of change, we assume the following:

Contextual assumptions:

- Accelerated progress on agriculture and market reforms
- Strengthened political leadership for resilience, climate adaptation, and social protection
- Scale-up of household access to basic social services.

Programmatic assumptions:

- Access to high-quality, affordable agricultural inputs, information, and/or capital will increase household investment in the intensification and diversification of production
- Access to informal and formal savings and credit facilities will increase household investment in income-generating activities leading to growth in and diversification of income streams
- Increased and diversified income will enable households to retain assets and build up reserves, reducing the negative impact of shocks and stresses
- Improved watershed management will reduce exposure to flooding and increase potential for income generation
- Improved EWS and community-level disaster risk reduction will reduce flood and drought risk and enable communities to respond better in times of crises
- Effective risk management strategies will reduce risk aversion and stimulate ambitious agricultural and enterprise decisions by some households, leading to increased income
- Appropriate safety nets, including cash transfers, will reduce negative coping strategies in times of crisis
- Strengthened systems will support impoverished households and reduce vulnerabilities to climate-related shocks and stresses

By layering and sequencing complementary interventions within spatially defined areas, the Joint UN Resilience Programme will accelerate the transition to breaking the cycle of crises in the most vulnerable areas of Malawi. The Joint UN Resilience Programme will deliver impact by scaling up adoption of a range of multi-sectoral interventions targeted to different types of poor and vulnerable households and communities, including through strengthening shock sensitive social protection and early warning systems, building and safeguarding of productive assets and natural resources, reducing exposure to risk, and stimulating diversification and uptake of

economic opportunities that generate household income.

MONITORING AND EVALUATION

The joint monitoring and evaluation framework and programme reporting will be finalised during programme inception, together with the framework for Impact evaluation in conjunction with the International Food Policy Research Institute (IFPRI).

The Joint UN Resilience Programme will employ a joint monitoring and evaluation framework to track progress on results and to meet accountability requirements as outlined in the programme logframe. The framework, which aligns with the key outcome results as proposed in the UNDAF, MNSSP, NAIP, NRS and overall in the MGDS III, will track indicators at output, outcome and impact levels to ensure key results are achieved. The programme's Theory of Change will further guide all monitoring, evaluation and learning activities.

Relevant government ministries/sectors will be supported to coordinate and conduct quarterly visits jointly with the Joint UN Resilience Programme members. The monitoring visits will be aimed at providing technical support to the implementing partners including District Councils, NGOs, the private sector and resolving any emerging operational challenges. Biannual review meetings will be jointly conducted by the Consortium members and district teams. The Joint UN Resilience Programme reporting formats and monitoring tools will be jointly developed, taking into account existing tools, to facilitate capturing of relevant operational data on key performance indicators at all levels.

The Joint UN Resilience Programme will be moving towards paperless monitoring where data is collected by field monitors using Android tablets. The monitoring system will be aligned to the level of results: at process level for tracking activity deliverables; at the output level for immediate results, and at the outcome level for medium term-results.

Indicative Programme Reporting

The Joint UN Resilience Programme indicatively will submit annual progress (technical and financial) reports according to the reporting schedule to be agreed between funding partners and the consortium members. This will be in accordance with the grant requirements and agreements. The Joint UN Resilience Programme will prepare an end of programme report for submission to DFID and Irish Aid covering the entire agreement period. The final report will detail achievement of project outputs and outcomes, progress against overall strategic objectives, and review successes, issues, and challenges during the life of the initiative. The report will also provide key recommendations for successes that need additional follow-up and key areas that still need addressing.

Community Feedback

The Joint UN Resilience Programme will be delivered in line with respective updated and robust global safeguarding policies, and in line with our shared commitment to protect all beneficiaries we work with either directly or indirectly, from any form of abuse or exploitation, and enforce

similar standards among our partners and sub-contractors, to ensure full accountability to beneficiaries and to DFID and IrishAid.

Consortium members have clear accountability policies and have established strong relationships of two-way communication, transparency and respectful feedback with target communities, local district and traditional authorities in our existing and previous programmes.

The Joint UN Resilience Programme will utilise the consortium's collective experience in establishing strong feedback mechanisms to give voice and address grievances from those who participate, support or are affected by the programme. The consortium will build on the already existing CFRMs by WFP, Youth Net and Counselling (YONECO) and GIZ to design an integrated *Community Feedback and Response Mechanism (CFRM)* to ensure accountability and transparency. The *CFRM* will create a safe, confidential and inclusive platform for the targeted communities to channel their complaints and feedback which will form the basis for effecting improvements during implementation of the project. The Joint UN Resilience Programme will use feedback to improve programme quality and maintain community trust, and ensure the programme is relevant, contextually appropriate and ultimately more efficient and effective.

Consortium members have clear accountability policies and have established strong relationships of two-way communication, transparency and respectful feedback with target communities, local district and traditional authorities in our existing and previous programme.

Specifically, CFRM uses five key approaches:

- 1) Toll-free hotline – a number accessible across the country, available for anyone to call. In previous programmes became a highly successful tool after households observed complaints and comments were being listened to and acted upon. The number will be regularly advertised to all the Joint UN Resilience Programme beneficiaries and communities.
- 2) Feedback desks and Community Boxes at events – Lockable Community Feedback Boxes will be placed during events to facilitate community members to comfortably deposit their issues in confidence. In addition, female and male staffed help and feedback desks will be provided;
- 3) Office visits – District level the Joint UN Resilience Programme staff will clearly advertise their office address so any member of the community can walk in and present any grievances, suggestion or feedback;
- 4) Continuous community and district engagement on accountability, complaints and feedback - the Joint UN Resilience Programme will conduct focus group discussions with community members and invite beneficiary views on how they prefer information to be shared and how they prefer to raise and address grievances. Regular district briefings/interactions will be conducted with stakeholders, and the DEC will be briefed on progress and consulted for any issues or suggestions quarterly; and
- 5) Front line staff Training on CFRM - Front line staff for the project as well as relevant

community structures will also be trained on how to refer complaints and feedback from community members.

Partners will follow standard operating procedures (SOPs) which will clarify the roles of each of the partners and will help in effective management of the CFRMs including the focus on information sharing among all project stakeholders to ensure awareness about the available mechanisms, how to access and utilise them as well as the roles of the different stakeholders.

The Joint UN Resilience Programme will keep a log for receiving issues/grievances arising from the CFRM, recording complaints, referring complaints and feedback to relevant institutions for action, reviewing and tracking complaints, taking actions and responding back to communities on timely basis, ensuring issues are dealt with rapidly and transparently.

Programme objectives and plans will be communicated to communities during inception and during implementation. In addition to the above mechanisms beneficiary feedback will be gathered through participatory needs assessments, scenario planning, and ongoing consultations.

To avoid marginalised community members being excluded, the multiple complaints mechanisms are designed to minimise physical barriers due to age, disability, or distance, and to ensure discretion and confidentiality. Planned accountability activities will be strictly in compliance with the Core Humanitarian Standards on Quality and Accountability (CHS).

Learning

Learning events will be organised on a regular basis for sharing and disseminating programme results, lessons learnt, best practices and to jointly determine with other stakeholders how best to inform and shape progress on household resilience. Such events will be convened by the consortium members annually from the second year of programme implementation

Reporting

In addition to the Annual consolidated narrative progress reports, to be provided no later than five months (31 May) after the end of the calendar year to MPTF, joint quarterly narrative reports will be submitted to DFID. Deadlines for submission will be decided in collaboration with the INGOs a month after the quarter ends. The first quarter will be the inception report which will cover inception activities until March 31st 2019.

PROGRAMME MANAGEMENT

With the aim to foster an effective and smooth coordination of the programme activities, the UN & CWW-led consortia will setup a coordination arrangement, which is conducive to facilitate an integrated implementation, minimises duplication and engages strategically Government, private sector and other relevant stakeholders that contributes to obtain the expected results.

Both consortiums (UN and CWW-led) require to setup internal management structures to govern

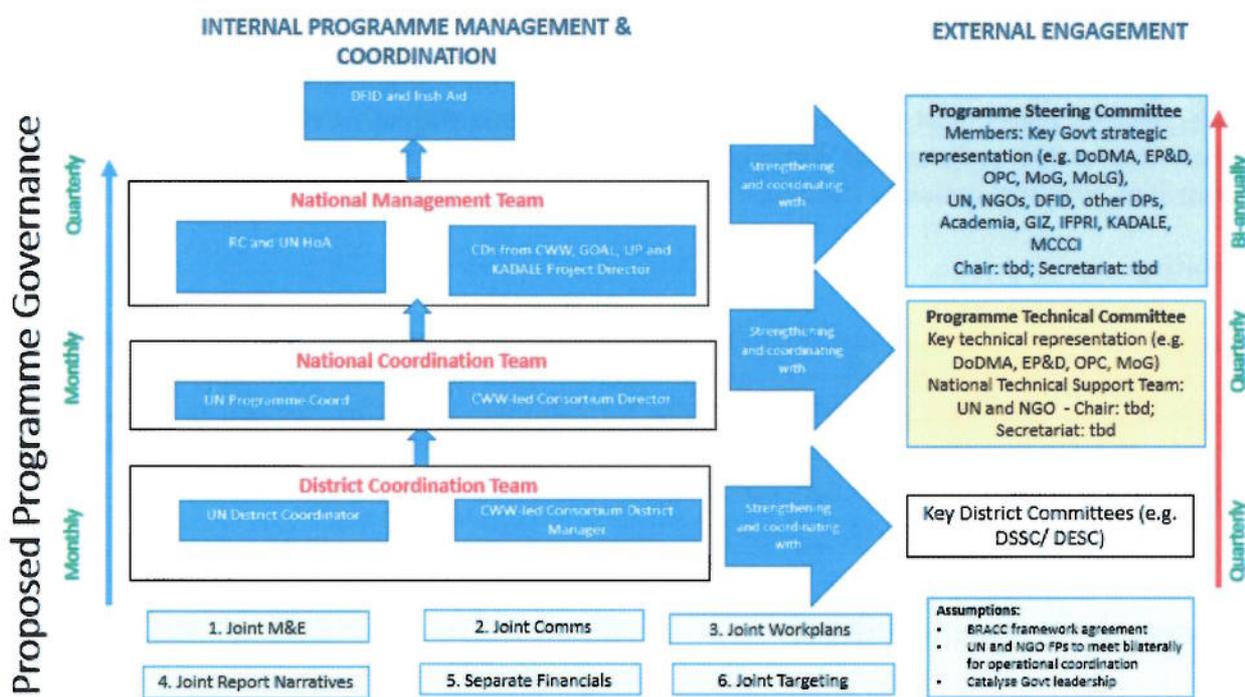
their different components/activities, which is described below. The initial part of this section will describe the coordination mechanisms to be established between the UN and CWW-led consortia to facilitate implementation and strategic direction at District and National levels. During the inception period, the Consortia will work closely to refine, finalise and establish these mechanisms, developing standard Terms of References, and outlining clear roles and responsibilities for each Team/Committee.

WFP (as UN convening agency), and Concern Worldwide (as the CWW-led consortium lead) will together coordinate the delivery of the Joint UN Resilience Programme, with the former under an agreement with the UN Multi-Partner Trust Fund (MPTF) and the latter through an accountable grant agreement with DFID (and IrishAid at a later date).

1. Programme Coordination Structure

To maximise programmatic synergies and facilitate effective implementation the UN and CWW-led consortiums will establish the following coordination structures, as illustrated in diagram 2. These will include an internal programme management and coordination structure, in addition to a structure for external engagement, as further explained in sections 1.1. and 1.2.

Diagram 2: Proposed Programme Co-ordination



1.2 Internal Programme Management and Coordination

The Internal Programme Management and Coordination mechanism will include three layers as outlined in Table 5 below; a district coordination team (meeting monthly), a national coordination team (meeting monthly), and a national management team (meeting quarterly). These teams will

ensure internal joint planning and implementation plans, common protocols for targeting and engagement of communities in the different project activities and harmonised and coherent mechanisms for reporting, monitoring and evaluation of the programme activities. Both the UN and CWW-led consortiums will be jointly responsible to facilitate coordination at all levels. Joint terms of reference for each coordination team will be developed and agreed during the inception period.

Table 5: Internal Programme Management and Coordination

Coordination Team	Main members	Main functions
<p>National Management Team <i>(Quarterly meetings and ad hoc meetings when required)</i></p>	<p>RC and UN Heads of Agency</p> <p>CDs from CWW, UP, GOAL and Kadale Project Director</p> <p>DFID Head of Office (and Irish Aid) – not full member</p>	<ul style="list-style-type: none"> • Provide strategic steer and guidance for the programme implementation; • Represent Programme in strategic engagements with the Government of Malawi, and relevant stakeholders in the Programme Steering Committee (outlined below)
<p>National Coordination Team <i>(Monthly meetings and ad hoc meetings when required)</i></p>	<p>UN Programme Coordinator</p> <p>CWW-led- Consortium Director</p>	<ul style="list-style-type: none"> • Oversight of national quarterly join-work plans; • Identification of programme and technical issues and solutions • Facilitate joint reports and M&E (note - each consortium also reports to the donor separately); • Represent the programme in technical engagements with the Government of Malawi, and relevant stakeholders in the Programme Technical Committee (outlined below) Nominate technical leaders that will provide overall guidance to each of the critical topics and nominate a leader/co-leader per topic. The officer chairing those topics should represent the programme in national TWG for the same issues. <p>The formation of technical working groups / technical lead will be finalised and conducted as part of the inception period activities.</p>

District Coordination Team <i>(Monthly meetings and ad hoc meetings when required)</i>	UN District Coordinator CWW-led Consortium District Mangers	<ul style="list-style-type: none"> • Oversight of district quarterly joint-work plans; • Joint M&E and reporting; • Joint Targeting; • Joint and coordinated engagement with Government counterparts and relevant stakeholders; • Monthly reports • Ensure reporting and alignment to DSSC, DESC, DEC through key line Govt. Departments at District level.
---	--	---

1.3 External Engagement

Importantly, the internal programme coordination and management structure will strengthen and coordinate with key external stakeholders at all levels, primarily the Government of Malawi through the following structures.

Programme Steering Committee (PSC):

The Programme Steering Committee (PSC) provides strategic guidance at national level. It ensures the engagement of all relevant actors in the programme, and facilitates communication between the CWW-led Consortium, UN agencies, the donor and host government in relation to implementation of the programme. Advisory in nature, the PSC appraises the joint activities document (project document) and annual work plans, provides strategic direction, reviews implementation progress and evaluation reports and provides steer in alignment with the implementation of national programmes and policies.

The PSC meets bi-annually and is composed of senior management of all UN and CWW-led consortium members and if required may include other members in observer capacities, such as representatives of implementing partners, technical government agencies and others as deemed required. It will be chaired by a senior Government Representative (Ministry of Finance - EP&D), with a rotating co-chair representing the UN and CWW-led Consortium. The National Management Team will convene the committee to strengthen and ensure close coordination with the main Government counterparts of the programme.

Programme Technical Committee (PTC):

The PTC provides technical guidance for the programme, drawing on Government and stakeholder expertise and enables synergies with other related initiatives. It is composed of technical representatives from the UN, CWW-led consortium, government at national and district level, and donor partners.

The PTC structure will collaborate with existing coordination mechanisms, including under the MNSSP, NAIP, National Disaster Preparedness and Relief Committee (NDRPC), the National Steering and Technical Committees on Climate Change (NS/TCCC), and other fora. The PTC is

supported by the National Coordination Committee.

1.3.3 Engagement with District Committees.

The District Coordination Team, convened by a UN District Coordinator and a CWW-led consortium District Manager will work with, strengthen, and coordinate with key district coordination committees, particularly the District Social Support Committee (DSSC) and District Environmental Sub-Committee (DESC).

2. Management structures for the UN consortium:

Joint Coordination Unit (JCU):

- A Joint Coordination Unit (JCU) will be setup to support day-to-day operational and programmatic coordination activities including the following: i) coordination of the joint project partners; ii) compilation of annual work plans and narrative reports; iii) coordination of monitoring and evaluation activities towards achievement of annual targets; iv) facilitate reporting to steering committee, donor and government counterparts; v) assist data analysis and data management in regard of the programme activities; and vi) provide guidelines for partnership with NGOs and other stakeholders.
- The JCU will be involved in day-to-day coordination matters, including at district level, but it will not hold any financial accountability in regard to implementation, which will be held by the Administrative Agent.
- The JCU will be composed of a the Joint UN Resilience Programme Coordinator to be recruited, and supported by personnel in UN agencies to fulfil functions relating to work planning, reporting, communications, operational support, and M&E.
- The JCU will align work plans, joint targeting processes, monitoring and evaluation of project activities, communications and ensure overall coherence across the different components.
- The JCU will lead the development of joint M&E framework in which empirical evidence is collected in a harmonised manner and where cross-cutting issues are considered by all implementers and partners. For cost efficiency, the JCU will foster the use of common resources, facilities and partnerships with external service providers when feasible.
- Each UN agency participating in the project will be accountable following the operational guidance of the JCU, particularly in planning the annual work plans established for implementation and will be programmatically and financially accountable for the activities they implement.

Convening Agency (CA — WFP⁵):

- Accountable to RC for coordination, impact and coherence among PUNOs, including at district level;

⁵ **Selection of the Convening Agent (CA):** Selected jointly based on merit in a comparative review by all participating UN organizations. PUNOs in the Joint Programme will select the CA, taking into consideration the following element: i) UN organization with country presence; ii) thematic, functional and geographical area of expertise in the area covered by the programme; iii) convening capacity to interface between Steering Committee and participating UN organizations.

- Responsible for consolidating narrative reporting, through the Joint Coordination Unit, to the RCO and donors;
- Responsible for *operational and programmatic* coordination: coordinates all the PUNOs, coordinates and prepares annual work plans and narrative reports, coordinates monitoring of annual targets, calls and reports on Steering Committee meetings, commissions mid-term and final evaluation, facilitates audits, reports back to the Steering Committee, and other planning of joint processes
- Prepares annual and final consolidated narrative progress reports based on the reports submitted by each participating UN Organisation, and shall provide those consolidated reports to the Administrative Agent for further submission to each donor that has contributed to the Joint Programme, in accordance with the timetable. The narrative reports should describe in a coherent manner what is being done jointly at outcome and output level. The generic annual and final programme narrative progress report template shall be used (<http://mdtf.undp.org/document/download/5390>).
- Coordinates the joint audit conducted either by one Internal Audit Services (IAS) on behalf of all, a group of IASs of participating UN organisations, or an outside audit provider on behalf of all Internal Audit Services (IAS) involved
- Involved in day-to-day coordination, but does not hold any financial or programmatic accountability
- Responsible for development of terms of reference for the Joint Coordination Unit, for endorsement by all PUNOs

Programme implementation Units (PUNOs — FAO, UNDP, UNICEF, WFP):

Name of Organisation	Description of role	Added value they bring
WFP	<ul style="list-style-type: none"> • <u>Convening agency for partner UN organisations, responsible for coordination, facilitating joint planning, partner engagement, implementation and monitoring, evaluation, learning and reporting of the project.</u> This will also include facilitating development of standard operating procedures and other joint implementation tools; • Facilitate asset creation for watershed rehabilitation, livelihood and food and nutrition security restoration for the Hanging In category, as well as access to financial and climate information services - WFP will support the government in bridging the humanitarian-development divide, with a focus on supporting key actors and building associated systems (e.g. SRSP), jointly with UNICEF. 	<ul style="list-style-type: none"> • Global and local experience in resilience-building implementation, planning and coordination working with multiple stakeholders and government; • Specific mandate on food and nutrition security and resilience-building; • Unique position to support key linkages (e.g. SRSP, resilience-humanitarian) through key support to Government in social protection, humanitarian, and resilience activities (e.g. member of the MNSSP Steering Committee, and co-chair of the Food Security Cluster etc.); • Co-financing of the

		interventions.
FAO	<ul style="list-style-type: none"> • Support skills development at community level for food, nutrition and income security and strengthen up the capacity of communities and local institutions in Natural Resource Management activities; • Training of programme participants to improve production, productivity, resulting in improved nutrition and incomes, self-employment through value chain development under FFS approach 	<ul style="list-style-type: none"> • Provision of technical expertise to introduce sustainable and efficient practices in agriculture, livestock, and fisheries; • Expertise on Natural Resources and Integrated Catchment Management; • Technical expertise and capacity to support the improvement of food and nutrition security data analysis as well as agriculture market-oriented data management; • Co-financing of the interventions.
UNDP	<ul style="list-style-type: none"> • Facilitating formulation and implementation of policy and regulatory frameworks related to climate change adaptation and mitigation, disaster risk reduction and early recovery, and private sector and market development; • Capacity building and national systems strengthening; • Programming in environmental protection climate change adaptation • Provision of common financial services for partner UN organisations through MPTF. 	<ul style="list-style-type: none"> - Expertise on systems strengthening, coordination, decentralisation, transparent governance, policy and regulatory reform, resilience and climate change adaptation, disaster risk reduction, private sector and market development; - Serves as systems integrator and support platform across UN - Experience in strengthening national systems which the Joint UN Resilience Programme can build upon; - Broad mandate on sustainable development issues which is key to linking all interventions and consolidating the development gains; - Fund management and programme coordination; - Chair of Development Cooperation Group on Environment, Resilience and Climate Change (DCERCC)
	<ul style="list-style-type: none"> • UNICEF will support the government to strengthen core social protection programmes and systems and develop shock responsive and resilient structures and systems. 	<ul style="list-style-type: none"> • Lead technical assistance to the flagship cash transfer programme (SCTP), leads the Development Partner Group on social protection, and leads support

UNICEF		<p>provided on shock responsive social protection.</p> <ul style="list-style-type: none"> • UNICEF has global and local expertise in social protection, as well as nutrition, WASH, and C4D; • UNICEF is a key member of Nutrition Donors Committee (DoNuts), National Multi-Sector Nutrition Committee, and other key technical working groups (TWGs);
--------	--	---

Resident Coordinator’s Office

The UN Resident Coordinator as main member of the National Management team, will lead advocacy efforts for resilience at the highest level of government. The UN RC will also support the Joint UN Resilience Programme in ensuring linkages between the overall programme and other UNDAF pillar activities. As a strategic entity, the RC will ensure harmonisation and stronger coherence within the UN, beyond consortium members, with the ability to involve additional partners.

FUND MANAGEMENT

The Joint UN Resilience Programme will be joint programme within the SDG Resilience Window of the Malawi SDG Acceleration Fund (previously known as the One Fund). This pool fund is co-chaired between the UN Resident Coordinator and the Government of Malawi and administered by the Multi-Partner Trust Fund (MPTF) Office, hosted by UNDP Headquarters as Administrative Agent (AA) <http://mptf.undp.org>.

At the fund level, the roles of fund administration (Administrative Agent), fund operations (decision making by the Steering Committee and support to the Steering Committee through RC office and Joint Coordination Unit), and programme implementation (PUNOs) are segregated.

Fund Design and Administration (Administrative Agent — MPTF Office at UNDP New York):

- Development of fund governance architecture and performance matrix
- Support to resource mobilisation activities
- Receipt and safe management of donor contributions, including investing and reporting on fund availability
- Disbursement of funds under Steering Committee guidance
- Consolidating the administrative agent and PUNO programming and financial statements and reports
- Oversight of operational and financial fund closure

Fund Operation (Secretariat — Resident Coordinator’s Office)

- Administrative support, through the Joint Coordination Unit, to the Steering Committee, which has overall accountability for fund allocation and achieving results.
- Preparation of resource mobilisation strategy and investment plan.
- Signing the Standard Administrative Agreements with Donors and the Memorandum of Understanding with Participating UN Organisations.
- Appraisal of project proposals and management of public communications under the window.
- Strategic leadership of portfolio performance, recommendations for which will be brought to the Steering Committee for remedial actions.

Programme implementation Units (PUNOs — FAO, UNDP, UNICEF, WFP):

- Each PUNO is accountable for own programmatic and financial results; with organisations jointly responsible for achieving the Joint Programme goal
- Project cycle management (eligibility assessment, formulation, supervision and evaluation)
- Mobilising of project co-financing
- Procurement of services and equipment for project activities
- Financial management for assigned programme component(s), with narrative and certified financial reports annually and at the end for their components of the programme
- Each PUNO is responsible for monitoring its contributions, while the Convening Agency oversees and coordinates to ensure all targets are monitored.
- A Joint Monitoring Plan will include roles and responsibilities for monitoring, timing and methodology
- Monitoring throughout the year; culminating in the joint annual review of joint work plan
- Application of environmental and social safeguards
- Results based and knowledge management

ASSUMPTIONS AND RISK MANAGEMENT

Key assumptions are summarised in the logframe

Risk management will be integrated into annual performance planning and reviews of the Joint UN Resilience Programme defining the risks and mitigation actions required to achieve planned results at the beginning of the year followed by mid- and end-of-year risk and mitigation action reviews. A detailed risk management plan will be implemented, including contingency plans for the most significant risks to be activated should need arise. Several key risks are laid out below.

Political risks – medium:

The Joint UN Resilience Programme assumes that Malawi will continue with a relative stable political and macro-economic situation during the implementation period of implementation. The upcoming presidential tripartite elections during the first half of 2019 pose a contextual risk in regard of community engagement and instrumentalisation of the project for political purposes. For this reason, it is of utmost relevance to ensure that among the inception activities of the

project, the Joint UN Resilience Programme provide thorough information about the nature of the interventions, its main objectives and its neutrality.

Agricultural production/livelihoods in Malawi are directly affected by the policy and regulatory environment. Linkages to world markets are also important, with the Government under pressure to introduce export taxes or bans. These uncertainties affect farmers' willingness to diversify crops and negatively affect efforts to increase household income streams. The Joint UN Resilience Programme will identify any issues and work with DFID and IrishAid, and other stakeholders to address and build evidence for regulatory reform.

Institutional risks – medium

Limited capacity of cooperating partners in project implementation, monitoring and reporting is also plausible. Risk assessments, regular coaching, mentoring and capacity building of all service providers and partners on contractual obligations, and SOPs intends to mitigate this risk.

Environmental risks – medium:

Another risk is the recurrence of major natural disasters in the areas targeted for its implementation, many of which are widely affected by droughts and floods which are increasing in intensity, frequency and unpredictability. In the case of a major weather shock, members in the programme will use the shock-responsive tools planned in the project to mitigate the potential setbacks and mobilise further humanitarian funding to protect the gains obtained by the Joint UN Resilience Programme.

The Joint UN Resilience Programme will support diversification of the agricultural production in the targeted locations, including the establishment of tree nurseries and the use of labour saving food processing technologies. This support is expected to trickle down to the household level. As a result of food production diversification using good agricultural practices and of use of labour saving food processing technologies such as energy-saving stoves, households will become more resilient to climate hazards and will not contribute to further environmental degradation. The project will foster responsible action for improved natural resources governance and management.

Social risks – low to medium:

The Joint UN Resilience Programme interventions intend to be built upon a comprehensive identification and mapping of the communities and their collective structures with a view to support asset creation, foster sustainable management of natural resources, creating trust among community inhabitants and provide tools that create better opportunities to strengthen up household livelihoods and community collective action, to fulfil the need of all community members (especially vulnerable groups as children below 5 years, adolescent girls, pregnant and lactating women, population with disabilities, etc).

Women access to leadership roles and therefore to training is another social risk. Therefore, women empowerment in terms of decision making within the household is another key factor of success of the programme. The deliberate inclusion of gender empowerment tools into the implementation of the project, as well as the setting up of village savings and loans for women access to finance, will be key measures that will address this risk.

Safeguarding - medium

All consortium members are extremely committed and vigilant to the prevention, identification and redress of any potential safeguarding incidents. To mitigate and ensure against possible safeguarding breaches all partners will be assessed against DFID's enhanced safeguarding standard (2018), followed by an internal evaluation and development of action plans. The programme will also ensure a robust CFRM.

Inflation/ Exchange Rate risks – medium

Malawi has a challenging financial environment for programme implementation with competing global donor priorities and insufficient generation of evidence and dissemination of results. To mitigate this risk, the Joint UN Resilience Programme is adjusting its resource mobilisation strategy and increasing evidence generation and visibility on programme successes through enhanced knowledge management and regular reporting.

Official inflation is reported to be 8.6% in June 2018 (NSO) with a projection from www.statista.com of 10.38% for 2018. These are relatively low levels for Malawi, but with an election in May 2019, inflation is likely to pick-up, as government spends to attract voters. High inflation in Malawi relative to the UK's 2.5% (and declining), combined with a fixed or highly managed exchange rate, will rapidly erode the value of GBP funds converted into MWK. In such a scenario, this will be discussed with DFID and IrishAid.

The GBP is expected to fluctuate and potentially devalue due to planned withdrawal of the UK from the EU. In Malawi, government policy pegs the value of MWK to USD, making MWK artificially strong. A weak pound and the MWK being pegged to the USD, means GBP budgets become stretched, as Malawi's inflation is much higher than in UK. Any significant currency adjustments will be discussed with DFID and IrishAid, as noted during discussions with DFID during proposal development and the DFID Accountable Grant Agreement.

Security - low

In addition, the Consortium will closely monitor the security situation, particularly around the upcoming national elections, and develop contingency plans in case issues arise. Several target districts were affected by 'bloodsucker' incidents in 2017, if similar incidents reoccur, staff travel will be restricted, and delays in programme implementation may result. The consortium would work to mitigate any impacts in consultation with DFID and IrishAid as necessary.

Among other assumptions and risks associated with the implementation of the programme, are the following:

Assumptions	Risk	Level of Risk
Sound and regular sector dialogue between Government, and DPs towards a joint effort to move from an annual humanitarian response to a multi annual national resilience	Increasing impacts of climate change and fast-growing population, may undermine the planned interventions.	Probability: Medium Impact: Medium/Low

building programme.		
Continuous engagement and sensitisation of senior members, and relevant coordination instances at District level, area and village levels during project implementation.	Lack of commitment from District councils and relevant committees at District Level	Probability: Medium Impact: Medium/High
Macro-economic situation of the country will be stable and the occurrence of nation-wide natural disasters will not impact key economy performance indicator	High inflation caused by devaluation of the national currency, rising food prices, cyclical periods of drought and rising commodity prices. Price increase of locally procured items and operational costs.	Probability: High Impact: High
Community members will avail time to undertake the activities related with the project in a voluntary basis	Communities do not respond to calls to form groups, and/or the group leaders selected are not motivated to carry out their duties without pay. (Sustainability risk)	Probability: Low to Medium (depending on community culture) Impact: High

PROJECT STAFF

The following staff will be actively engaged in programme management, implementation, and support. Programme resources will be used to fully support (100%) the full-time international project coordinator and four UN district-based project coordinators. The three UN agencies will make varying contributions to the programme. **Table 2** presents details of staff to be involved and agency and programme contributions.

Table 2: Project staff and their time contribution to the project

SN	Position	Level	Level Of Effort (LOE)	Of	Billed to Project
UN PROGRAMME STAFF					
1	Programme Coordinator	P4	100%		YES
2	M&E Officer	SB4	30%		YES
3	Reporting Officer	SB4	30%		YES
4	District Coordinator	SB4	100%		YES
5	District Coordinator	SB4	100%		YES
6	District Coordinator	SB4	100%		YES
7	District Coordinator	SB4	100%		YES

WFP STAFF				
1	Nutritionist (Outcome Manager)	P3	20%	NO
2	Nutritionist	NOC	100%	YES
3	CMAM nutrition officer -Blantyre	NOA	100%	YES
4	Programme Assistants	SC6	100%	NO
5	Field monitor	SC5	100%	NO
6	Driver	SC3	100%	NO
7	Food for Assets (FFA) Programme Policy Officer (PPO)	NOB	50%	Yes
8	R4 PPO	NOB	50%	YES
9	Resilience PPO	NOC	40%	NO
10	Forecast-Based Financing PPO	P2	10%	YES
11	Cash-based transfer PPO	NOB	20%	NO
12	FFA PPO- BT	P3	50%	NO
13	FFA PPO- BT	P3	50%	NO
14	Resilience PPO - BT	NOA	50%	NO
15	Resilience PPO - BT	NOB	50%	Yes
16	Field monitor	SC5	30%	NO
17	Field monitor	SC5	30%	No
18	Field monitor	SC5	10%	No
19	Field monitor	SC5	10%	No
20	Driver	G1	30%	No
21	Driver	G1	30%	No
22	Driver	G1	30%	No
23	Driver	G1	30%	No
24	M&E	NOB	10%	No
25	Reports	NOB	10%	No
26	Social Protection PPO	P2	40%	Yes
27	Social Protection PPO	NOB	50%	Yes
UNDP STAFF				
1	UNDP Portfolio Manager	P4	6%	Yes
2	UNDP Programme Specialist (Resilience)	NOC	20%	Yes
3	UNDP Programme Analyst (DRM)	NOB	30%	Yes
4				

7	UNDP Procurement Officer	G7	15%	Yes
8	UNDP Programme Associate	G7	10%	Yes
FAO STAFF				
1	International Programme Officer	P4	5%	YES
2	International M&E Officer	P3	5%	YES
3	FAO National Nutrition Officer	SB4	25%	YES
4	FAO National Food Security Officer	SB4	25%	YES
5	FAO FFS Field Monitor Phalombe	SB4	70%	YES
6	FAO FFS Field Monitor - to be defined	SB4	50%	YES
7	National Operations Associate	SB3	15%	YES
UNICEF STAFF				
1	UNICEF social protection specialist	P3	50% for 3 years	YES
2	UNICEF emergency social protection officer	NoB	100% for 3 years	YES

PROGRAMME BUDGET

The consolidated available the Joint UN Resilience Programme budget is 37.1 million Pounds equivalent to 46,970,448US\$ based on an exchange rate of 1 USD to 0.783 GBP. This breakdown per implementing agency does not include the £14.1 million crisis modifier, which will remain as a standing amount without agency allocation or time constraint, to be agreed jointly by DFID and the BRACC steering committee.

See **Annex 2** for an aggregated summarized outcome-based budget.

UK POUND STERLING				
Category	WFP	UNDP	FAO	UNICEF
Staff & Personnel Cost	£ 2,044,913.47	£ 405,771.04	£ 1,105,800.00	£ 380,860.00
Supplies, Commodities, Materials	£ 134,155.40	£ 899,250.00	£ 2,898,620.06	£ 0
Equipment, Vehicles, Furniture, Depreciation	£ 0	£ 78,128.00	£ 619,290.00	£ 0
Contractual Services	£ 1,611,991.00	£ 94,5671.00	£ 226,308.00	£ 401,432.00

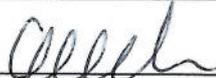
Travel	£ 49,800.00	£ 109,000.00	£ 199,800.00	£ 18,400.00
Transfers and Grants	£ 6,642,460.44	£ 46,000.00	£ 1,142,000.00	£ 225,636.00
General Operating and Other Direct Costs**	£ 0	£ 159,600.00	£ 466,280.00	£ 42,764.00
Programme Costs Total	£ 201,300.00	£ 265,500.00	£ 6,658,170.06	£ 1,069,092
Indirect Support Costs Total*	£ 747,923.42	£ 200,943.40	£ 466,071.90	£ 74,836.00
Total	£ 11,432,543.74	£ 3,071,563.44	£ 7,195,484.38	£ 1,143,928.00

* Not including the 1% to MPTF.

** As it was difficult to include evaluation, technical backstopping and corporate M&E in any of the categories provided, we have changed the heading of the category 'General Operating Cost' to "Operating and other Direct Costs". FAO has already done this for the MPTF funded by the EU in Yemen for Resilience building activities in the rural sector.

All assets (including vehicles, motorbikes, laptops and tablets) purchased under this arrangement will be owned by the respective UN Agency, and disposed of in agreement with DFID at the end of the programme.

PUNO SIGNATURES

I confirm that all information included in the Programme Document is correct.		
Agency 1	Organisation Name	WFP
	Signed by (name and job title):	Benoît THIERY Representative.
	Date:	12.12.2018
	Signature	
Agency 2	Organisation Name	UNDP
	Signed by (name and job title):	 Claire
	Date:	13.12.18.
	Signature	CLAIRE MEDINA REPRESENTATIVE AI. 
Agency 3	Organisation Name	FAO
	Signed by (name and job title):	OKOTH, JAMES D REPRESENTATIVE A.I.
	Date:	09/01/2019
	Signature	
Agency 4	Organisation Name	UNICEF
	Signed by (name and job title):	Johannes Welanip Representative
	Date:	12.12.2018
	Signature	

LIST OF APPENDICES

Annex I: Theory of Change

THEORY OF CHANGE
Building Resilience and Adaptation to Climate Change in Malawi (BRACC)

IMPACT	A reduction in extreme poverty and an end to the recurrent cycle of hunger and humanitarian assistance in Malawi
---------------	--

OUTCOME	Strengthened resilience of the targeted poor and vulnerable households to withstand current and future weather and climate related shocks and stresses
----------------	--

OUTPUT	<p>Output 1: Intensified and diversified agricultural production and improved nutrition for targeted vulnerable communities.</p> <p>Output 2: Enhanced and inclusive access to the productive resources necessary to develop increased, secure and predictable incomes.</p> <p>Output 3: Reduced vulnerability and exposure of households and communities to risk in targeted areas.</p> <p>Output 4: Increased capacity of national, sub-national and non-state actors to plan, coordinate and monitor resilience programming, including shock-responsive social protection.</p>
---------------	---

INTERVENTIONS	Intervention 1.1: Improved adoption of nutrition practices.	Intervention 2.1: Increased and improved application of agricultural processing and handling among small holder farmers.	Intervention 3.1: Improved natural resource management through asset creation and protection linked to food security.	Intervention 4.1: Successful change management through increased capacity of national, district, and community institutions.
			Intervention 3.2: Improved natural resource management through asset creation and protection linked to sustainable natural resources based livelihoods.	Intervention 4.2: Improved systems for resilience among government stakeholders.
	Intervention 1.2: Increased agricultural production, adoption of Climate Smart Agriculture, and inclusive access to quality agricultural inputs.	Intervention 2.3: Increased and inclusive access to financial services and increased entrepreneurship and business skills.	Intervention 3.3: Increased access to insurance products for small holder farmers and private sector entities engaging with small holder farmers.	
			Intervention 3.4: Improved community access to effective climate information services and community based risk mitigation.	
	Intervention 2.3: Strengthened and more inclusive market systems and linkages between private sector and small holder farmers.	Intervention 3.5: Provision of Lean Season Top Ups to vulnerable households.		

CROSS CUTTING	Robust monitoring and evaluation.	Inclusive community engagement and mobilisation.
----------------------	-----------------------------------	--

Annex II: The Joint UN Resilience Programme Summary Budget

SECTION 8: PROJECT BUDGET AND VALUE FOR MONEY

UN Consortium budget

Type	Description	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Total
8.1	In this section please set out the financial support you wish to receive through and any additional investment your organisation or others will/may make alongside this support, and a breakdown of expenditure all in GBP. The separate budget template should be attached.						
	Intensified and diversified agricultural production and improved nutrition for targeted vulnerable communities.	£ 1,383,155	£ 2,284,380	£ 1,672,535	£ 612,330	£ 128,035	£ 6,080,434
	Enhanced and inclusive access to the productive resources necessary to develop increased, secure and predictable incomes.	£ -	£ -	£ -	£ -	£ -	£ -
	Reduced vulnerability and exposure of households and communities to risk.	£ 920,286	£ 7,686,098	£ 5,853,116	£ 5,807,566	£ 3,359,570	£ 23,626,636
	Increased capacity of national, sub-national and non-state actors to plan, coordinate and monitor resilience programming, including shock-responsive social protection.	£ 567,292	£ 965,779	£ 872,179	£ 719,572	£ 123,699	£ 3,248,522
	Cross Cutting	£ -	£ 343,503	£ 343,503	£ 343,503	£ 343,503	£ 1,374,010
	Subtotal	£ 2,870,733	£ 11,279,760	£ 8,741,332	£ 7,482,970	£ 3,954,806	£ 34,329,602
	ICR - 7%	£ 200,951	£ 789,583	£ 611,893	£ 523,808	£ 276,836	£ 2,403,072
	MPTF 1%	£ 30,717	£ 120,693	£ 93,532	£ 80,068	£ 42,316	£ 367,327
	Total	£ 3,102,401	£ 12,190,037	£ 9,446,758	£ 8,086,846	£ 4,273,959	£ 37,100,000
	Staff	£ 184,993	£ 1,095,945	£ 1,095,945	£ 907,395	£ 378,799	£ 3,663,078
	Materials, goods & services	£ 2,668,740	£ 3,601,590	£ 2,352,895	£ 1,382,483	£ 304,232	£ 10,309,941
	Capacity Building	£ 17,000	£ 274,400	£ 260,000	£ 160,600	£ 10,000	£ 722,001
	Transfers	£ -	£ 6,307,824	£ 5,032,491	£ 5,032,491	£ 3,261,775	£ 19,634,582
	Subtotal	£ 2,870,733	£ 11,279,760	£ 8,741,332	£ 7,482,970	£ 3,954,806	£ 34,329,602
	ICR - 7%	£ 200,951	£ 789,583	£ 611,893	£ 523,808	£ 276,836	£ 2,403,072
	MPTF 1%	£ 30,717	£ 120,693	£ 93,532	£ 80,068	£ 42,316	£ 367,327
	Total	£ 3,102,401	£ 12,190,037	£ 9,446,758	£ 8,086,846	£ 4,273,959	£ 37,100,000
	District 1 – Balaka	£ 717,418	£ 2,170,953	£ 1,814,537	£ 1,427,930	£ 172,912	£ 6,303,749
	District 2 - Chikwawa	£ 717,418	£ 1,893,951	£ 899,869	£ 513,262	£ 157,204	£ 4,181,705
	District 3 - Mangochi	£ 551,303	£ 1,563,102	£ 643,854	£ 414,083	£ 136,020	£ 3,308,363
	District 4 - Phalombe	£ 610,303	£ 1,880,663	£ 1,599,081	£ 1,366,910	£ 198,554	£ 5,655,511

By UN agency	Yr1	Yr2	Yr3	Yr4	Yr5	Total	£	0	£	0	Total
FAO	£ 1,390,100	£ 2,472,440	£ 1,860,595	£ 1,860,595	£ 771,740	£ 163,295	£ 6,658,170	£ 7,124,242	£ 7,195,484	£ 37,100,000	
UNDP	£ 1,233,480	£ 957,137	£ 327,287	£ 327,287	£ 252,580	£ 100,137	£ 2,870,620	£ 3,071,563	£ 3,102,279		
UNICEF	£ 94,076	£ 376,369	£ 345,369	£ 345,369	£ 237,569	£ 15,708	£ 1,069,092	£ 1,143,928	£ 1,155,368		
WFP	£ 153,076	£ 4,212,039	£ 2,946,307	£ 2,946,307	£ 2,959,307	£ 413,891	£ 10,684,620	£ 11,432,544	£ 11,546,869		
Crisis							£ 13,047,099	£ 13,960,396	£ 14,100,000		

Available budget

UK	37,100,000
USD equiv.	46,970,448US\$
Exchange rate	1 USD = 0,783 GBP
Budget deficit/overage	(0.00)

Annex III: BRACC Logical Framework

ANNEX IV: Independent MEAL and Governance for BRACC Programme in Malawi

Evidence, knowledge and policy influence

The BRACC programme will place a strong emphasis on monitoring and learning to generate robust evidence on what works, to inform programme implementation. As such, the programme includes independent monitoring and evaluation component. The aim of this component is as follows:

- Improve knowledge and understanding of poverty, vulnerability and climate risk for all stakeholders in Malawi; including the creating of a national platform for research and learning
- Provide advice, evidence and innovation that drives adaptive implementation of the broader programme- particularly the component on climate resilient livelihoods.
- Deliver timely evaluation(s) to generate lessons.

DFID have recently awarded IFPRI a 1 year Accountable Grant to undertake research activities under two focal themes: (i) Social Safety Nets and Breaking the Cycle; and (ii) Strengthening Agricultural Markets and Institutions; and support on programme monitoring and evaluation on an Interim Basis. A key part of IFPRI's work will be to design the impact evaluation and conduct baseline surveys.

The Long-term Knowledge and Policy Manager is expected to take over from the work undertaken by an interim KPM (IFPRI).

Purpose of the Knowledge and Policy Management support

1. The primary purpose of the Knowledge and Policy Management support is to generate information and knowledge to support DFID and other stakeholders in the country to understand poverty and vulnerability dynamic that undermine resilience building for the poor. The KPM agent will undertake portfolio monitoring, evaluation, research analysis and learning jointly with programme partners.

Scope and objectives

2. Continuing from the Interim KPM provider (IFPRI), the long term Knowledge and Policy Manager (KPM) will undertake and deliver the following activities:

- Support implementing partners with programme Monitoring, Reporting and Evaluations (process, mid and end term evaluations) of all programme components.
- Develop and tracking a series of VFM indicators to measure performance of delivery partners. These will include for example unit costs data for key output deliverables and selected input costs. Reporting supplier/implementing partner performance to DFID at designated meetings.
- Capacity building support to implementing partners on broader programme monitoring, VFM metrics, maintenance and use of management information systems.

- Coordinate and organise programme reviews and evaluations
- Generate and share lessons on resilience building in Malawi e.g. through learning events, targeted publications and media productions.
- Commission high quality complementary research/analysis to fill gaps identified and to build global evidence and knowledge.
- Well-targeted policy advocacy based on thorough political economy assessment and evidence from research and programme learning.
- Provide Technical Assistance to support coordination and the development of implementable policy and institutional structures (e.g. high level technical advisers embedded into relevant ministries/districts, technical support to government for implementation and monitoring of the National Resilience Strategy; or support to establish national coordination structures and platforms).

BRACC Governance structure

To guarantee transparency, accountability and efficiency of the BRACC programme, DFID has agreed with UN and NGO consortia that a governance structure will be set up.

The KPM provider will be part of the National Management Team, reporting to DFID on programme performance and informing programme decisions and strategic direction.

References

-
- ⁱ United Nations, 2018. Development Assistance Framework (UNDAF) for Malawi
- ⁱⁱ GermanWatch, 2017. Global Climate Risk Index
- ⁱⁱⁱ UNICEF, 2017. The Situation of Women and Children in Malawi
- ^{iv} <http://www.inform-index.org/Countries/Country-profiles/iso3/MWI6>
- ^v World Bank, 2018. Hard Hit by El Niño: Experiences, Responses and Options for Malawi
- ^{vi} GoM, UNDP, EU, World Bank. 2016. "Malawi 2015/2016 Drought Post Disaster Needs Assessment Report"
- ^{vii} From Falling Behind to Catching Up: Country Economic Memorandum for Malawi, World Bank, 2017.
- ^{viii} Danish Trade Union Council for International Development Cooperation, Malawi – Labour Market Profile, 2014, www.ulandssektretariatet.dk/site/default/files/uploads/public/PDF/LMP/Imp-malawi-2014-final-version-pdf.
- ^{ix} Stockholm Environment Institute, "Energy Biomass Access and Biomass Resource Transitions in Malawi", 2013
- ^x University of Leeds, London School of Economics, Grantham Research Institute on Climate Change and the Environment, 2016. "Gender, Agriculture and Climate Change in Malawi"
- ^{xi} World Bank, *op. cit.*
- ^{xii} World Bank, 2018. Hard Hit by El Niño: Experiences, Responses and Options for Malawi, World Bank, 2018.
- ^{xiii} World Bank, 2017. "Malawi Multi-Sector Investment Framework for Climate and Disaster Risk Management." Diagnostic Report. World Bank.
- ^{xiv} <http://www.fao.org/docrep/019/i3512e/i3512e.pdf>
- ^{xv} FAO, 2014. Second International Conference on Nutrition.
- ^{xvi} Government of Malawi, 2016. National Climate Change Investment Plan
- ^{xvii} ODI, 2017. Towards a Shock Sensitive Social Protection System for Malawi
- ^{xviii} UNICEF, 2018. Operational Trial of the Vertical Expansion of the SCTP and Return on Investment Model in Malawi
- ^{xix} UNICEF, 2018. Operational Trial of the Vertical Expansion of the SCTP and Return on Investment Model in Malawi
- ^{xx} ODI, 2017. Towards a Shock Sensitive Social Protection System for Malawi
- ^{xxi} Government of Malawi, 2017. Malawi Growth and Development Strategy (2017-2023)
-
- ^{xxii} Government of Malawi, 2018. National Resilience Strategy
- ^{xxiii} Government of Malawi, 2017. Malawi National Agriculture Investment Plan
- ^{xxiv} Government of Malawi, 2018. Malawi National Social Support Programme II
-
- ^{xxv} Government of Malawi, 2012. National Climate Change Policy

^{xxvi} Government of Malawi, ODI, Irish Aid, ILO, June 2018. Strengthening Institutional Coordination of Social Protection in Malawi: An Analysis of Coordination Structures and Options

^{xxvii} ODI, May 2014. Guidance Note for DFID: Exploiting the Synergies between Social Protection and Economic Development.

^{xxviii} Maria Onestini, December 2017. Mid-term Review of Implementing Urgent Climate Adaptation Priorities through Strengthen Decentralised and National Development Plans (Adapt Plan) in Malawi

^{xxix} World Bank, 2017. From Falling Behind to Catching Up, Country Economic Memorandum for Malawi, World Bank.