

# ANNUAL REPORT 2009

## DELIVERING AS ONE IN MALAWI



## MOVING ON

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## EXECUTIVE SUMMARY

The UN Country Team (UNCT) in Malawi is pleased to share this report that takes stock of progress in the implementation of the Delivering as One in Malawi in 2009. The report summarizes progress and results in both programme and the reform process in 2009. The narrative One Plan annual report is annexed to this document while the financial Administrative Agent report of the One UN Fund will be available in March/April 2010. We expect that the report will contribute to save time and reduce transaction cost for our national and international partners and donors contributing to the One UN Fund and Transformation Fund.

The second year of implementing the current UNDAF (2008-2011) brought major achievements. These accomplishments were supported by the Government leadership, a committed UNCT, and a supportive donor community. Enhanced ownership by the Government was translated into the co-chairmanship of the Joint Strategy Meeting, the close involvement in key decisions concerning the UNDAF/One Plan alignment with national strategies and the funding allocation from the One UN Fund.

The Delivering as One concept has been gradually internalized through increased collaboration and new business practices among UN agencies. There is marked shift from an agency-based focus to an issue focus in the common advocacy area. Key policy areas such as maternal mortality, HIV prevention have yielded results that individual agencies would not have been able to achieve alone.

Predictable funding to the One Plan has been increased in 2009 with the allocation of USD 18.51 million from the Expanded Window Fund. The additional fund is valuable as it is clearly a sign of global recognition of the progress made in Delivering as One in Malawi. But more importantly the fund enables the Government and the UN to upscale and prioritize interventions for development results as set out in the UNDAF/One Plan.

In 2009 the UN Country Team devoted considerable time to laying the foundations for a new way of working. By the end of the year, essential systems and mechanisms to support the Delivering as One such as the One Plan, One UN Fund, Resource Mobilization Strategy, Humanitarian Reform, Aid Effectiveness, Capacity Development and Common Services have been established. Having laid the ground work to Deliver as One, the UN were able to devote full attention to implementation of the One Plan in 2010 and intensify the reform efforts in other transformation areas which ultimately will contribute to the achievements of development results.

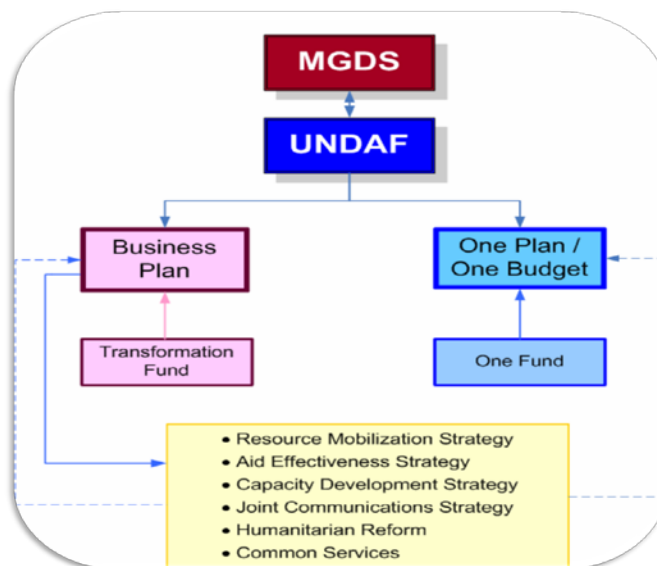
2009 also proved to be the year in which new initiatives were needed in order to guide the change and transformation process. Through an external stakeholder and staff perception survey the UN determined what external partners as well as staff think of the UN and Delivering as One. The findings highlight the very rationale for reform in Malawi: the UN needs to improve coherence, effectiveness and efficiency. Subsequent communication strategies will be designed in 2010 to tailor different needs as expressed by external stakeholders and UN staff.

A key success factor in delivering UN reform in Malawi is the role of the development partners. In both years 2008 and 2009, there was higher interest and engagement

from the transformation donor group. Throughout the past two years the development partners have partnered with the UN and Government in the UN reform process, supporting the achievement of the reform objectives both politically and financially.

## UN MALAWI STRATEGIC FRAMEWORK

Within the context of the Paris Declaration on Aid Effectiveness, a Strategic Framework is established and aims to better align with national development strategies and national systems, further reduce transaction costs associated with delivering ODA, focus more on managing for development results and establish systems of mutual accountability.



The Strategic Framework includes two interrelated and interdependent pillars of the UN work in Malawi. While the One Plan/One Budget will help the UN Country Team better implement and monitor the UNDAF, the Business Plan articulates all UNCT transformation activities in one holistic plan covering a time period of two years (2008-2009). It is planned that the Business Plan II for 2010-2011 (the remaining time of the current UNDAF cycle) will be finalized in early 2010.

## UNDAF/ONE PLAN DEVELOPMENT RESULTS IN 2008/2009

The first two years of UNDAF implementation (2008/2009) continue to see UN support at the macro and micro levels leading to varied progress and results in each of the five UNDAF outcomes.

The Government of Malawi identified agriculture as the key to poverty alleviation and the development of the country. In the area of **Agriculture and Food Security**, at the policy level, FAO in cooperation with UNICEF, WFP and WHO, supported the development of the National Nutrition Policy. In the context of the national effort to establish an Agriculture Sector Wide Approach, UN Agencies continued to engage, ensuring that the new initiatives also incorporated food and nutrition security elements. This contributed to improved food security at household level, and is expected to have a significant impact on the number of ultra poor living below the poverty line.

Special attention was given to the interests of vulnerable groups in agriculture, i.e. women, youth and people with disabilities. School gardens and the Junior Farmer Field and Life Skills initiative (with participation FAO, UNICEF, WFP, UNESCO and ILO) proved to be particularly successful, achieving their full target (41 sites in 6 districts). 789 girls

and boys engaged in hazardous farm work were re-integrated in various school and education-related activities. This exceeded the target of 750 children withdrawn from child labor. WFP and FAO demonstrated the spirit of delivering as one through collaboration on fruit tree promotion targeting Machinga and Balaka districts in 2009. Approximately 5,300 high yielding grafted/hybrid fruit trees were planted in the two districts between March and June 2009 through food for asset activity.

In the area of **Social Protection** and **Disaster Risk Reduction**, the UN continues to play a leading role in advocacy, key technical advice, capacity development, M&E, maintenance and expansion of Information Management Systems and leveraging of resources in favor of social protection for Malawi. UNICEF facilitated the secondment of two senior advisors by the EU to the Ministries of Economic Planning and Development and the Ministry of Women and Child Development to help government

**Karonga** - the occurrence of a series of earthquakes (of up to 6.0 magnitudes) that hit the northern district of Karonga during the month of December 2009 displaced over 30,000 people due to damage to housing and property.

Over Christmas, staff from WFP, FAO, UNICEF and UNFPA undertook a detailed assessment mission. The data and information obtained provided the foundation for a coordinated response involving UN Agencies, Civil Society and Government of Malawi.

accelerate the design of the national social protection programme. Efforts undertaken by UNICEF and WFP resulted in the EU's commitment of 20 million Euros for the Social Cash Transfer Scheme for ultra poor and labor constrained households and 25 Million Euros for Social Protection programmes in support of labour endowed ultra poor households. The UN (through WFP's cash transfer pilot ended June 2009 and UNICEF's ongoing support to Government of Malawi social cash transfer) has supported investments in livelihoods among

targeted beneficiary families through cash transfers during the year.

A number of steps have been taken towards the development of policy governing Disaster Risk Reduction (DRR). Operational Guidelines for responding to disasters and a DRR Framework are being developed with support from UNDP, WHO, WFP, FAO, UNICEF, UNHCR and UNHABITAT. As floods are an annual occurrence in Malawi, a Flood Risk Management Strategy has been drafted, following the completion of a capacity needs assessment. The strategy is expected to be finalized soon and will be complemented by Flood Preparedness Plans so far developed for 8 of the 14 flood-prone districts. In the area of Climate Change, to augment national capacity, the UN has been providing training to the Department of Disaster Management Affairs, District Assemblies, and District Commissioners in better cross-sector collaboration and more inclusive planning.

In the area of **Social Services**, the UN continued to work towards improving collaboration and 'delivering as one' while striving to align major initiatives with national planning processes. WHO plays a pivotal leadership role in co-chairing the Health Sector Working Group and technical support has been jointly provided to the Ministry of Health, in its efforts to deliver the essential health package through the Health SWAp. In 2009, the partnership between various agencies on maternal, newborn and child health as well as the associated catalytic initiative, worked well

towards common goals. Given the need to focus and intensify efforts, maternal health and newborn care have been areas of common interest to three UN agencies (WHO, UNFPA and UNICEF).

UNICEF, UNFPA and UNESCO have successfully provided leadership, resources and technical support to Life Skills education as a key learning area within the new Primary Curriculum Assessment and Reform. So far 100 per cent of learners in public primary schools enjoy at least one hour of life skills lessons each week. To improve education enrolment, attendance, completion and achievement rates, the

Child Friendly School framework was adopted as the practical vision/definition of quality education, and has since been incorporated in national documents. WFP's school meals programme continues to support targeted vulnerable schools across

One key priority for the UN is to make significant strides on MDG5 (maternal mortality) as progress has been slow on all accounts. In 2009, a significant push has been given to raising the profile of maternal mortality and engaging high level political support. The nomination of the Malawi Vice President Banda as the Goodwill Ambassador for Safe Motherhood is a notable achievement.

UNAIDS has been successfully leading the UN support to the development and finalization of the national HIV prevention strategy. The acceleration of HIV prevention embodied in the National Prevention Strategy launched by the President Mutharika on World AIDS Day 2009 is one more critical element on Malawi's road to Universal Access.

the country to improve access to education, particularly of girls and orphans. A partnership between WFP and ILO ensures that children at risk of entering into child labor receive additional food support to allow them to stay in school.

The 2009 MDG report highlights good progress on infant and under-five mortality reduction however progress toward maternal mortality reduction has been slow. A Development Partners Group on Nutrition, co-chaired by UNICEF was formed to support implementation of the Nutrition Policy and assist with resource mobilization

and donor coordination. World Breastfeeding Week campaigns were carried out in all 28 districts in Malawi, complemented by national panel discussions on infant and young child feeding aired on radio in the local language Chichewa.

The national response to **HIV and AIDS** in Malawi continues to be scaled up, placing the national goal of universal access to HIV prevention, treatment, care and support services within reach. UN leadership and oversight throughout the process of developing the prevention strategy has been critical and continues to be drawn on. The UN continued to provide programmatic and technical support to Government, NGOs, the private sector and civil society to manage and effectively respond to HIV and AIDS issues.

Strategic and critical interventions were directed at supporting the scale up and uptake of HTC services, Life Skills education and Prevention of Mother-to-Child Transmission services, as well as supporting interventions for Most-At-Risk-Populations. The UN also worked towards improving equitable access to and uptake of AIDS treatment, care and support services. While the main focus has been on supporting national response activities related to the provision of equitable access to



HIV care services, there continues to be a deliberate effort to strengthen access to comprehensive community and home-based care.

With respect to **good governance**, a notable achievement in 2009 was the successful delivery of the Presidential and Parliamentary Elections. UNDP and UNFPA support were instrumental to strength capacity for the Malawi Electoral Commission (MEC). Managed by UNDP, a Trust Fund amounting to about US\$ 21 million allowed the MEC to register about 94% of all the eligible voters and achieved a voter turnout during the polling day of about 74%. This resulted in a free and credible election applauded by both international observers and national monitors.

During the election, the UN, under the leadership of UNFPA and UNDP, supported Ministry of Gender to undertake a 50/50 campaign to increase the number of women taking part in political processes. The immediate results of the initiative have been the increase of women in Parliament, *from 14 to 22 percent*.

2009 also saw the improved coordination of the justice sector supported by UNDP and UNICEF. Through collaboration among justice stakeholders, the institutionalization process of the Justice Sub-Sector has been singled out as a model of which experience will be used to institutionalize other Sector Working Groups. Through the Capacity Development for Public Sector Management Program supported by UNDP in cooperation with UNAIDS, Government embarked on a review of the outdated Malawi Public Service Regulations. Joint UN efforts led by UNFPA in collaboration with UNAIDS, UNICEF, FAO, UNDP, UNIFEM and UNESCO have gone into providing capacity support to the Ministry of Gender, Children and Community Development to increase the level of gender mainstreaming in budgeting and expenditure tracking processes. The UN has further supported a number of initiatives by Government and civil society organizations on gender-based violence.

2009 was the year of the midterm review (MTR) of Malawi's UNDAF 2008 – 2011. The MTR provided the UN agencies (both resident and non-resident) with an opportunity to collectively assess our performance in “delivering as one”. Key findings emerging from the MTR suggested that in a number of UNDAF areas, the UN delivered support through small projects implemented across a number of sites and targeting a small number of beneficiaries. Moving forward, a key challenge will be for the UN to consolidate further, and identify fewer, higher impact programs through which to deliver support.

## TRANSFORMATION ACTIVITIES: DELIVERING COMMITMENTS

On being invited to the Inter-governmental Conference on Delivering as One Meeting in Kigali, Rwanda last October 2009, Malawi presented its significant progress towards Delivering as One since the launch of UN Reform in 2007.

### ENHANCED GOVERNMENT OWNERSHIP AND LEADERSHIP

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The Government assigns importance to and actively works on the implementation of the Paris and Accra agendas. The Government sees the Delivering as One effort

contributing to this progress and demonstrated increased ownership of the UN work in 2009. As co-chair of the Joint Strategy Meeting, the Government is more engaged in high level discussion around the findings of the UNDAF Mid-term review, the fund allocation from the One UN Fund and strategic discussion on future UN work in Malawi. This is not only a positive and welcome development in the process of partnership building but also a solid beginning for the Government, the development partners and the UN to address the level of strategic thinking and step up collective efforts in delivering as one for the benefit of all the people of Malawi.

## ONE PLAN AND THE UNDAF MIDTERM REVIEW

The successful formulation of an operational document (One Plan) with its annualized expected results and associated budget not only helped the UN better implement and monitor the UNDAF but also facilitated the allocation of fund from the One UN Fund to the strategic and prioritized activities.

The UNDAF Midterm Review provides an opportunity for the UN to assess collective performance in respect of Delivering as One. The review focused on UN programmes and processes over the last two years. A number of key findings emerged from the MTR include evidence-based programming and reporting; alignment with the MGDS priorities; capacity development; overlap and duplication; and the need for cross-cluster collaboration. Detailed of the key findings are found in annex.



## RESOURCE MOBILIZATION STRATEGY AND THE ONE UN FUND

The development of a joint UN Resource Mobilization Strategy is a critical element which provides focus to the joint resource mobilization efforts of the UN system in Malawi. The Strategy partly enabled the mobilization of USD 18.51 million from the Expanded Delivering as One Funding Window. In 2009 additional non-core funding

UNDAF/One Plan Outcomes	One Plan 2009	One Plan Gap 2009	One Fund Allocation 2009
Cluster 1 - Food and Nutrition Security and Economic Growth	14,106,426	8,829,417	4,500,904
Cluster 2 - Social Protection and Disaster Risk Reduction	9,207,373	4,986,051	3,116,588
Cluster 3 - Social Development	50,516,290	11,821,157	6,794,587
Cluster 4 - HIV and AIDS	22,992,344	4,188,194	3,024,533
Cluster 5 - Good Governance	22,425,618	2,124,420	3,064,325
<b>Total</b>	<b>119,248,051</b>	<b>31,949,239</b>	<b>20,500,937</b>

from the One UN Fund helped UN Agencies to upscale and prioritize activities for development results as set out in the UNDAF/One Plan. Fund from the One UN Fund also allows for timely delivery on critically strategic interventions such as the support to the

50/50 campaign which observed an increase from 14 to 22 percent of women in Parliament.

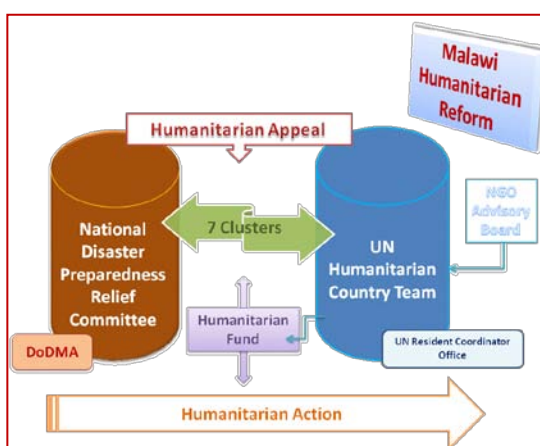


## COMMON SERVICES

As UN Agencies started to work more closely together and implement programmes jointly, the need for common services increased in key areas such as IT, procurement, and human resources. The UN in Malawi already benefited from common services in areas of travel, telecommunication (VSAT), and ERT. To support the expected increase in joint procurements, discussion about a Procurement Hub has been initiated and UNOPS is currently helping the UN Agencies to design a joint procurement plan for 2010. This will hopefully result in economies of scale, increased bargaining power, and improved reliability and quality of services.

## HUMANITARIAN AFFAIRS

Good progress was noted in humanitarian reform. The establishment of the Malawi Humanitarian Team aimed at promoting the cluster approach to humanitarian assistance for the country. The first major test for the cluster approach was the occurrence of a series of earthquakes (of up to 6.0 magnitudes) that hit the northern district of Karonga during the month of December, which displaced over 30,000 people due to damage of housing and property. The cluster dealt with it very effectively.



## UNCT CODE OF CONDUCT

The UNCT in Malawi consolidated team spirit and cohesiveness in 2009 and agreed on a Code of Conduct. Driven by the realities and specific circumstances of Malawi and guided by the Aid Effectiveness Agenda, the Malawi Code of Conduct with 10 key principles aims to support and guide the implementation of Delivering as One. Ten key principles include (1) Aid Effectiveness and National Leadership, (2) Alignment, (3) Inclusiveness and Transparency, (4) Mutual Accountability, (5) Mutual Respect and Trust, (6) Integrity and Creativity, (7) Results Based Management, (8) Gender and the Rights Based Approach, (9) Joint Programming and (10) Resource Mobilization. The full text of the Code of Conduct is found in annex.

The main objective of the UN reform process is to ensure that the UN delivers the best possible support to the national development plans in a coherent, coordinated and cost-effective way. While the One Plan is the key programmatic document, it is through the accompanying changes in the way the UN operates at country level that tangible results will be achieved. The UN Business Plan is an internal management tool, outlining operational changes and ensuring that the One Plan is matched by an adequate management structure, improved business practices and common services.

## **ENHANCING COST-EFFICIENCY AND AID EFFECTIVENESS**

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While the Delivering as One is a central part of the UN's contribution to the Paris Declaration on Aid Effectiveness, the increased institutional efficiencies are still hard to quantify in financial terms. For central Government, it is evident that the One Plan has reduced the time required and transaction costs related to overseeing the UN's activities. Within the tripartite partnership, Government and donors are the beneficiaries of most of these efficiency gains, as the coordination burden within the UN increased significantly to draft joint reports and joint plans at the level of the cluster and the One Plan.

UNDAF Clusters introduced the new concept of dual accountability. By agreeing to the Letter of Delegation (co-signed by the UN Resident Coordinator, cluster convener and individual staff), cluster team members work together on a common topic area and are accountable to both their individual organizations and to the Cluster itself. In addition to enhanced accountability, clusters are designed to reduce the transaction costs for stakeholders working with the UN through a more coordinated dialogue with the Government and other partners. In 2009, five UNDAF clusters conducted their inter-agency annual review and planning meetings, co-chaired by the cluster co-convener and the Government counterpart.

## **STAKEHOLDER AND UN STAFF PERCEPTION SURVEY**

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The confidential and anonymous stakeholder and staff survey explored perceptions of partners and counterparts about the UN in Malawi; identified the specific current strengths and weaknesses of the UN in Malawi from an operational perspective as well as from the perspective of the UN's strategic contribution to Malawi's development; and established a baseline in order to track changing perceptions of UN reform and the Delivering as One and measure the future impact and effectiveness of UN reform.

In general, the staff survey findings show that there is a good overall understanding of the Delivering as One and a realistic view of progress to date. UN staff is motivated to contribute to UN reform. They see this as the most effective way to enhance the UN's development impact in Malawi. However, staff survey clearly shows that the additional workload related to UN reform is unsustainable, particularly for those who have been actively involved in the Delivering as One.

The findings suggest that stakeholders recognize the professional expertise of UN staff and the value added through its impartiality and neutral mandate. They also value the UN's role as a provider of knowledge and access to global resource networks. On the other hand, stakeholders considered the UN to be lacking focus, and working in too many areas without necessarily having the capacity or comparative advantage vis-à-vis other development partners.

The perception survey underscored the importance of a communication strategy to get into direct contact with the external stakeholders and to enhance the UN's image. Besides regular information on UN reform process, the successes in the UN's policy and advocacy work should be better communicated to create more awareness in the UN's work and to show its added value for Malawi's development. This in turn will have a positive effect on staff morale and influence the UN's credibility as a qualified and effective partner. In 2010 the UN Communication Group will be identifying how best to address the challenges raised by the participants in the perception survey.

## CROSS-CUTTING ISSUES AND ENHANCED POLICY COHERENCE

### GENDER EQUALITY AND WOMEN'S EMPOWERMENT

A comprehensive gender assessment was conducted in 2009 to provide a baseline for progress on gender mainstreaming in the UNCT and One Plan implementation. Key findings were that many UN staff is not aware of, or adequately informed about, their agency's gender policy. Lack of management support is a barrier to implementing gender mainstreaming, and a significant proportion of staff do not yet see gender mainstreaming as part of their job, or as a priority. While most Agencies have gender focal points, their role is often not well supported or recognized, and is performed in addition to their other duties. Gender mainstreaming is not tracked in allocations or expenditures at the UNCT, agency or programme level. Nor are gender results monitored or measured effectively. This leads to significant underestimation of the investment in and impact of, UN interventions on gender equality and women's empowerment in Malawi.

#### Strengthening gender mainstreaming capacity in the UN

In 2009 UN Malawi conducted a Gender Assessment which encompassed a *gender scorecard* with results that showed how well the UNCT was doing on gender equality and gender mainstreaming. It also included a participatory *gender audit* of all resident UN agencies in Malawi. Leadership on the assessment came from the UN Gender Group, with methodological support from the ILO Gender Bureau. For Malawi, the process led to an extensive baseline on where the UNCT was, in terms of mainstreaming gender, against which progress can be measured in the years

The Gender Scorecard also revealed that capacity and accountability for gender equality within UNCT remains weak, including a lack of sufficient expertise at senior levels. Resource constraints negatively impact the UNCTs' ability to deliver as one on gender equality, in particular because it is not yet possible to track the full extent of commitments or expenditure on gender equality and women's empowerment. The UN Gender Strategy will provide strategic, coordinated and multi-sectoral technical assistance to strengthen institutional capacity of gender machinery in Malawi. An international UN Gender Advisor to support the work of the Gender WG in 2010 will be recruited if resource mobilization for the post is successful.

### HIV AND AIDS

Malawi is one of the most HIV-affected countries in the world, with an HIV prevalence rate of 12% and more than one million Malawian men, women and children estimated to be living with HIV infection out of a population of 13 million people. The scope and complexity of the epidemic and its impact on the daily lives of Malawians prompted the UN system in Malawi to begin "delivering as one" long before the discussion became a topic of global interest.

Malawi was one of the first countries to put its commitment to the global call for Universal Access to HIV and AIDS prevention, treatment, care and support, and to establish a Joint Team on HIV and AIDS under the auspices of the UNDAF Cluster 4.

Within the framework of the UNDAF Cluster 4 objectives which contribute directly to the HIV goals of the Malawi Growth and Development Strategy, all UN agencies contribute in various ways to joint programming initiatives on HIV in Malawi. The UN partner inputs, coordinated by the UNAIDS Secretariat team in Malawi, are based on their comparative skills and advantages in addressing the prevention, treatment, impact mitigation and enabling environment challenges that Malawi faces in scaling up its' national response to AIDS.

With respect to HIV prevention, UN agencies (led by UNFPA, UNICEF and UNAIDS) have actively supported the development and launch of the National HIV Prevention Strategy by President Mutharika in December 2009, the rapid expansion of comprehensive services to prevent mother-to-child-transmission of HIV as well as develop life skills in youth and adolescents and the development of critical interventions addressing multiple and concurrent sexual partnerships which are considered the root cause of most of the 75,000 new HIV infections occurring annually in Malawi.

In treatment, care, and support, key UN partners (led by WHO, UNICEF, WFP and FAO) have worked collaboratively over the past year to support the Government of Malawi's rapid expansion of access to anti-retroviral drugs and treatment services, as well as the expansion of community-based nutrition, livelihoods and impact mitigation strategies for estimated one million Malawian adults and children infected and affected by HIV throughout the country.

When considering the overall enabling policy and programme environment for the national response to AIDS, UN partners (led by UNDP and UNAIDS) have worked with Office of the President and Cabinet, National Aids Commission and civil society partners to mainstream HIV programming and ensure that the national and local response to AIDS are both human-rights-based as well as gender-responsive to the multiple dynamics which drive HIV risk and vulnerability in Malawi.

## **CHALLENGES**

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Many challenges were identified that need to be worked out in 2010. Although it is contrary to the intentions of UN reform, UN Agencies in Malawi are now doing multiple annual reporting (agency, cluster, and One Plan level) and the large variety of reporting and planning formats required at the Agency level do not facilitate easy transfer of information into the cluster reporting format. More discussion is needed on how to report on progress towards output and outcomes in the Annual Review meetings, and more strategic prioritization is needed. In order to make clusters more effective and efficient in 2010, clusters should consider engaging more joint field trips, joint advocacy activities and common research study.

At the same time, not all UN staff are fully aware of the importance of the clusters as a vehicle for change, instead perceiving them as an "add on" that takes additional time and energy. For some UN agencies, the clusters represent a considerable challenge, as they lack sufficient human resources to 'staff' all clusters adequately. Some staff have to participate in a multitude of clusters, inhibiting their effective participation and contributions. Enhanced communication efforts are needed as there are perceptions that the clusters do not have, in many instances, relevance for the day-to-day work of UN agencies. This inhibits the concrete, visible changes in how the UN is working differently and better as one.

## KEY ASPECTS OF THE TRANSFORMATION WORKPLAN IN 2010

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2010 brings some new challenges. The UN Country Team will focus on the implementation of the One Plan, embarking on strategic dialogues around development priorities which will inform the formulation of the UNDAF II in 2011 and the launching the UN Business Plan II (2010 – 2011). Transformation reforms initiated in 2009 will continue to be pushed forward in 2010 with a clear focus on Aid Effectiveness, Capacity Development, Communications, IT, HR and procurement.

Together with other official pilot countries, Malawi is undertaking a country-led evaluation on Delivering as One. While it is true that an impact assessment of Delivering as One in Malawi and how it effectively contributed to the achievements of the Malawi Growth and Development Strategy is not yet feasible, the Government and the UN believe that the exercise will ascertain the effectiveness of the DAO initiative and set critical benchmarks for future cooperation between the Government and the UN.

## CONCLUSION

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Significant progress has been made in 2009 in translating the vision of a coherent, effective and efficient UN at country level into reality. The UN in Malawi developed a coherent programmatic framework and budget, and with support from Government and donors, is implementing the One Plan. The UN is confident that these changes will yield enhanced development results, which will be reviewed by the country-led evaluation in 2010.

But 2009 clearly showed that UN reform at country level cannot be done in isolation. To achieve the best possible results, commensurate changes in the way the Government and the donors operate and liaise with the UN at country level are needed. Promising results have been achieved in this regard in the past year, and much focus will be placed on optimizing the tripartite partnership in 2010.

The UNCT in Malawi considers it the way to ensure a sustainable presence of the UN at country level – supported by Government as an effective partner, and funded by the donors as a quality source of support to national development priorities. In the global financial crisis, evidence of enhanced efficiencies and better development results are needed now more than ever to maintain global support for the UN. UN reform at country level needs to be nurtured, actively encouraged and effectively supported at all levels.

Transaction costs shift from Government and donors to a UN having to operate “as One”. This type of institutional innovation required a lot of discussion among the UNCT members. While such ‘investment costs’ are a natural part of any change management programme, the UN now needs to show that the reform yields tangible results, and move from planning to implementation to ensure the people of Malawi reap the benefits of a more coherent, effective and efficient UN. This is the focus for 2010.

## FUNDING THE CHANGE – THE TRANSFORMATION FUND

The Transformation Fund established in 2007 has helped facilitate the transformation process towards the implementation of Delivering as One in Malawi. Financial support

is needed to fund key UN-wide instruments to enhance coherence including coordination, communications; policy capacity; change management expertise, tracking and measuring the results from the Delivering as One towards a more effective, coherent and efficient UN.

The Transformation Fund received a total amount of **USD 1,346,026 for 2008 and 2009** (DFID: US\$ 352,416.99; IrishAid: US\$ 304,638; and Norway: US\$ 688,970.58). Together with financial recourses from the UN Headquarters and UN Agencies at country level which was mobilized for the first time in 2009, the Transformation Fund greatly helped to fund for additional support required to ensure that UN Malawi is able to implement a comprehensive reform process. The financial report is detailed as follows:

#### **TRANSFORMATION ACTIVITIES – EXPENDITURE REPORT (2008/2009)**

<b>RESULTS AREAS</b>	<b>HQs (DOCO)</b>	<b>UN AGENCIES</b>	<b>TRANSFOR- MATION DONORS</b>	<b>BALANCE</b>
UNCT Contribution to the National Development Plan	52,737	55,000	81,526	
Aid Coordination/ Management	10,173		57,618	
UNDAF/Common Programming	19,157		151,180	
Strengthening national systems/capacities through HACT		453,750	6,900	
Gender Equality	3,000	34,000		
HIV and AIDS	32,774			
Common Services	26,247		28,854	
Humanitarian Reform	4,581			
UN Advocacy	34,660	97,099	33,425	30,000
Strengthening UNCT Coordination Capacity (RCO Staffing, Operations, Training for UN Staff)	164,080		787,579	168,944
<b>TOTAL</b>	<b>347,408</b>	<b>639,849</b>	<b>1,147,082</b>	<b>198,944</b>

Sustaining the reform efforts in the years to come especially in 2010 and 2011 is crucial. Fund from the Transformation Fund would help bring in additional capacity to ensure that UN policy and advocacy agenda is implemented. At the same time it will enable the creation of a systematic and quantitative approach to setting concrete objectives for the new UNDAF/One Plan II and monitoring and measuring against them as well as for the reform process itself which needs to be measured against process benchmarks.

It is clear that the Transformation Fund is transitional in nature and further detailing of resource requirements and allocation will take place as part of the finalization and initial implementation of the UN Business Plan II. The key areas for support by the Transformation Fund that are described below are therefore expected to evolve and be adjusted.



## TRANSFORMATION ACTIVITIES 2010-2011 INDICATIVE BUDGET

RESULTS AREAS	CARRY-OVER	HQs (DOCO)	Expanded Window Fund <sup>1</sup>	UN AGENCIES	GAP
<b>Enhanced Advocacy and Policy (Cluster-based)</b>					
• Development of UN-wide policy positions papers (Clusters-based)		100,000		200,000	300,000
• International UN Gender Specialist (hosted by UNFPA)		30,000		60,000	200,000
<b>UN Communication Group</b>					
• Joint UN Communication Strategy		20,000		20,000	
• Joint UN Advocacy		20,000		100,000	
• National UN Communications Specialist (hosted by UNICEF)		63,000			60,000
<b>Measuring Success of Delivering As One</b>					
• Country-led Evaluation		30,000			20,000
• Evidence-based development of new UNDAF		60,000			40,000
• UN Coordination Analyst/M&E			120,000		
<b>Strengthening UNCT Coordination Capacity (RCO staffing)</b>					
Strategic Planner/Head of RCO	30,000		170,000		200,000
Int'l Coordination Specialist	168,944				180,000
Humanitarian Affairs Officer				100,000	
Coordination Analyst		65,000	65,000		
<b>TOTAL</b>	<b>198,944</b>	<b>453,000</b>	<b>355,000</b>	<b>430,000</b>	<b>1,000,000</b>

<sup>1</sup> The Special Session endorsed the allocation of 1% of total amount from the Expanded Funding Window to RCO to cover the secretariat/substantive reporting roles. In 2009 the Expanded Window allocated US\$ 18.51M to Malawi of which 1% (=US\$ 185,100) will be transferred to RCO.

# ANNEXES

## ANNEX: UNDAF MID-TERM REVIEW – KEY FINDINGS

2009 is the year of the midterm review (MTR) of Malawi UNDAF 2008 – 2011. The MTR provided the UN agencies (both resident and non-resident) with an opportunity to collectively assess the performance in respect of delivering as one. The review has been carried out as a participatory, self-evaluation exercise focusing on UN programmes and processes over the last two years.

Key findings emerged from the MTR suggested that in a number of UNDAF areas, the UN has delivered support through small projects implemented across a number of sites and targeting a small number of beneficiaries. Moving forward, a key challenge will be for the UN to consolidate further, and identify fewer, **higher impact programs** through which to deliver support.

**Evidence-based programming and reporting** is clearly a high priority for the UNCT, and shows that despite ongoing M&E challenges, the knowledge base across all UNDAF areas has been strengthened during the past two years of implementation. Data from operational research, studies and surveys, as well as practical lessons learned from the implementation of pilots and projects can adequately inform policy dialogue with Government, donors and stakeholders on scaling-up of good practice.

The UN will also need to deepen/expand **alignment** not just at the level of Malawi Growth and Development Strategy priorities, but additionally with sector planning and review processes. This will further reduce transaction costs associated with parallel UNDAF processes. The forthcoming Government-led Division of Labor exercise and ongoing work on the Joint UN Capacity Development Strategy will provide additional guidance in this respect.

Despite a considerable investment by the UN, national capacity constraints continue to affect delivery and results on key development outcomes, and will affect how far the UN can go to scale on interventions. **Capacity development** is clearly an area where the UN needs to review its engagement. Critical capacity gaps persist, and cut across several public functions, at all levels, national and district. While improvements have been recorded in a number of UNDAF areas, it is too early to gauge whether solutions found are sustainable over time. Introducing quality assurance measures in future capacity-building programs may also ensure better accountability for results in this area; as would engaging Government to play a more substantive role in ensuring capacity support provided is demand-driven.

Internally, a number of clusters raised the same concern around areas of **duplication and overlap** within the current UNDAF, and the need for cross-cluster collaboration. A clear mechanism guiding outcome leaders, and providing implementation support where needed was raised as a priority for the coming year. As the UNCT works on addressing this issue, the greater involvement of stakeholders in coordination was proposed as one way to enhance synergies and improve accountability for results *and* expenditure. In addition, the UN has been challenged to include a role for non-state actors in planning, implementation and review processes.



## UNITED NATIONS COUNTRY TEAM IN MALAWI

### DELIVERING AS ONE IN MALAWI

#### UN COUNTRY TEAM CODE OF CONDUCT

*‘Delivering as One’ enables the UN to deliver more effectively on its mandate in order to empower the most vulnerable and the excluded in Malawi. A UN able to respond flexibly can help to provide prosperity and justice for all people of Malawi.*

The objective of ‘Delivering as One’ in Malawi is to enhance the effectiveness and efficiency of the UN as a means of achieving greater development results. The UN will achieve this aim by working better together, and by being more focused, coherent and strategic in its interventions. To this end, a strategic framework with two interrelated and interdependent pillars (the One Plan and the UN Business Plan) has been agreed as instruments to achieve the ambitious but achievable goals.

Driven by the realities and specific circumstances of Malawi and guided by the Aid Effectiveness Agenda, the present Code of Conduct consisting of 10 key principles is developed to support and guide the implementation of the UN Strategic Framework. The Code of Conduct should be viewed in conjunction with other important documents which outline the authority, responsibilities and accountabilities of the RC and the UNCT members including the UNCT Malawi Terms of Reference, the RC Job Description, the RC and UNCT working relations, the RC System Mutual Accountability Framework and the Dispute Resolution Mechanism.

1. **Aid Effectiveness and National Leadership** – All aid is nationally managed; owned and led. Accordingly, UN assistance will respond to national priorities and be guided, to the extent possible, by the national authorities. The UNCT will seek to consistently consult Government, civil society and development partners to reaffirm its responsiveness through consultations. The UN system will endeavour to build and/or strengthen aid coordination capacities at the national level.
2. **Alignment** – The UNCT will plan and work together to implement the UN Strategic Framework so as to ensure the enhanced delivery of measurable in support of the national and international development agenda as set out in the Malawi Growth and Development Strategy and the MDGs.
3. **Inclusiveness and Transparency** – Within the programmatic focus provided by the UNDAF/One Plan, Agencies will collaborate to bring the total strength of the UN to Malawi in a cohesive and coordinated fashion. The UNCT will continue to strengthen its collegial and participatory approach to enhance transparency of its decision-making process, through open dialogue and wide participation among the UNCT members and regular communication with all UN staff members and development partners.
4. **Mutual Accountability** – Recognition of the interdependence of UN agencies implies that only through mutually reinforcing success can a sustained impact in Malawi be achieved. Mutual



accountability for the implementation of the Strategic Framework, achievement and reporting on development results will require the UNCTs to agree on Divisions of Labour at national level.

5. **Mutual Respect and Trust** – UN cohesion and coordination have to be based on a respect of agency identity, mandates and operational parameters. UNCT will provide an environment that is respectful and courteous, and in which Agencies need to listen with intent and seek to accommodate each other point of view through dialogue and consensus building. UNCT will place full confidence in all UN staff members and manage its relationships within and outside the UN system to that effect.
6. **Integrity and Creativity** - UNCT will demonstrate the UN values in its activities and behaviour. To improve efficiency and effectiveness in the delivery of development, the UNCT will welcome innovation, approaches, options and constructive criticism and other feedback.
7. **Results Based Management** – Through the UN Business Plan, the UNCT seeks to achieve measurable development impacts. The UNCT thus endeavours to commit to manage for results in line with development agenda.
8. **Gender and the Rights Based Approach** – The UN System is founded on the UN Charter and the Universal Declaration of Human Rights. The MDGs and Human Rights are the force that binds UN agencies together in one common agenda. Throughout the UNDAF/One Plan implementation cycle UN agencies will increasingly seek to deploy and emphasize right based approaches and ensure that gender mainstreaming efforts, gender dimension in all Outcome Areas will be reflected in development results and impacts.
9. **Joint Programming** – The UNDAF has different repercussions for different agencies, dependent on the positions taken by their Governance mechanisms. Country driven joint programming processes, resulting in new and innovative joint programmes will increasingly be identified and developed, to form the foundation of future UNDAF. Joint Programming by UN agencies will be enhanced by encouragement of and engagement in national sector-wide programming initiatives with focus on results through policies/systems reform, quality services taken to scale and a focus on life-improving impacts on families and communities.
10. **Joint Resource Mobilisation** - The UNCT will work together to mobilize resources to cover the funding gap in the One Plan. In all resource mobilization efforts, strong preference is given to unearmarked contributions to the One UN Fund. Exceptionally, and where the potential resources cannot be pooled in the One UN Fund, earmarked funding could be accepted as the least preferred option in consultation with the UNCT provided that its focus is clearly on the achievement of at least one of the five UNDAF/One Plan outcomes.



# Delivering As One in Malawi


## 2009 UN Country Team Renewed Commitments




### Implementation Report



Deliverables [timeline]	Indicators	Status (as of December 2009)
<b>1. Renewed Commitments for Delivering together for Malawi 2009 agreed by three parties (UN, Government, Donors)</b> 	<ul style="list-style-type: none"> <li>Document outlining key milestones and deadlines for achievement (this document).</li> <li>Formal agreement/endorsement reached at Joint Strategy Meeting (JSM) to be organized in June</li> </ul>	<p>The Commitments were widely shared with the Government and other stakeholders including it being part of the advocacy package which was distributed at the Inter-governmental Conference on Delivering as One in Kigali, Rwanda, October 2009.</p>
<b>2. Development of the UN Business Plan II (2010 – 2011)</b> 	<ul style="list-style-type: none"> <li>Development of the UNBP II based on rigorous assessment of the UNBP I</li> <li>UNBP II development draws on lessons learnt from the implementation of UNBP I</li> <li>UNBP II outlines new commitments of the UN Country Team in 'Delivering as One' efforts.</li> <li>Builds on UNDAF MTR and Government led MGDS sectoral reviews</li> <li>Number of outcomes/outputs/targets aligned with MGDS and Aid Effectiveness Strategy and Capacity Development Strategy (both to be developed)</li> <li>Strategic, focused with clear priorities, including risks and assumptions clearly identified</li> <li>Availability of an integrated results-based management system, with integrated support services (e.g. existence of a common services action plan; number of</li> </ul>	<p>The UN Business Plan, a strategic management tool, articulates how the UN will organize itself to better achieve the development results in the One Plan. As a principal reform tool it encompasses the transformation (or the non-programmatic) areas of the operations of the UN in Malawi and outlines strategic focus for enhanced effectiveness and coherence. The transformation priorities include aid effectiveness tools, joint communications, capacity development strategy, joint UN resource mobilization, humanitarian reform and a comprehensive set of common services.</p> <p>The finalization of the draft UNBP II was postponed until 2010 pending the UNCT discussion and consensus on the UN position in Capacity Development and Aid Effectiveness as well as the progress made by the Government on the MGDS sectoral reviews.</p> <p>The joint DOCO/RDT mission to support Malawi to develop the two critical strategies on Capacity Development and Aid Effectiveness was fielded in December 2009. Findings and recommendations from the</p>



Deliverables [timeline]	Indicators	Status (as of December 2009)
	<p>implementing partners applying HACT)</p> <ul style="list-style-type: none"> <li>• Availability of an M&amp;E framework with indicators, baselines and data sources</li> <li>• Availability of TORs for institutional mechanisms for programme planning, implementation, management, monitoring and evaluation of UNPB</li> <li>• Clear accountability framework for RC/UNCT and effective oversight mechanism for RC system (RDT involvement)</li> <li>• Strengthened RC capacity with sustainable adequate staff support</li> </ul>	<p>mission will be discussed with the UN and the Government to agree on ways forward.</p>
<p><b>3. UNDAF Mid-term review</b></p> 	<ul style="list-style-type: none"> <li>• Review and evaluation of progress made to date with regards to all UNDAF outcomes, outputs and activities (this will take place during the formulation of the One Plan).</li> <li>• Review findings will be fed into the MGDS sectoral review led by the Government</li> <li>• Revised UNDAF Results matrix with strategic inclusion of NRAs activities</li> </ul>	<p>The UNDAF Mid-term review which has been successfully undertaken in the form of UNDAF cluster consultations during September – November 2009, presented important findings. These are the results of a considerable process of analysis, consultation and deliberation not only among UN Agencies (both resident and non-resident) but also between the UN and the Government counterparts. The consultation process is considered as a starting point for developing a new standard for programme consultation to enhance aid effectiveness and national ownership of the UN's programmes, as the process of development of the new UNDAF will be embarked in early 2010.</p>
<p><b>4. Development of the One Plan as an operational document to implement the UNDAF</b></p> 	<ul style="list-style-type: none"> <li>• Drawing on all UN interventions and expertise: Number of UN Agencies (resident and non-resident) joins the One Plan</li> <li>• Inclusive One Plan: strategic inclusion of 'new areas' (e.g. climate change) and 'missing areas' (e.g. economic development)</li> <li>• Government ownership: One Plan signed/endorsed by the Government</li> <li>• Results-based: Clear outcomes and annualized</li> </ul>	<p>The formulation of the One Plan responds to the need of having an operational document which bridges between a strategic document (UNDAF) and the individual Agency Annual Workplans. The One Plan embodies close cooperation and active participation of UN Agencies, resident and non-resident and is the agreement on the annualized strategic expected results to be achieved during the remaining three year period of the UNDAF. The One Plan and its annualized expected results are used as a key reference document for the discussion and decision on the prioritized allocation of funds from the Expanded Funding Window.</p>

Deliverables [timeline]	Indicators	Status (as of December 2009)
	<p>expected results</p> <ul style="list-style-type: none"> <li>• Strategic focus with clear priorities: based on UN comparative advantage</li> <li>• Joint review and reporting system operational (through clusters/outcomes)</li> <li>• Effectively deliver a multi-sectoral approach to development: Clusters structure/TORs</li> </ul>	
<p><b>5. Single Budgetary Framework/ One Fund</b></p> 	<ul style="list-style-type: none"> <li>• One Budget available, mapping resources requirements for the implementation of the One Plan</li> <li>• Budget completely transparent, showing all contributions to the One Plan, both core and non-core and funding gaps/to be mobilized.</li> <li>• UNCT formal agreement on allocation criteria and process of the One Fund (principles already agreed in the One Fund MOU)</li> </ul>	<p>The availability of the One Budget (associated with the One Plan) significantly enhances transparency of UN operations at country level. The One budget highlights the resources required to implement the One Plan with details on core and noncore resources and the funding gap.</p> <p>The initial allocation and performance based criteria were discussed and agreed with the UNCT in 2009. The criteria help guide the allocation of US\$ 18.51 million from the Expanded Delivering as One Funding Window to the five UNDAF clusters, with close participation of the Government. Funding from the Expanded Window represented a great opportunity for the UN and the Government to upscale and prioritize interventions for development results as set out in the UNDAF. At the same time, the allocation also presents a challenge for the UN and Government to showcase that the additional funding drives UN coherence and focus, produces better development results and makes a difference in the lives of the people. Moving forward, UN and Government agreed to start a policy dialogue in early 2010 to ensure UN alignment with the new priorities of the Government. Results of the dialogue, together with assessment on delivery performance, will help inform the decision making process during the second round of allocation of fund from the Expanded Window scheduled in mid 2010.</p>
<b>6. UNDAF Resource</b>	<ul style="list-style-type: none"> <li>• Potential sources of funding for the One UN</li> </ul>	The Joint UN Resource Mobilisation Strategy which provides focus to

Deliverables [timeline]	Indicators	Status (as of December 2009)
<b>Mobilization Strategy</b> 	<ul style="list-style-type: none"> <li>Programme identified</li> <li>Mechanisms to monitor resources (core/non-core/funding gaps)</li> <li>Strategic guidance to resource mobilization towards the One Plan</li> <li>Roles and Responsibilities (Government/UNCT/donors)</li> <li>Strategic Considerations and Objectives of RM strategy</li> <li>Action Plan</li> </ul>	<p>the joint resource mobilization efforts of the UN System in Malawi complements the efforts by individual Agencies to secure adequate funding to support all aspects of the UN Malawi work. The Strategy addresses the funding gaps of both programmatic area (the One Plan) and the transformation areas (the UN Business Plan).</p> <p>Based on this strategy, an action plan is being developed to outline concrete actions that need to be taken in the short, medium and longer terms. The Action Plan includes three sets of actions which are 1) actions planned for the UN internally setting up of support structures for joint resource mobilization, 2) actions to increase the ownership and involvement of the Malawi Government and 3) actions defined for each of the key donors in Malawi.</p>
<b>7. UN Strategy on Capacity Development</b> 	<ul style="list-style-type: none"> <li>Agreed process of a Capacity Development Strategy with national stakeholders (including civil society)</li> <li>Engagement of partners and building consensus</li> <li>Assessment of capacity assets and needs</li> <li>Development of training modules and materials based on the result of the capacity assessment</li> <li>Implementation of capacity development through a series of trainings</li> <li>Monitoring of a capacity development strategy</li> <li>Institutionalization of capacity development</li> </ul>	<p>The formulation of the two important strategies on Capacity Development (and Aid Effectiveness) has been part of the UN Malawi commitment on 'Delivering as One' in 2009. Throughout the year, serious attempts have been made to field two inter-agency missions to Malawi to help develop the two strategies (with DOCO playing a facilitation role).</p> <p>Given the commonalities of the two issues, a joint DOCO/RDT mission came to Malawi in December 2009 to provide an independent assessment of the capacity development needs in Malawi and recommend the role of the UN Agencies in promoting harmonization and collaboration among UN Agencies in the implementation of CD programmes and to improve delivery of CD services in the country.</p>
<b>8. UN Strategy on Aid Effectiveness</b> 	<ul style="list-style-type: none"> <li>Policy Statement of the UN involvement in the Aid Effectiveness</li> <li>UN role in assisting the Government accelerate Aid Effectiveness agenda</li> </ul>	<p>Within the context of a changing aid environment in Malawi, the UNCT saw a need to re-examine the strategic positioning of the UN, including its roles and capacities. The joint AE/CD DOCO/RDT came to make recommendations as to the strategic positioning of the UN system to (a) strengthen government capacities to lead aid coordination,</p>

Deliverables [timeline]	Indicators	Status (as of December 2009)
	<ul style="list-style-type: none"> <li>Number of UN Agencies adhering to the AE Strategy and AE agenda</li> <li>Number of policy advocacy/normative initiatives</li> </ul>	<p>harmonization and alignment process in the context of Paris Declaration and Accra Agenda for Action; and (b) facilitate the Government and Development Partners dialogue through an aid coordination architecture including Division of Labor and the harmonization and coordination of DPs interventions.</p> <p>Next phase will be to develop and finalize the two strategies in close consultation with the Government and Development Partners.</p>
<p><b>9. UN common position on SWAP</b></p> 	<ul style="list-style-type: none"> <li>Policy Statement of the UN common position vis-à-vis SWAP</li> </ul>	<p>A UN inter-agency mission organized by the UN Policy Network generated strong focus in capacity issues in the Agricultural. The mission highlighted the differentiated role that UN agencies can play in building critical capacities in programme management, accountability and M&amp;E to support already existing interventions in technical management and policy making. This indicates that in Agriculture, normally the purview of FAO, there is ample scope of UNDP, UNICEF, WFP and others to bolster critical capacities in management, nutrition, etc. The mission will be followed in 2010 by an interagency capacity diagnostic exercise which will set the trend for the way the UN system in Malawi will be using capacity development as its entry point for DaO in SWAPs.</p>
<p><b>10. Humanitarian Reform</b></p> 	<ul style="list-style-type: none"> <li>Enhanced and more proactive collaboration with OCHA</li> <li>Malawi Humanitarian Cluster approach agreed</li> <li>SOPs started</li> </ul>	<p>The UNCT embarked on a number of consultations to implement the Cluster Approach to Humanitarian Action with a view to (i) strengthen coordination of Humanitarian Actors outside of government to ensure support is well targeted; (ii) ensure that all response sectors are covered by pre agreed organizations; and (iii) encourage partnership among different humanitarian organizations.</p> <p>Initial consultations with the government and some NGOs were carried out and the concept of Cluster Approach was well received. The first meeting of the Humanitarian Country Team was held in October 2009. In order to help the UNCT move forward, a UNOCHA mission came in</p>

Deliverables [timeline]	Indicators	Status (as of December 2009)
		<p>early December 2009 to (i) review the aid effectiveness policy of the Government and other national policies/ regulatory frameworks to establish the basis of the Humanitarian Country Teams' mandate; (ii) map out the operating environment in terms of institutions in disaster response at the national level including reviewing the TORs and Compositions; (iii) carry out an analysis of Clusters as adopted by Disaster Management Affairs department in the 2009/2010 Contingency Planning Process; and (iv) develop TORs for a Humanitarian Capacity Assessment including a list of organizations that would participate.</p>